NAVEX GLOBAL®

version 10.6

PolicyTech Policy and Procedure Management

Administrator's Guide

PolicyTech® 10.6 Administrator's Guide

1/3/2019

Table of Contents

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

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	User Manager

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 Client Resource Center 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.

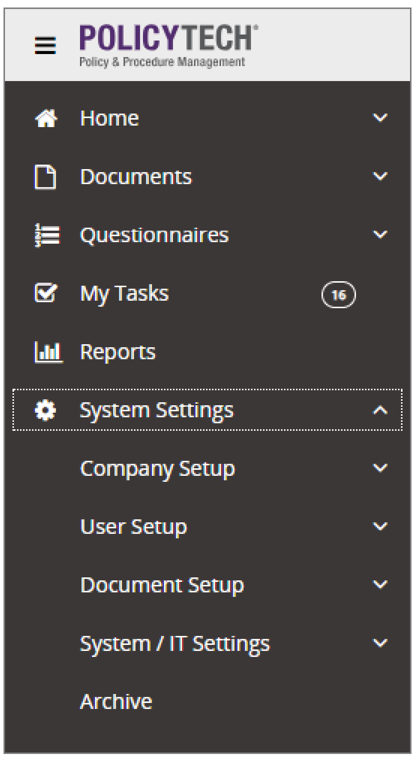
To log in,

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.

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 WordModule*Plus*

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 Enabling Other File Types below for details.)

Installing WordModule*Plus* 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 WordModule*Plus* 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. Download 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 Appendix E: SharePoint Integration for details.

Getting Help

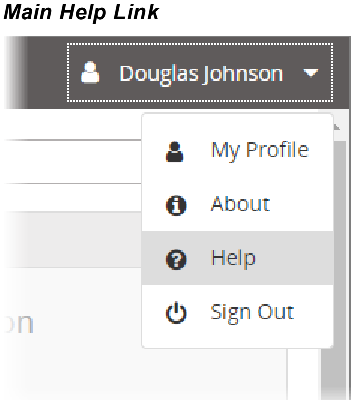
For links to all help resources, see Help and Support. Instructions are included below for how to use the online **Help**.

Using In-Product Help

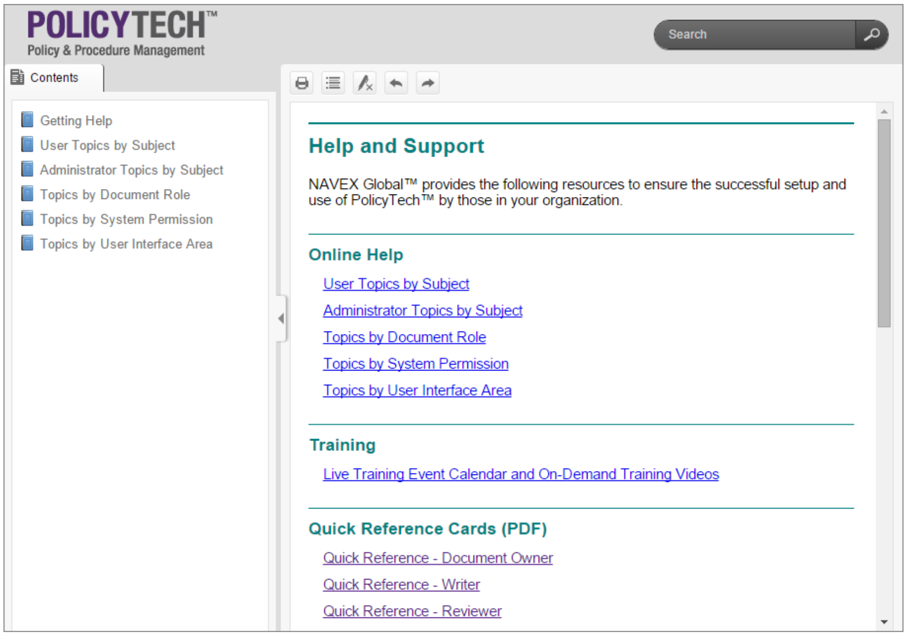
You can find answers to many of your questions by using the **Help** feature, which you can access in the following ways:

- 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

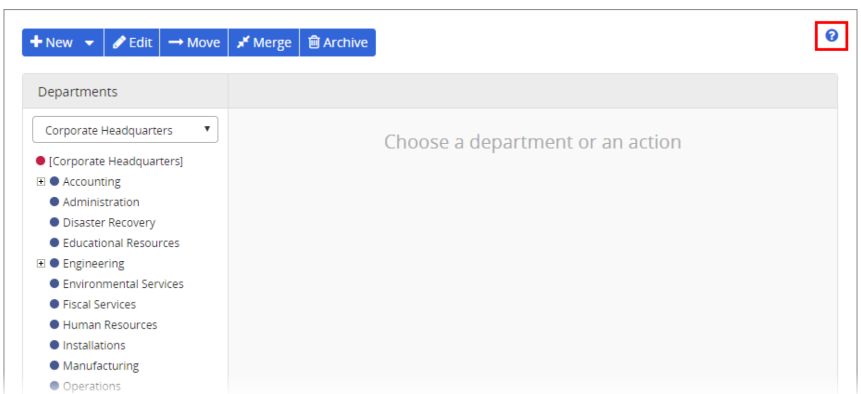


Online Help Window

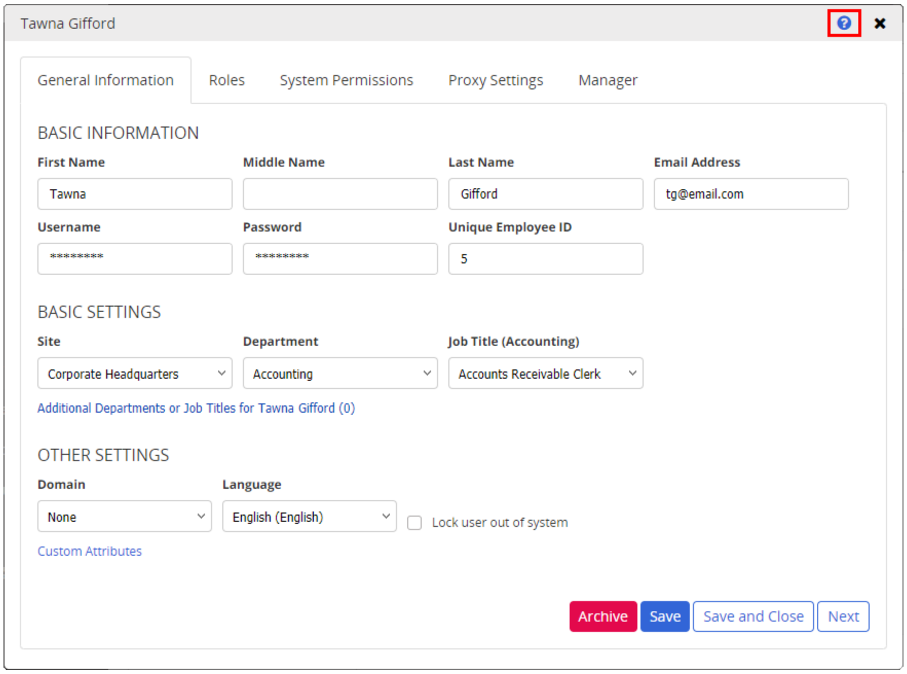


- Click **Help** at the top of the currently displayed list or window to get specific help with what you're currently working on.

List Help



Window Help


Tawna Gifford
General Information
Roles
System Permissions
Proxy Settings
Manager
BASIC INFORMATION
First Name
Tawna
Middle Name
Last Name
Gifford
Email Address
tg@email.com
Username
Password
Unique Employee ID
5
BASIC SETTINGS
Site
Corporate Headquarters
Department
Accounting
Job Title (Accounting)
Accounts Receivable Clerk
Additional Departments or Job Titles for Tawna Gifford (0)
OTHER SETTINGS
Domain
None
Language
English (English)
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:

[General Properties](#)

[Working with Sites](#)

[Working with Departments](#)

[Working with Department Groups](#)

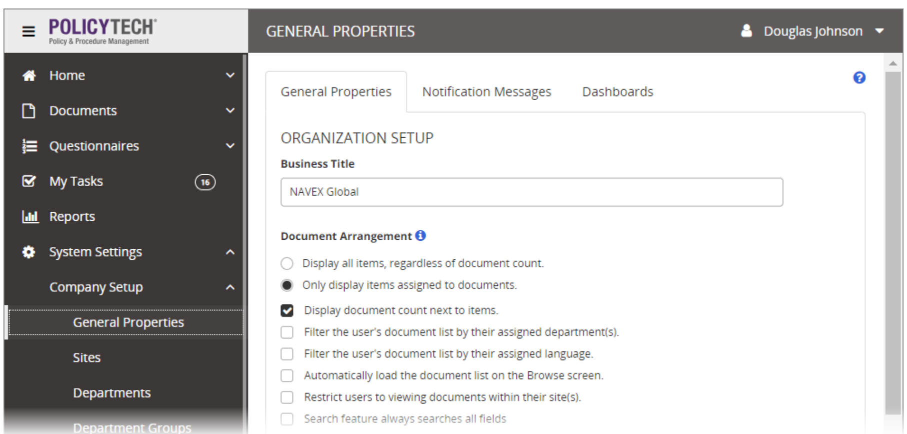
[Working with Job Titles](#)

[Working with Custom Links](#)

General Properties

To set up general properties,

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



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

   [General Properties Settings](#)

   [Notification Messages Settings](#) (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](#)

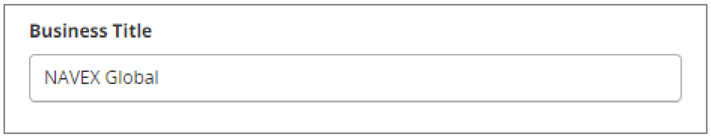
[System-Wide Regional Settings](#)

[Login Logo]

[Default Document Logo]

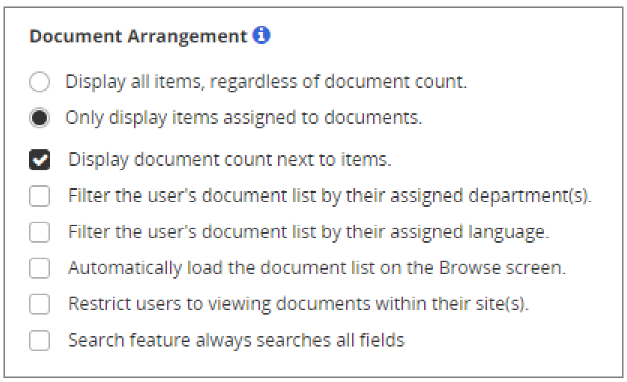
Organization Setup

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

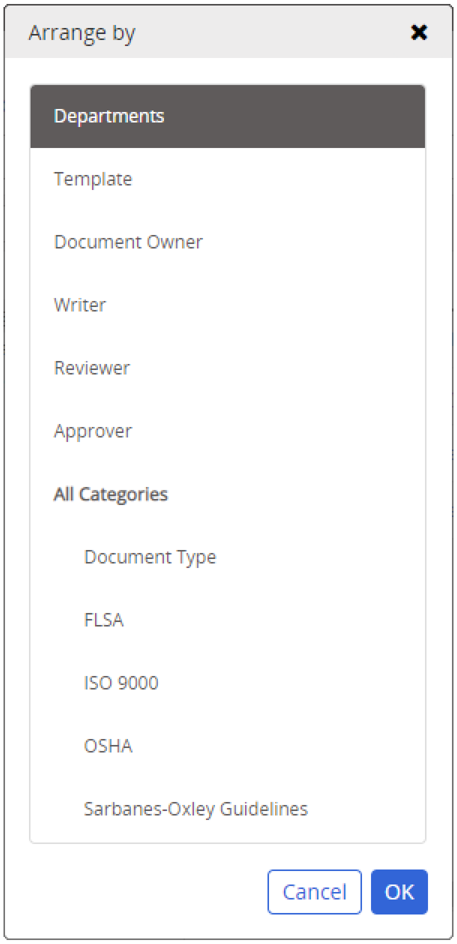


The text you enter here is used in several locations, including the **Properties** page of the document **Overview** and welcome emails. The business title is also available to insert into documents using **Insert Properties**.

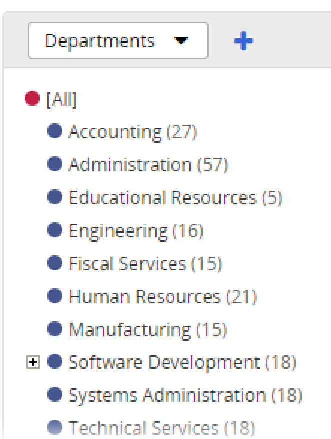
Document Arrangement. The **Document Arrangement** options let you control which items and documents or questionnaires are displayed when browsing.



- 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.

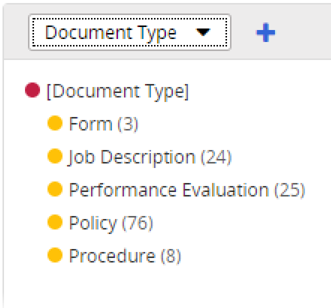


Selecting a property displays a list of all the items, or options, that can be assigned for that property. In the example below, **Departments** is the selected property.



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 Assigning System Permissions for details on assigning permissions to users).

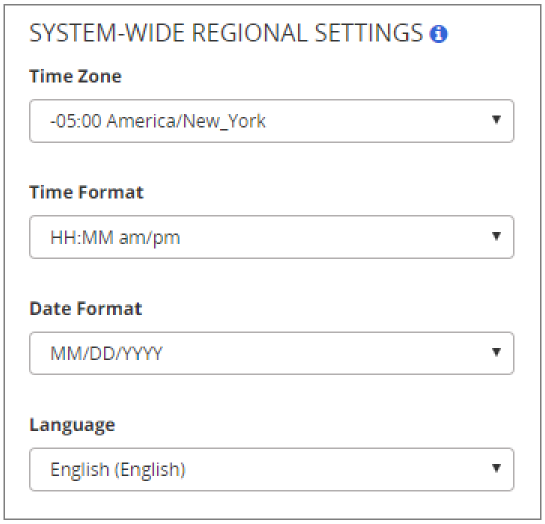
- When a user first accesses **Browse** after logging in, that user's default **Browse** arrangement is displayed, but no documents/questionnaires are displayed in the grid until the user clicks one of the **Arrange by** items (such as clicking a department name when arranged by departments). To have 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**.

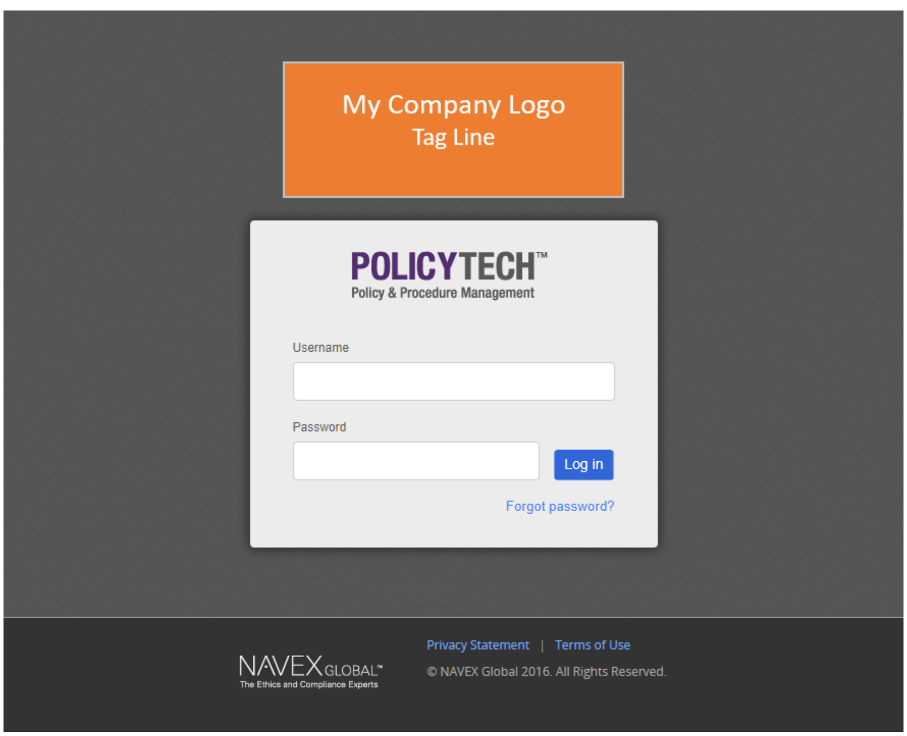
System-Wide Regional Settings

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 Adding a Site for details).



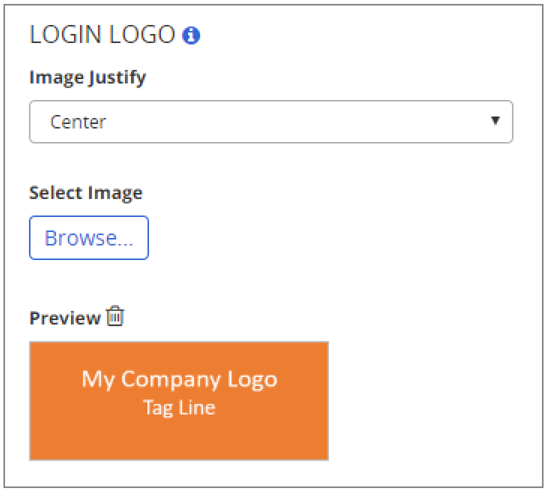
Login Logo

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.



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.



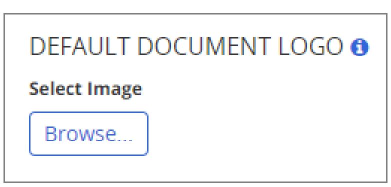
2. Use **Browse** to find and select the image file.
3. Click **Open**. A preview of the login logo is displayed.

Note: To remove the currently selected logo, click 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.



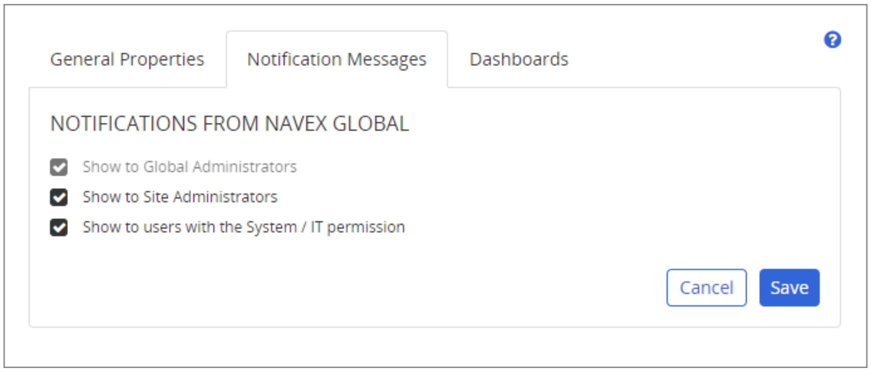
1. Use **Browse** to find and select the image file.
2. Click **Open**. A preview of the new default logo is displayed.

Note: To remove the currently selected logo, click 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.



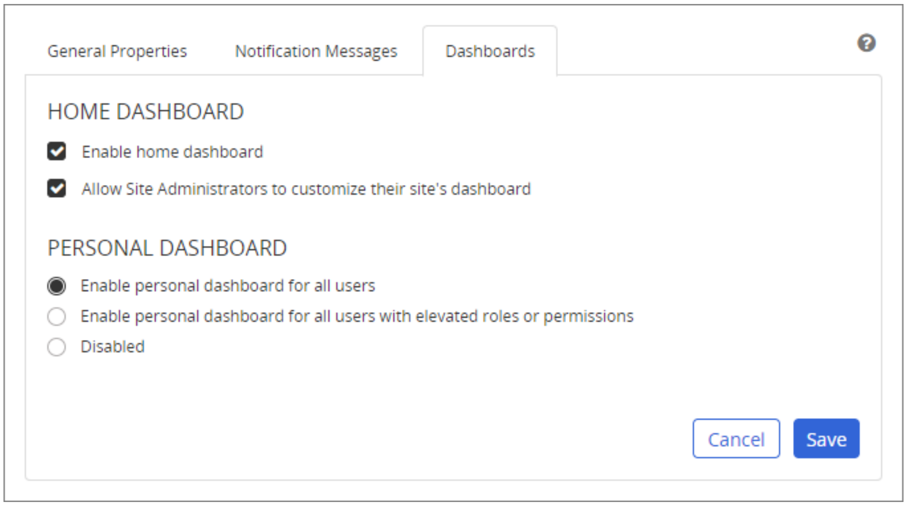
The **Show to Global Administrators** option is selected by default and cannot be changed, meaning that users assigned the Administrator permission for all sites (global permissions) will always see NAVEX Global alerts.

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.

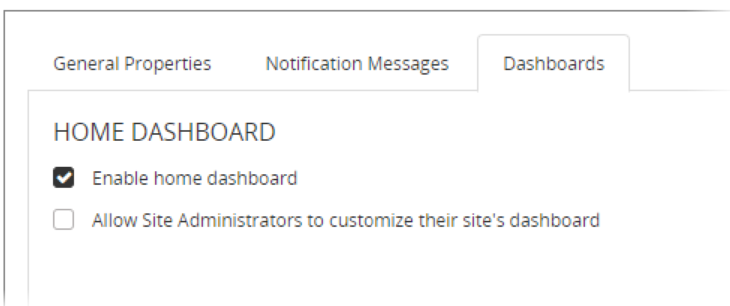


If you enable the home dashboard, continue with "Setting Up a Home Dashboard" below.

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 Setting Up the System Default Home Dashboard 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.

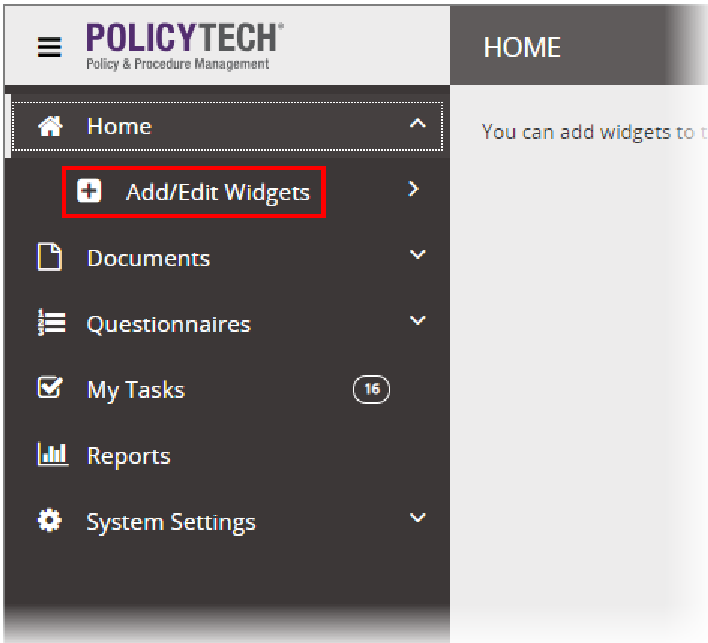
Select **Allow Site Administrators to customize their site's dashboard** to enable the creation of site-specific home dashboards that override the system-wide dashboard. A site dashboard can be set up or modified by any site administrator (see Setting Up the Home Dashboard for a Site below).

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

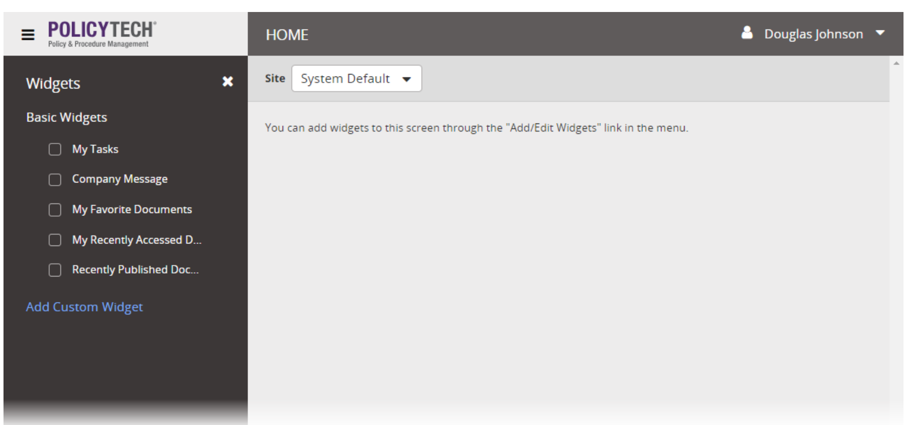
Setting Up the System Default Home Dashboard

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 Basic Widget Descriptions below).

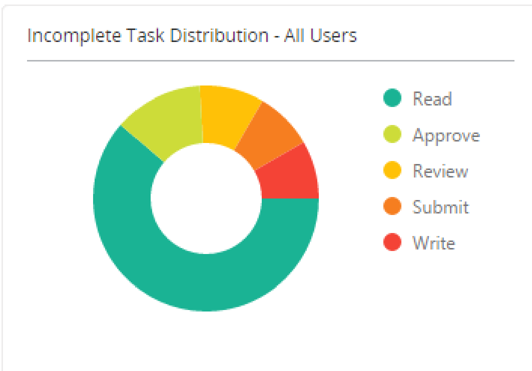


4. (Optional) You'll see a **My Saved Reports** section below **Basic Widgets** if you've saved any of the following reports types.

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

If desired, add saved report widgets.

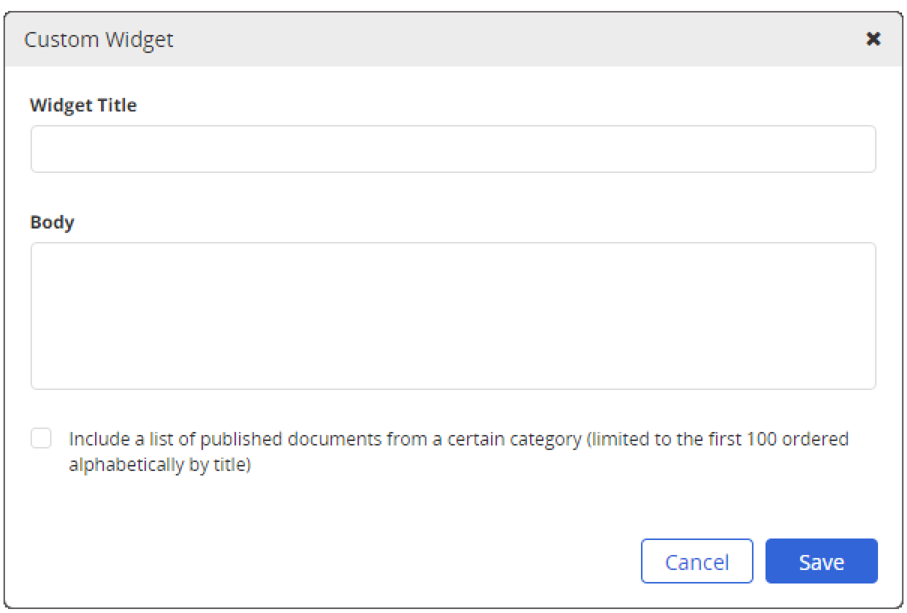
Note: For security reasons, a saved report widget contains only high-level summary data, and the **View Report** link is available only to the report creator.



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.

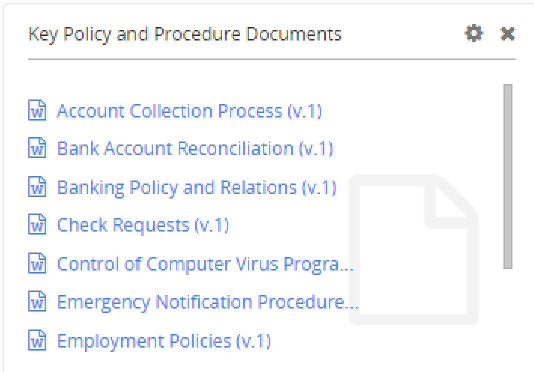
5. (Optional) Add a custom widget.

   a. **Click Add Custom Widget**, and then type the title and body text.

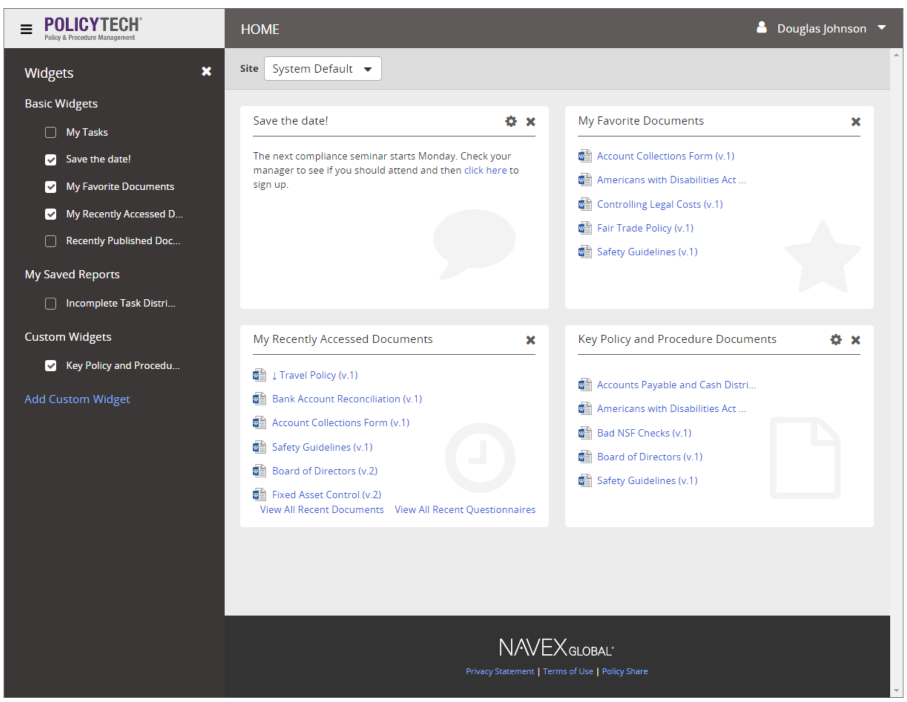


b. If desired, select **Include a list of published documents from a certain category**, and then select a category.

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.

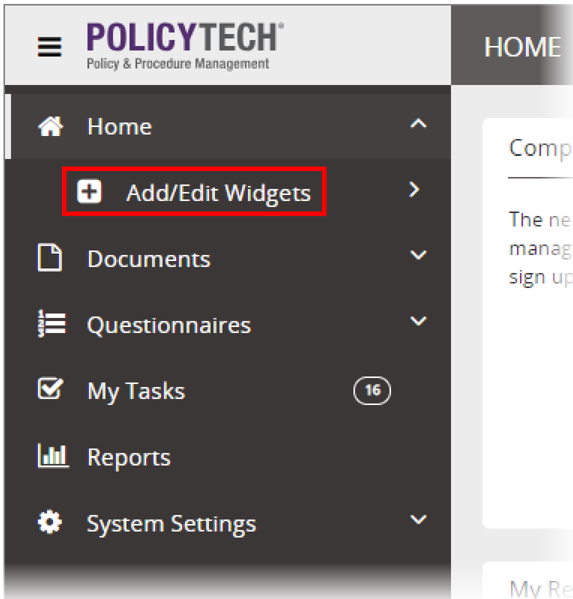


7. When finished, at the top of the **Widgets** menu, click .

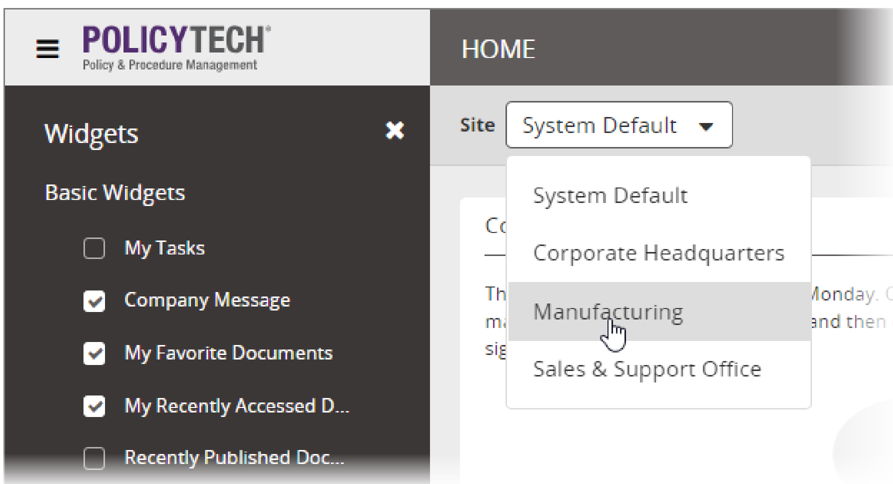
Setting Up the Home Dashboard for a Site

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.

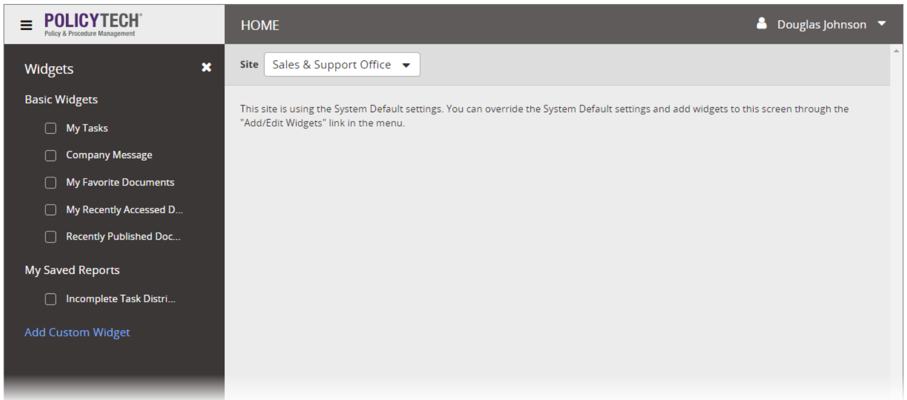


3. If you have the Administrator permission for multiple sites, the home dashboard for your primary site (the one you're assigned to in User Manager) is displayed by default. For **Site**, select the site whose dashboard you want to set up.



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.

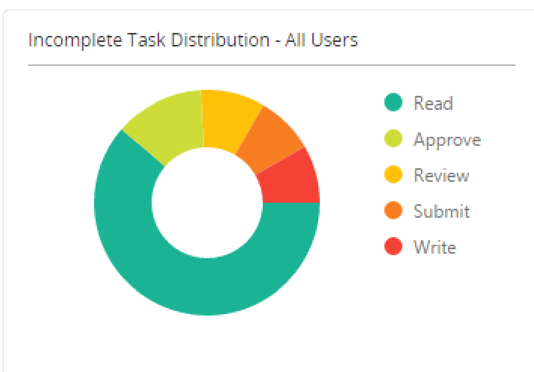
4. Under **Basic Widgets**, select the widgets you want to add (see [Basic Widget Descriptions] below).



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

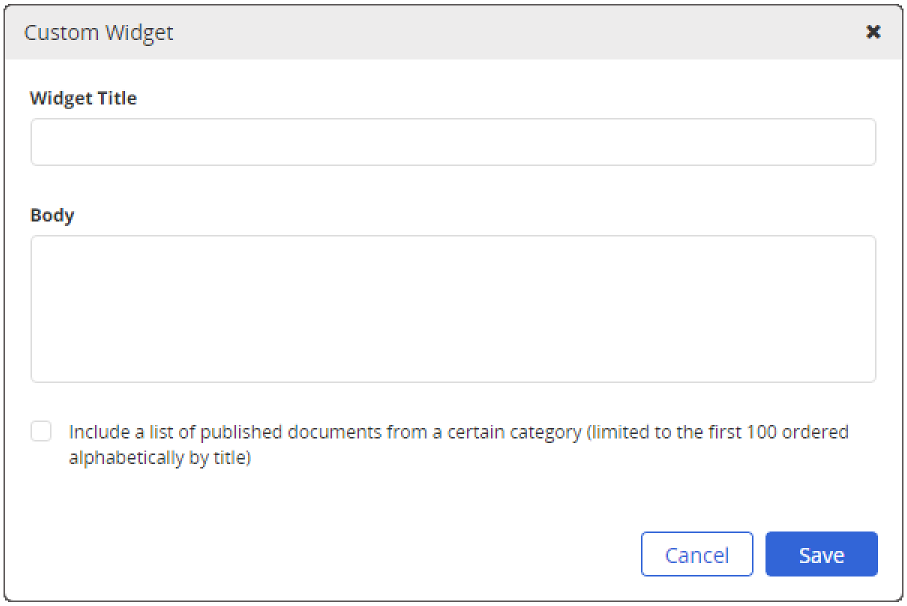
If desired, add saved report widgets.

> **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.



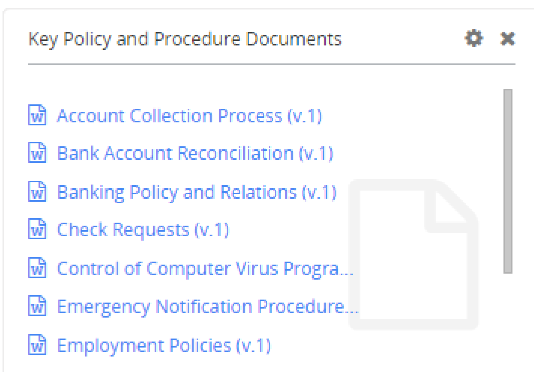
A custom widget is similar to the Company Message widget, in that you can enter a title and body text (one language only), but you can also add a list of the documents assigned to a specific category.

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

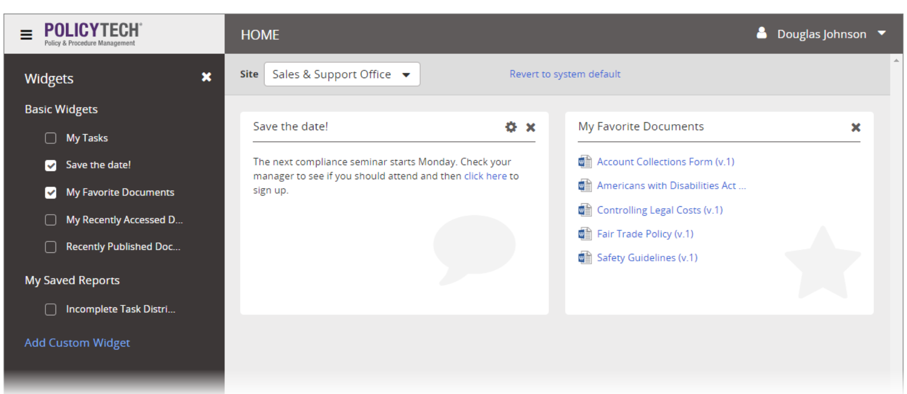


b. If desired, select **Include a list of published documents from a certain category**, and then select a category.

c. Click **Save**.



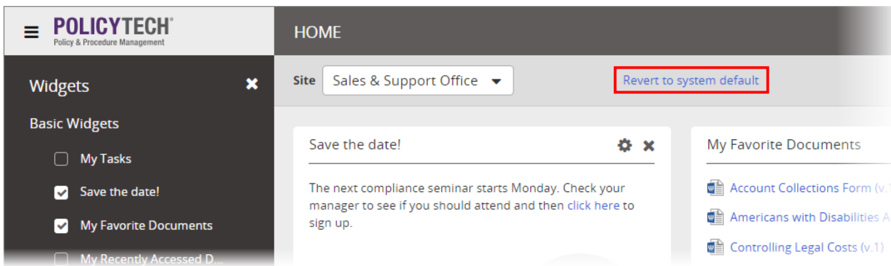
6. When you're done adding widgets, arrange them by clicking on a widget header and dragging it to a new position.



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

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**.

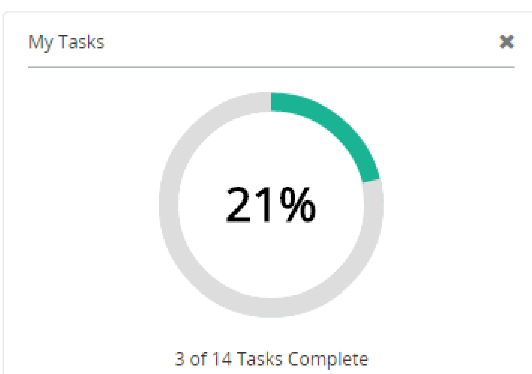


5. At the top of the **Widgets** menu, click .

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.

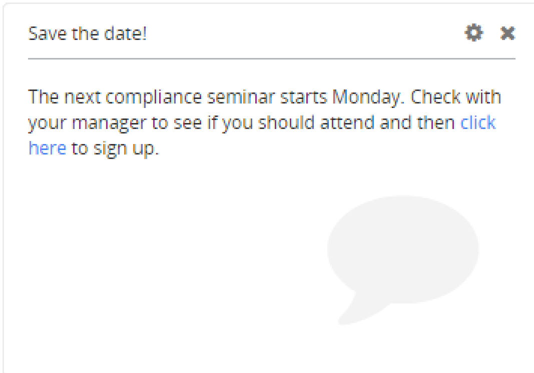
My Tasks: Shows the percentage of the user's assigned tasks for the past year that have been completed.



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.

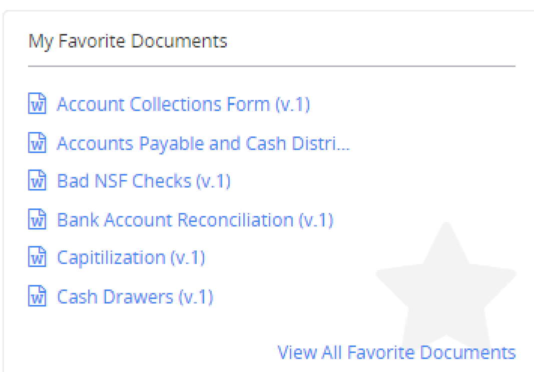


To edit the text, in the widget header, click ⚙, click **Edit Header** or **Edit Body**, make your changes, and then click **Save**.

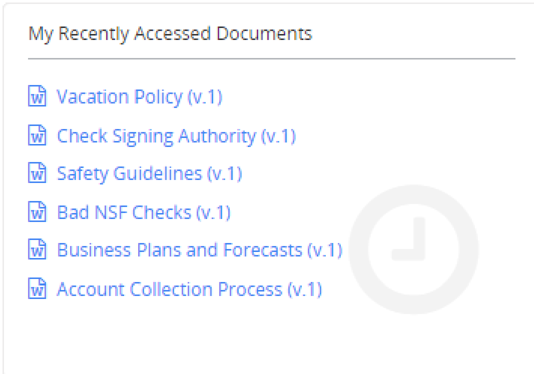
Notes:

- 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.

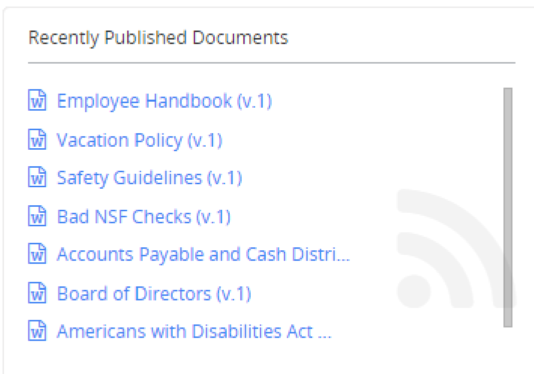
My Favorite Documents: Lists the first six documents alphabetically that the user has marked as favorites. The user can click a title to open a document. If the user has more than six favorites, a **View All Favorite Documents** link is available.



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

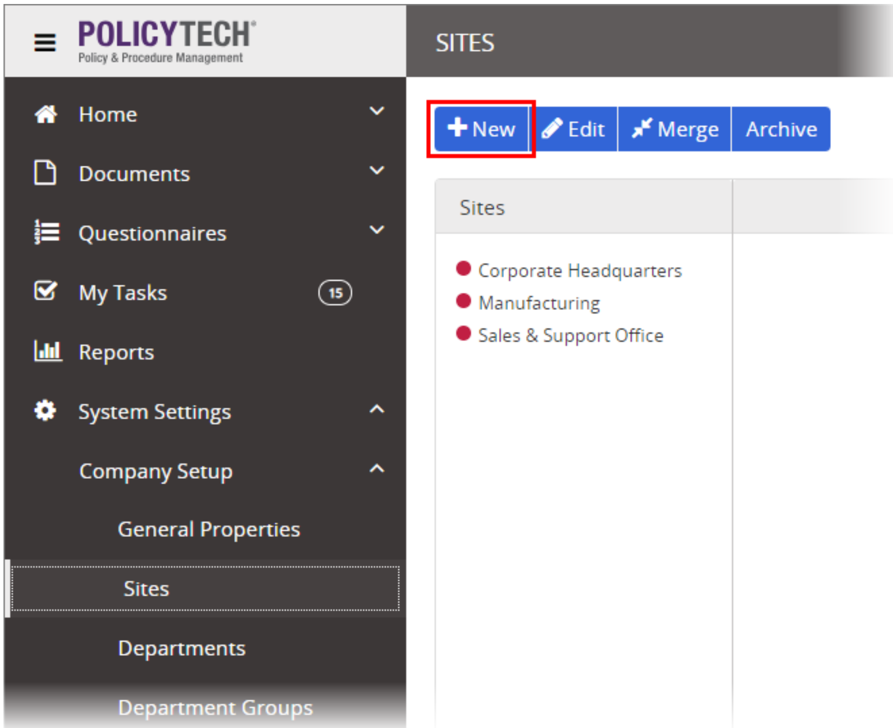
Merging Sites

Archiving a Site

Adding a Site

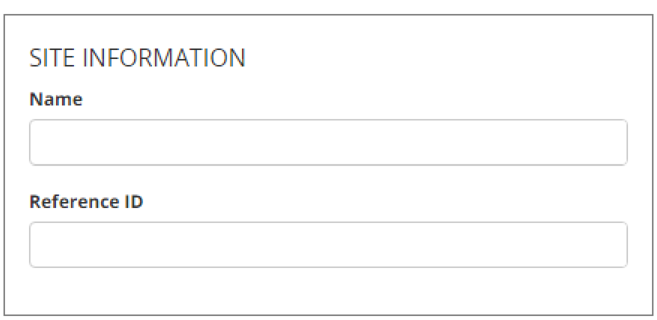
To add a site,

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**.

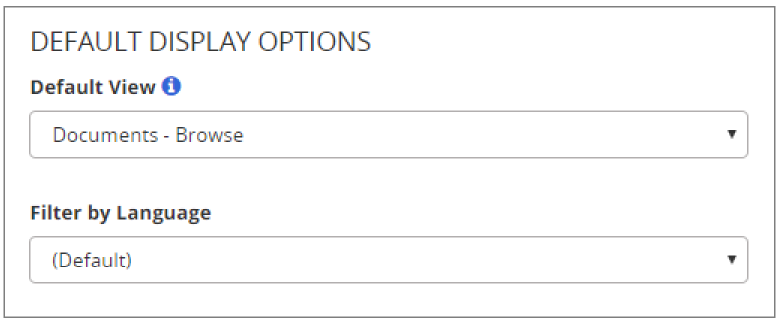
Site Information



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 Automated User Sync for a Hosted (SaaS) PolicyTech System for complete details.) If you do not use **Automated User Synchronization**, we suggest that the site name and reference ID be the same.

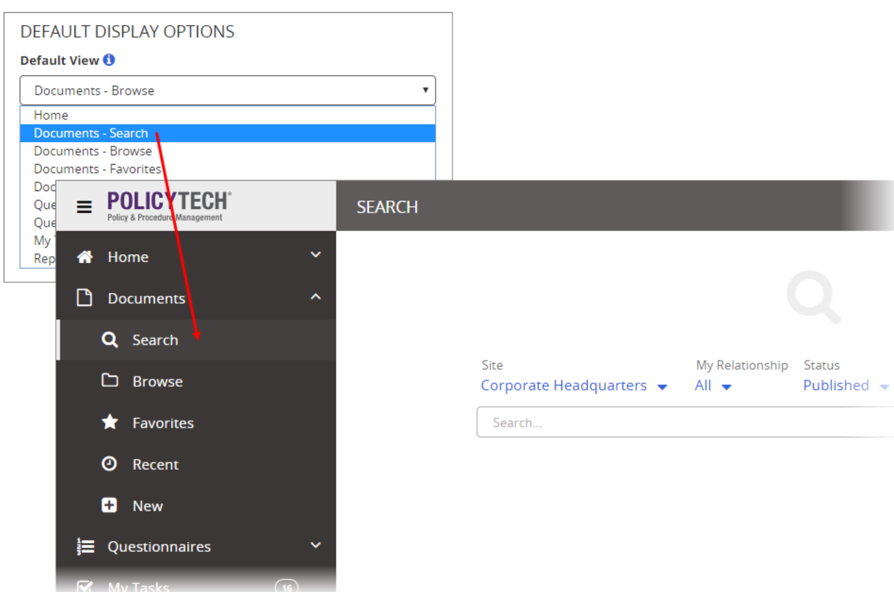
Default Display Options



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.

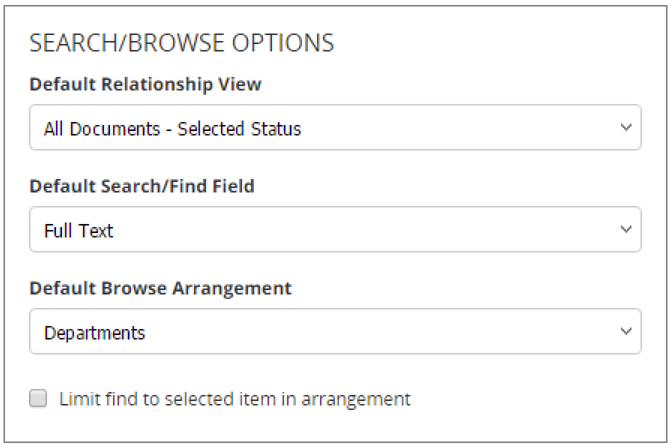


Filter by Language

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 General Properties). Thus, the site's initial **Filter by Language** setting is **(Default)**.

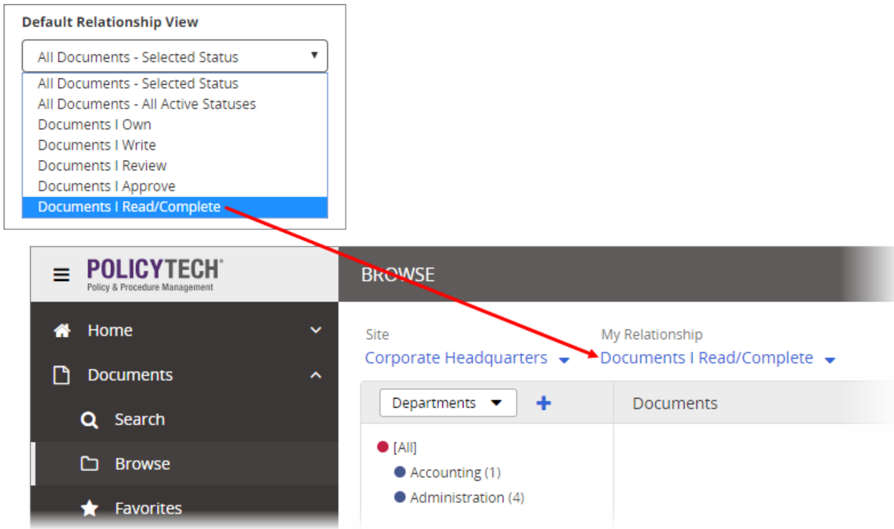
Search/Browse Options



> **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**.

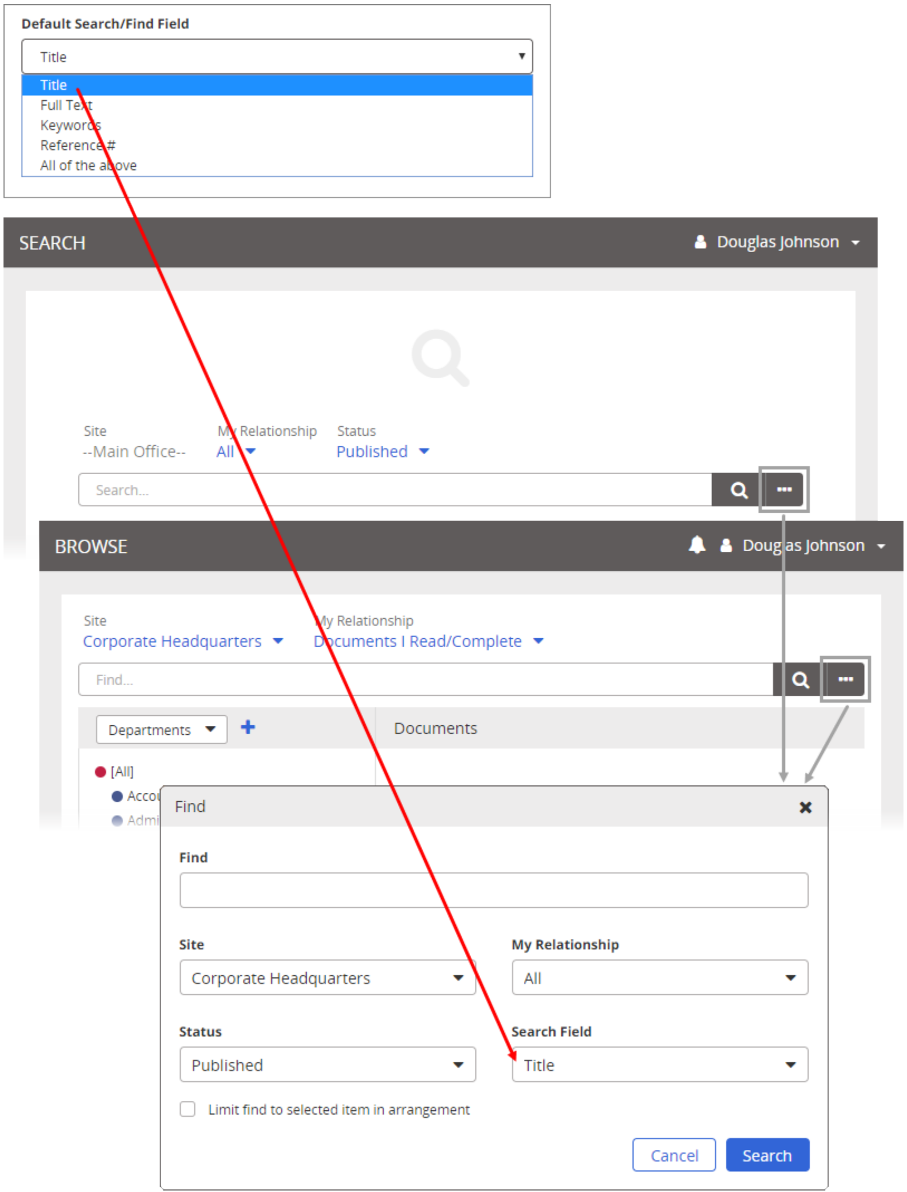


Note: If a user is not assigned the document role corresponding with the default relationship view, **My Relationship** will default to **All Documents - Selected Status** for that user. For example, if you select **Documents I Approve** as the site default, the default **My Relationship** setting for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

Default Search/Find Field

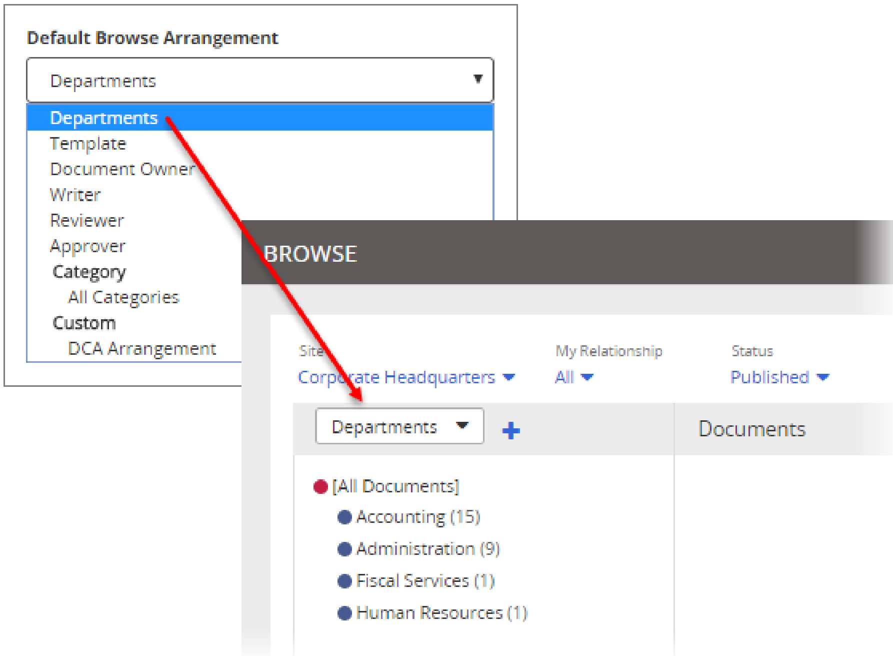
This setting determines the default **Search Field** setting for both **Search** and the **Find** feature in **Browse**.

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



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.

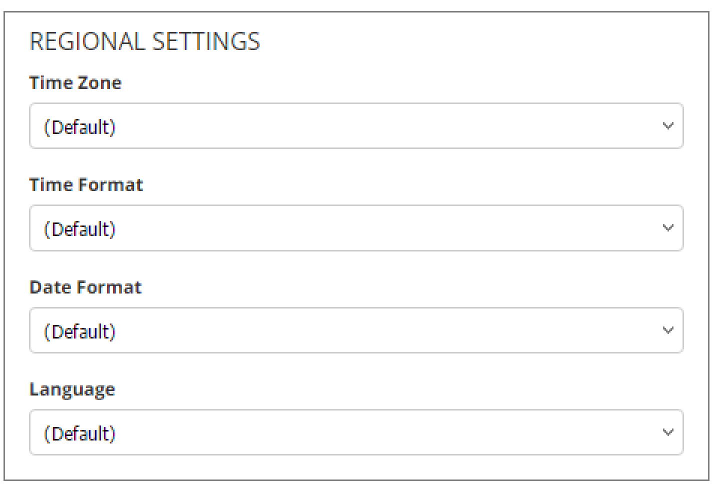


Limit Find

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

Regional Settings

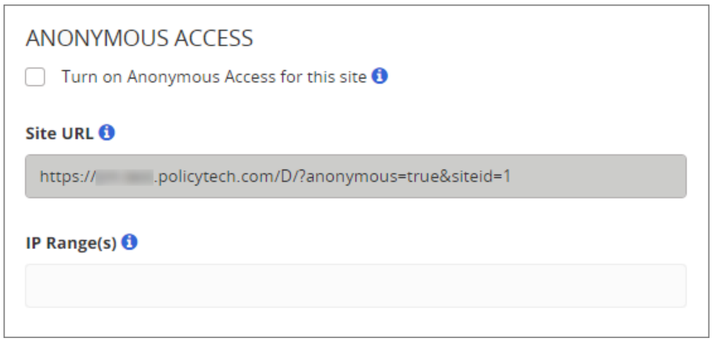
When you create a site, it inherits the current settings in System-Wide Regional Settings in **General Properties**, and all the site regional settings say **(Default)**. You can change any of these settings for the current site.



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 Public Viewer) 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.



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 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

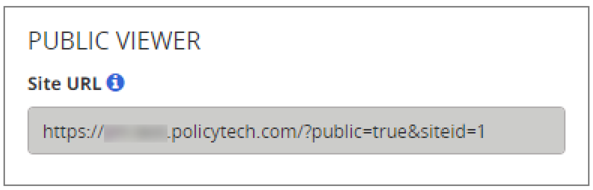
You can use both IPv4 (32 bit) and IPv6 (128 bit) IP address formats to specify a range. Type the lower limit of the IP range first, followed by a dash and then the upper limit of the IP range, as shown below. (Each number has been replaced with an x in the example.)

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.x.xx-xxx.xx.x.xx

Public Viewer



Important: You will only see the **Public Viewer** area if the **Public Viewer** add-on module has been purchased and enabled. See Module Manager 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.

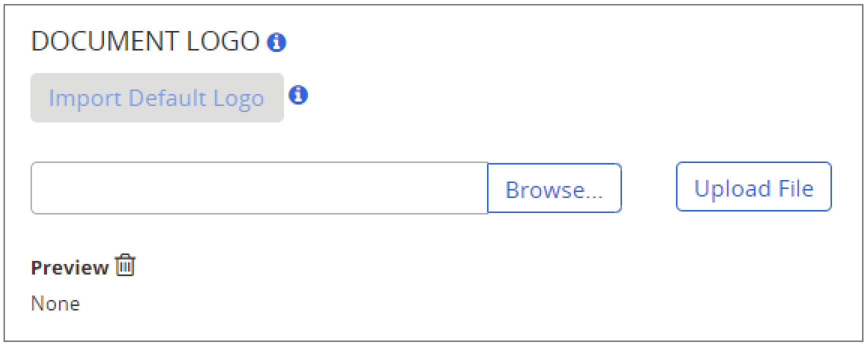
Note: The Site URL is automatically generated and cannot be changed.

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.



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

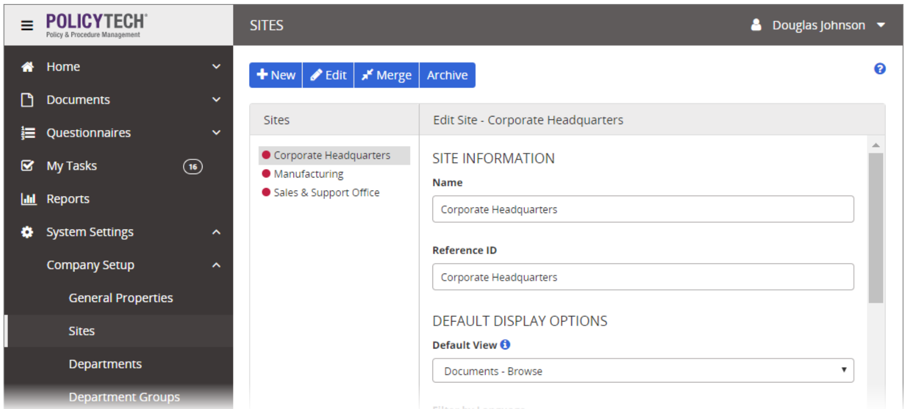
1. Use **Browse** to find and select an image file.
2. Click **Upload File**. A preview of the new default logo is displayed.

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.



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.

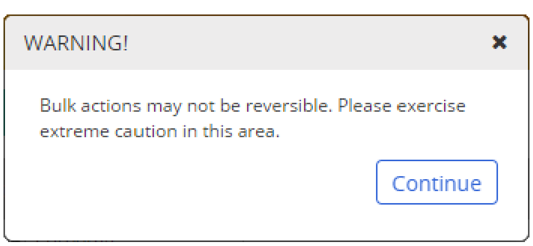
Important: A site that is merged into another is not placed in the **Archive** and can only be restored by restoring a backup database.

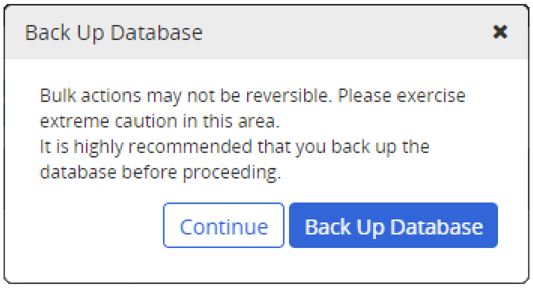
Note: For a merge to be successful, the site being merged cannot contain any departments or job titles that are the same as those in the target site. If you know of duplicate names, you can rename or archive duplicates before performing the merge. If you don't know of any duplicate names, go ahead and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

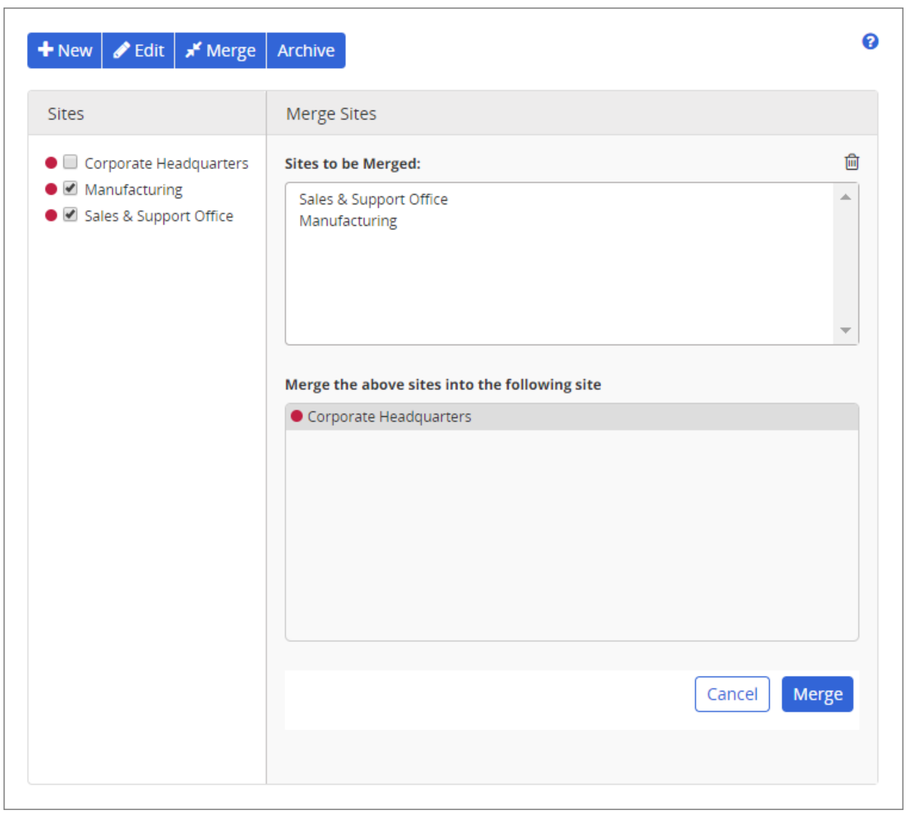
1. Click **System Settings**, click **Company Setup**, and then click **Sites**.
2. Click **Merge**.

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).





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.



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 The Archive).

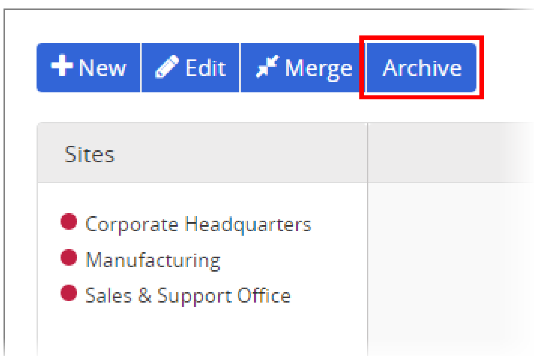
Archiving a Site

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

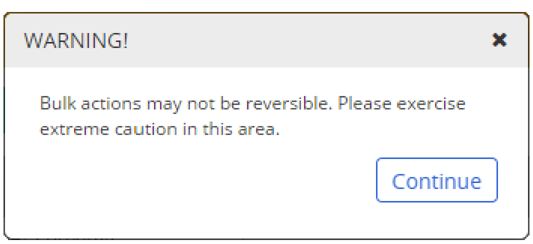
- Users
- Documents
- Departments
- Categories
- Templates

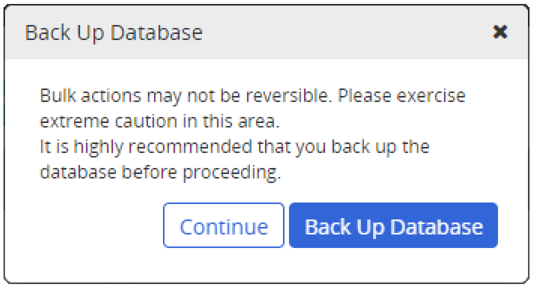
To archive a site,

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

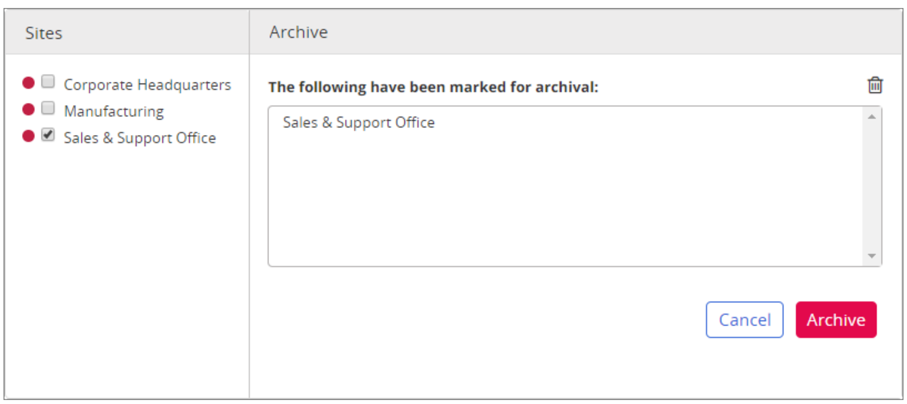


You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).





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**.



Notes:
- If you see a **Please correct the following** message, take the necessary corrective actions and then try archiving the site again.
- See The Archive 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

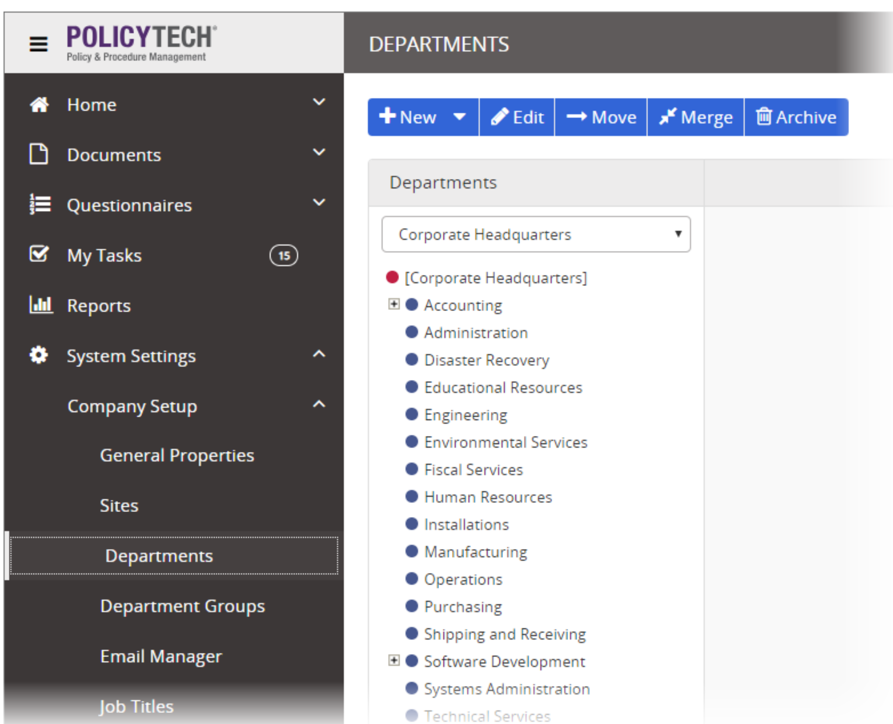
Merging Departments

Deleting a Department

Adding a Department

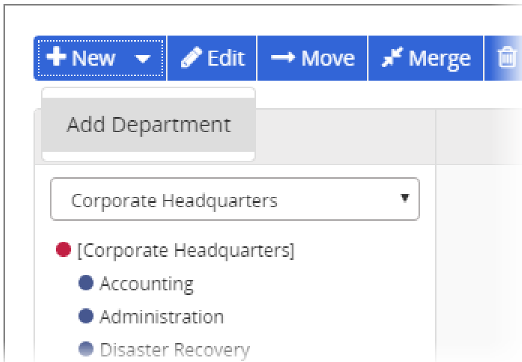
Note: You can automatically create departments in PolicyTech by importing users from Active Directory® or a human resources database. See Importing and Syncing Users from Another Database for details.

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.

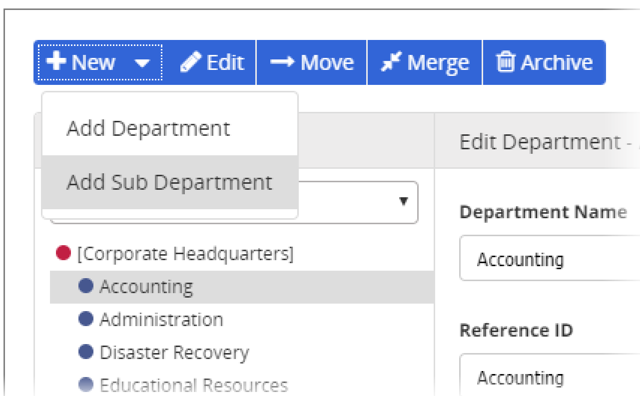


3. Do one of the following:

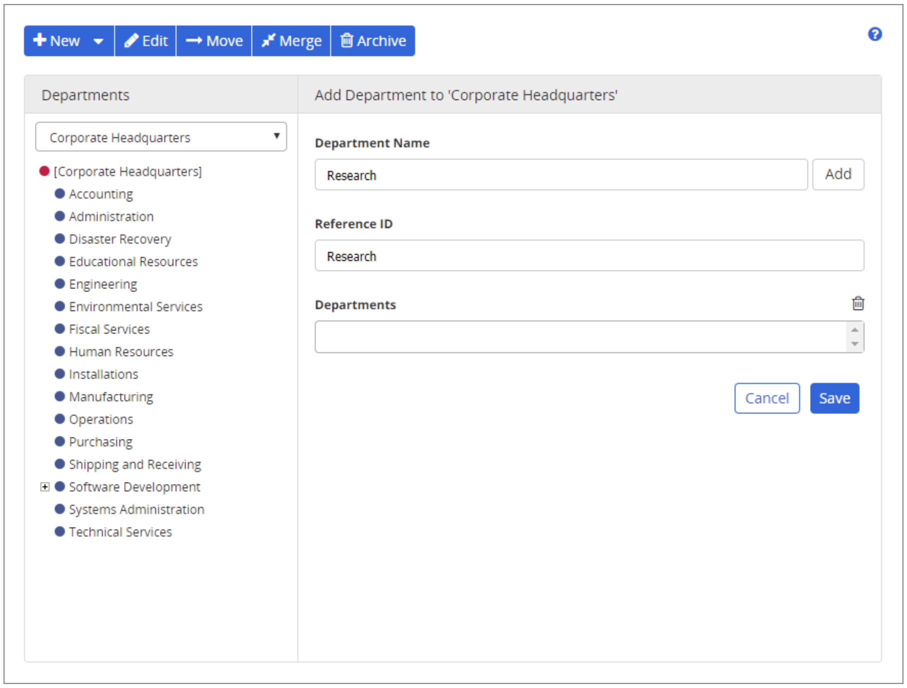
   - If you're adding a top-level department, click **New**, and then click **Add Department**.



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



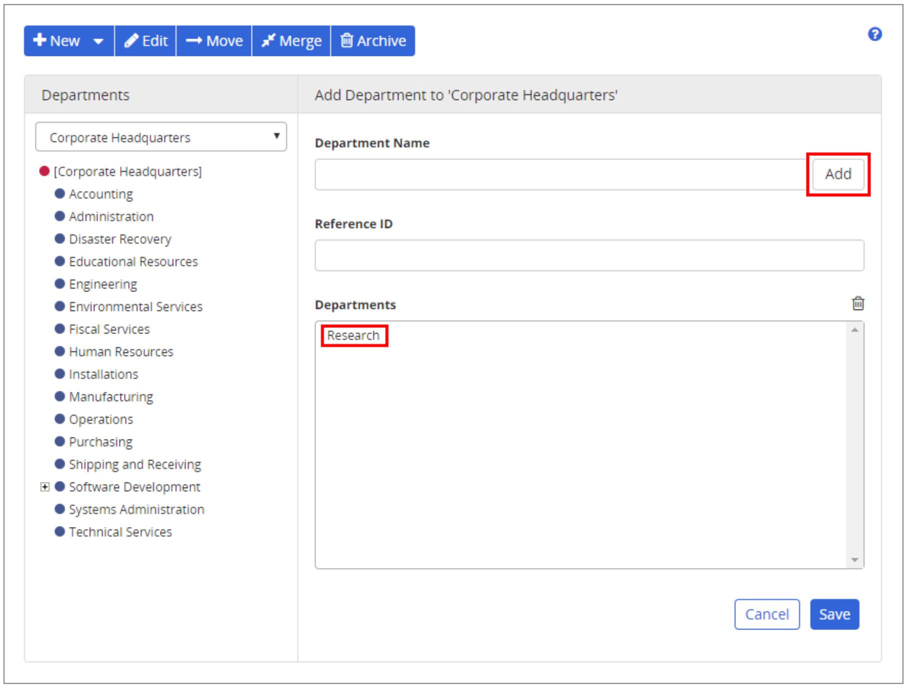
4. Type a department name.



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 Automated User Synchronization 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**.

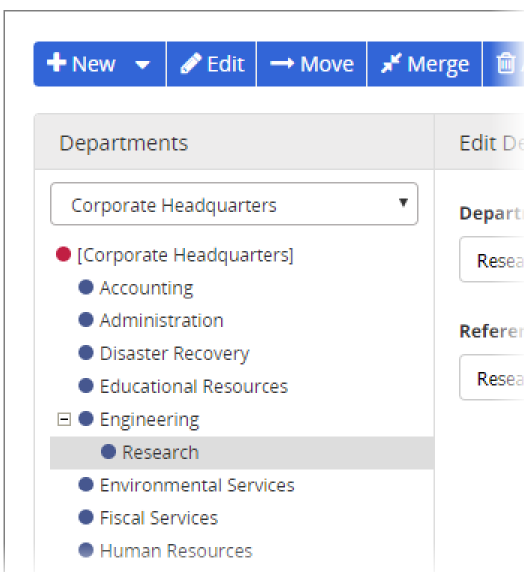
5. Click **Add** to add the department to the **Departments** box.



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.



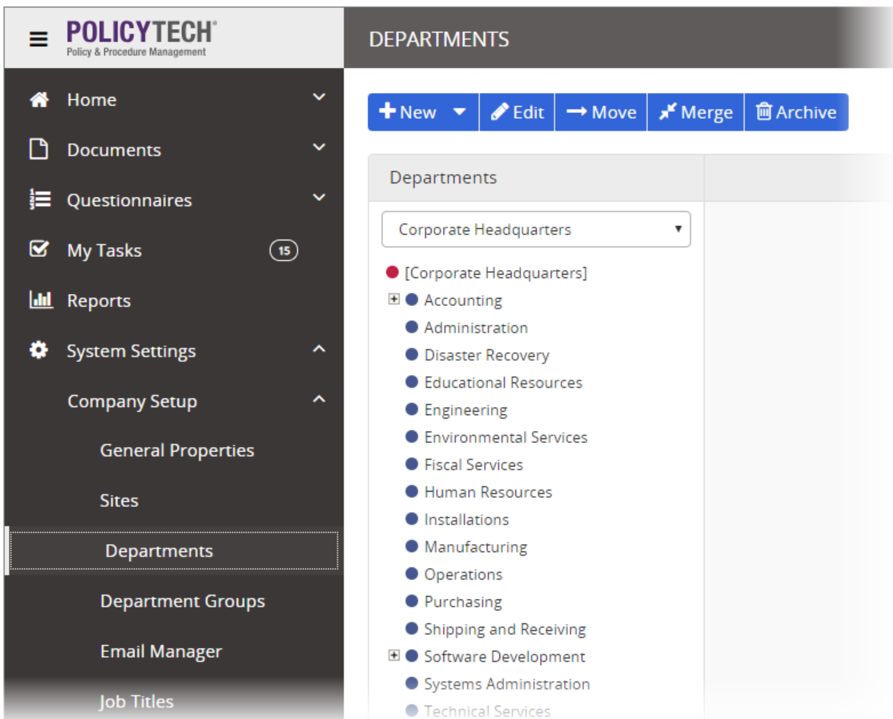
Editing a Department

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.

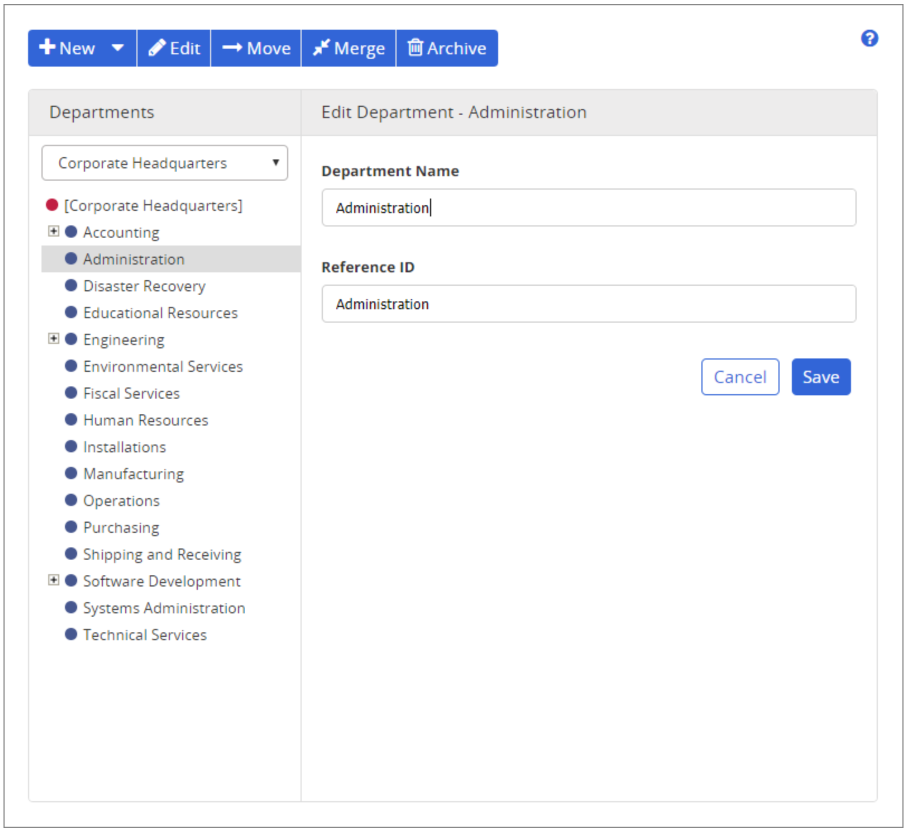
Important: If you are using **Automated User Synchronization**, you should not change a department's reference ID unless it has also changed in Active Directory® or in the human resources database that PolicyTech is synchronizing with. Otherwise, the department will no longer be synchronized.

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.

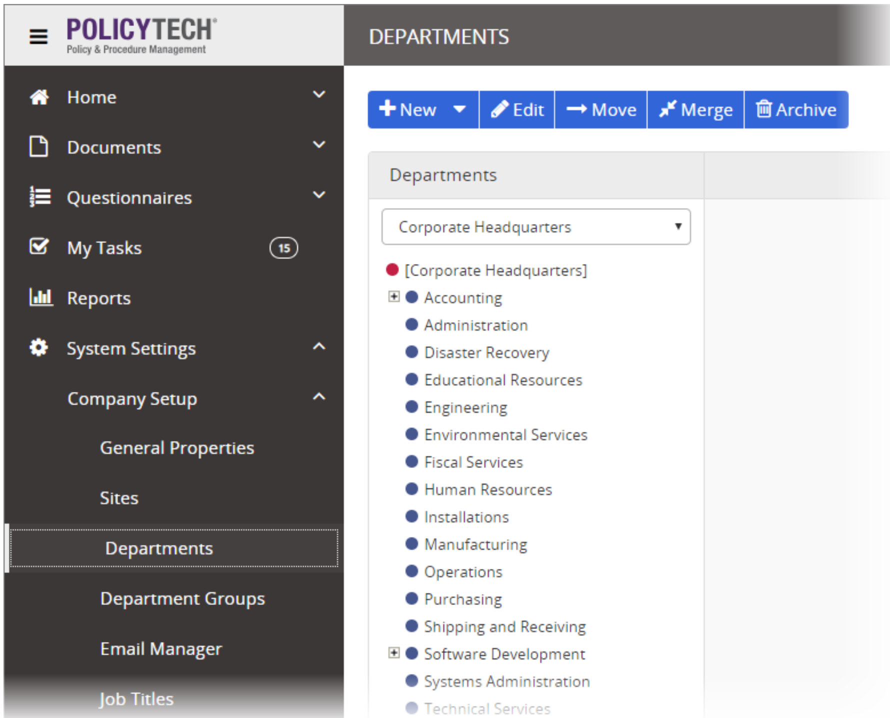


4. Make the desired changes, and then click **Save**.

Moving a Department

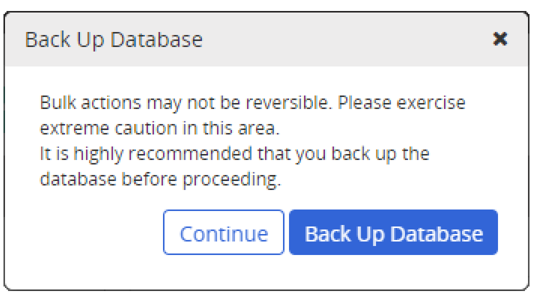
You can move a department from one site to another or up or down within the department-subdepartment structure.

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**.

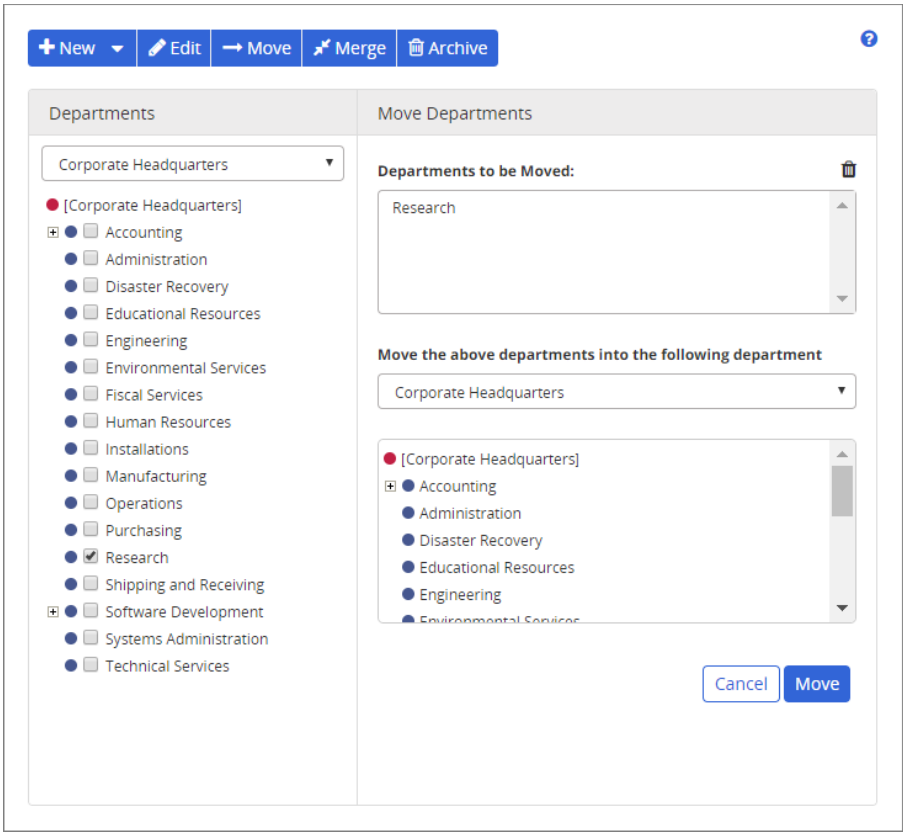
You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).



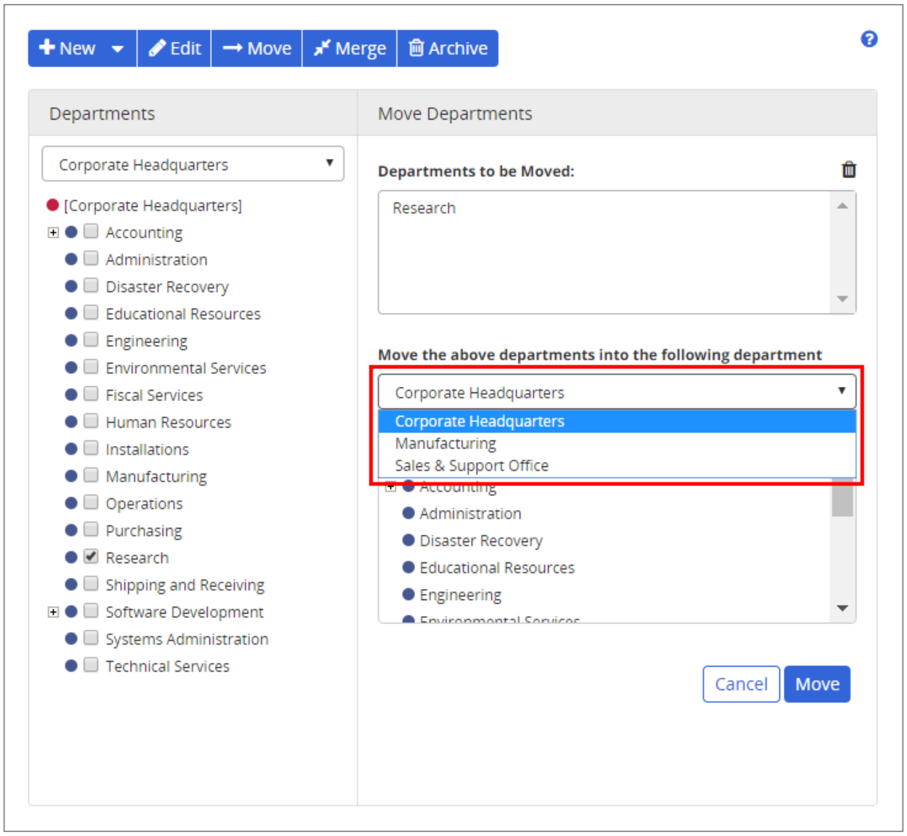
4. Do one of the following:
   - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
   - If you're prompted to back up your database, click **Back Up Database**, click **OK**, and then. when the backup is finished, click **Close**. Because

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**.

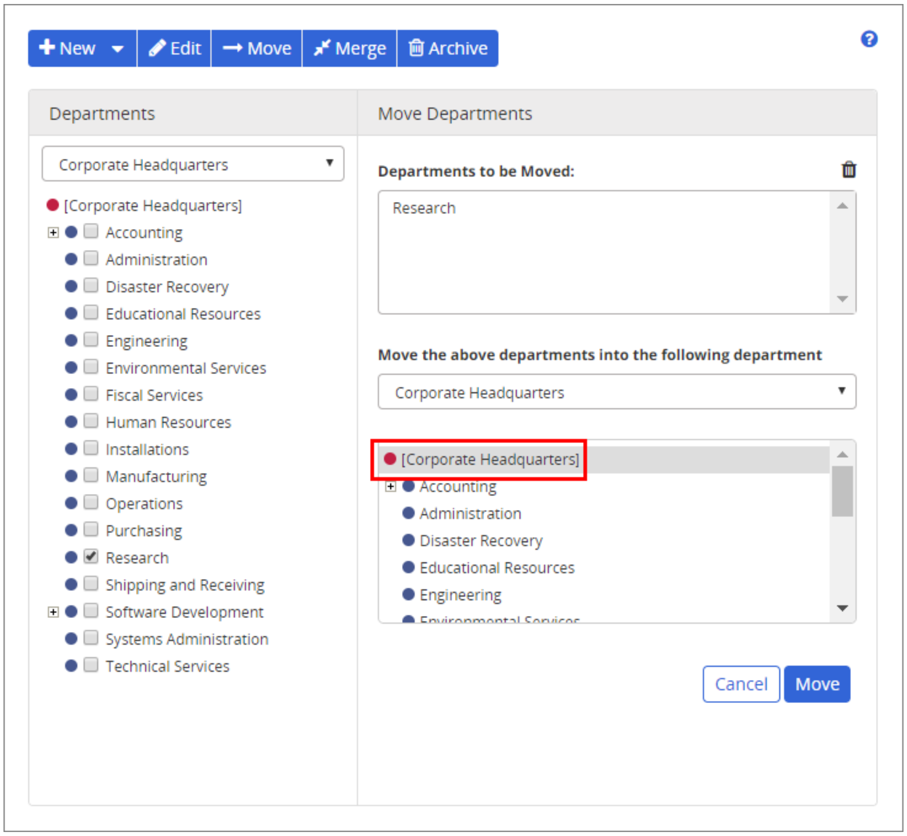


6. If you need to move the selected departments to a different site, directly below **Move the above departments into the following department**, select the target site.

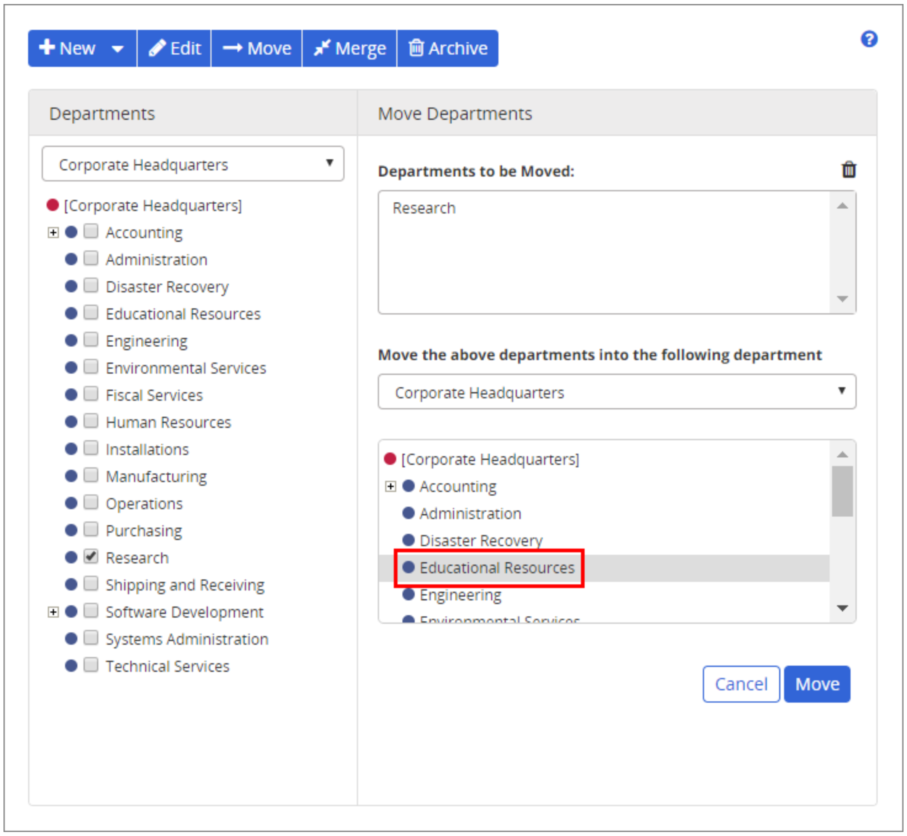


7. Do one of the following:

   - To move the selected departments to become top-level departments, click the site name preceded by ●.



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



8. Click **Move**, and then click **OK**.

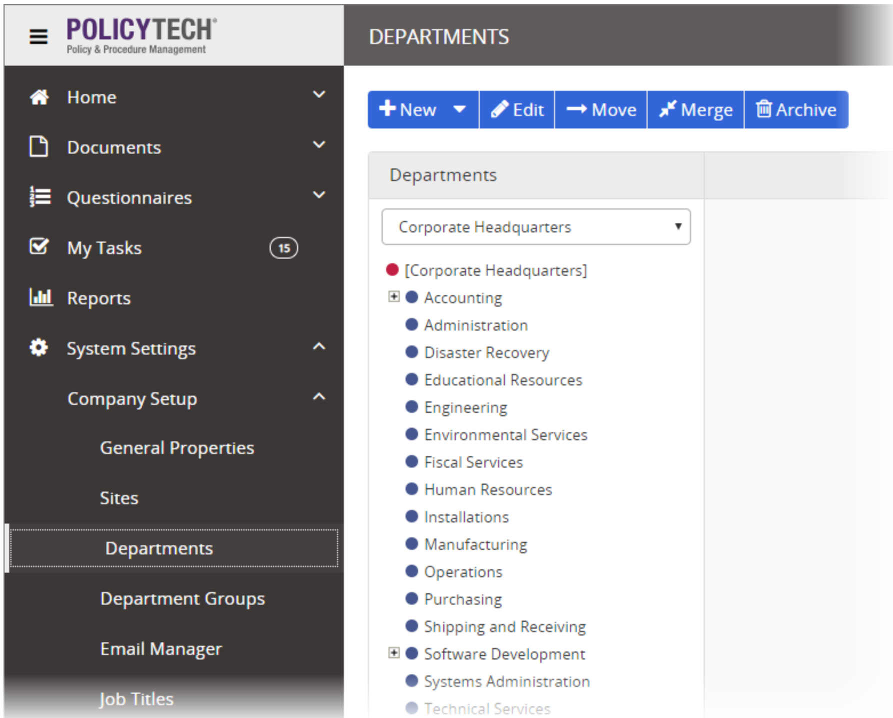
Merging Departments

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.

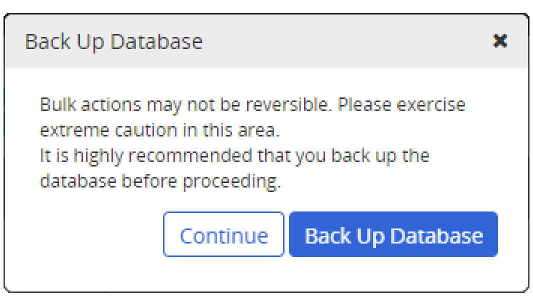
To merge one or more departments into another,

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**.

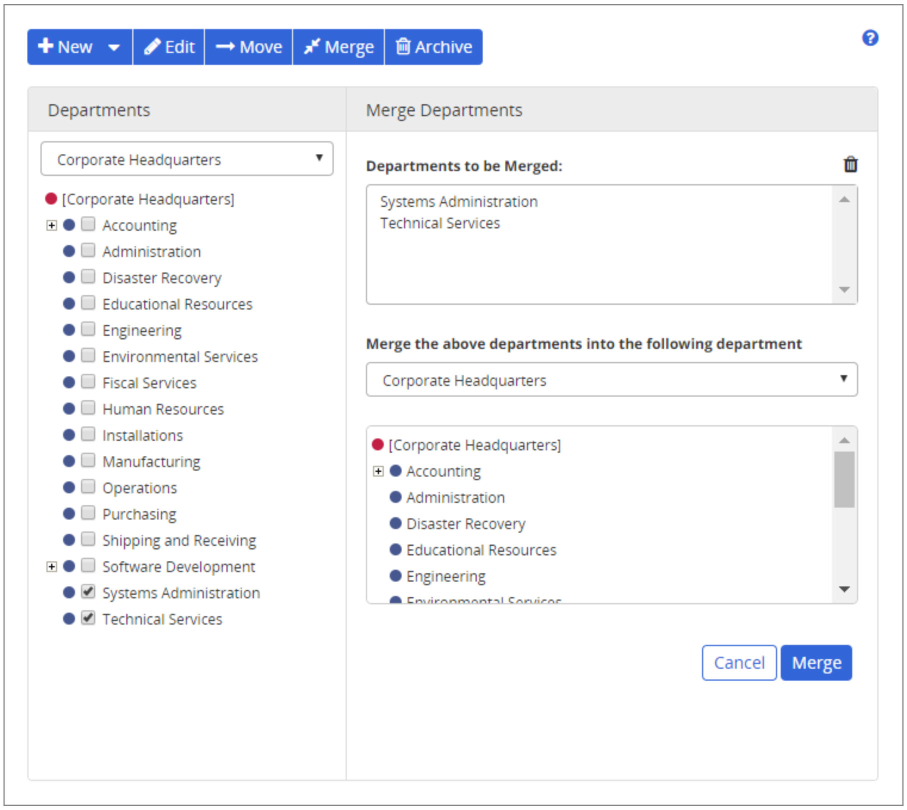
You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).



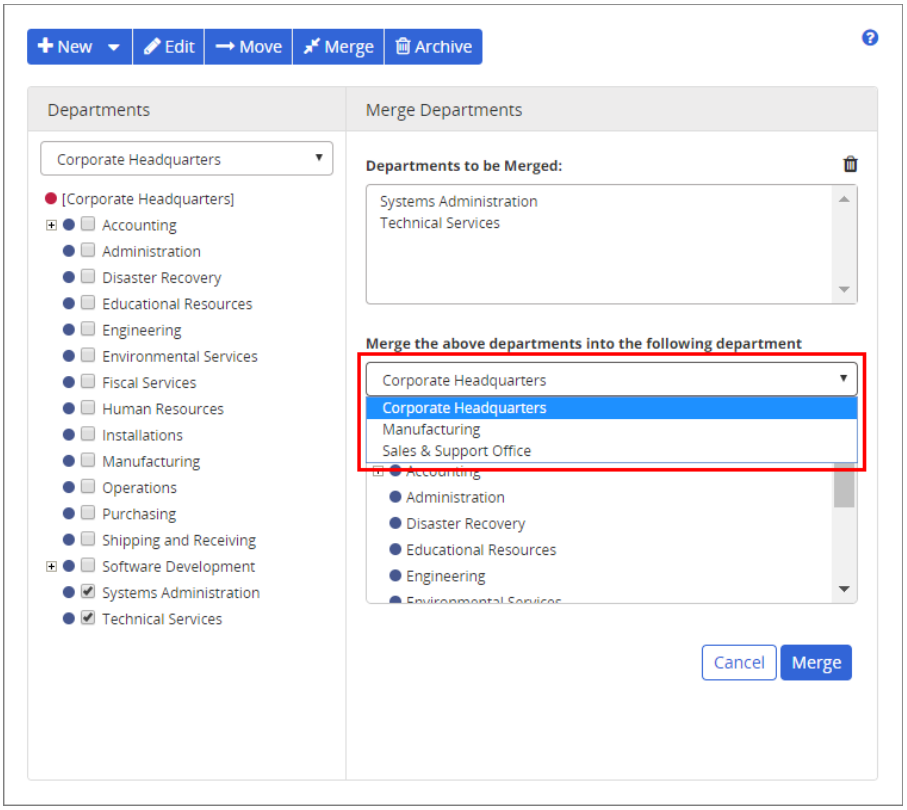
4. Do one of the following:
   - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
   - If you're prompted to back up your database, click **Back Up Database**, click **OK**, and then. when the backup is finished, click **Close**. Because

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**.

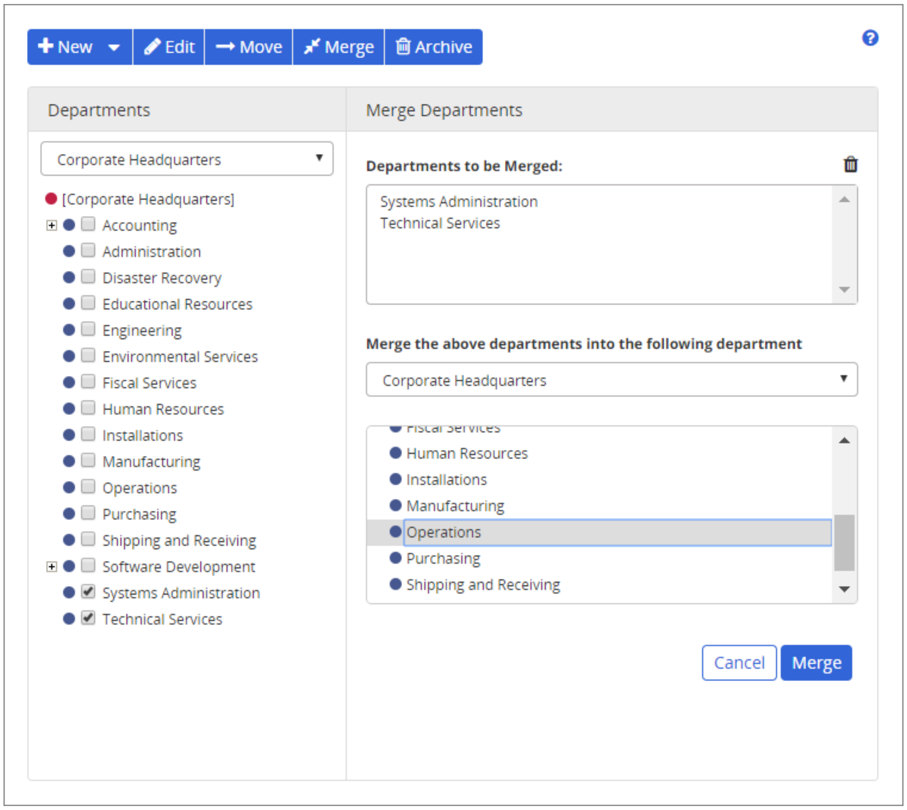
5. In the department list on the left, select the departments you want to merge into the same target department. Each selected department name appears under **Departments to be Merged**.



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.



7. Click the target department.



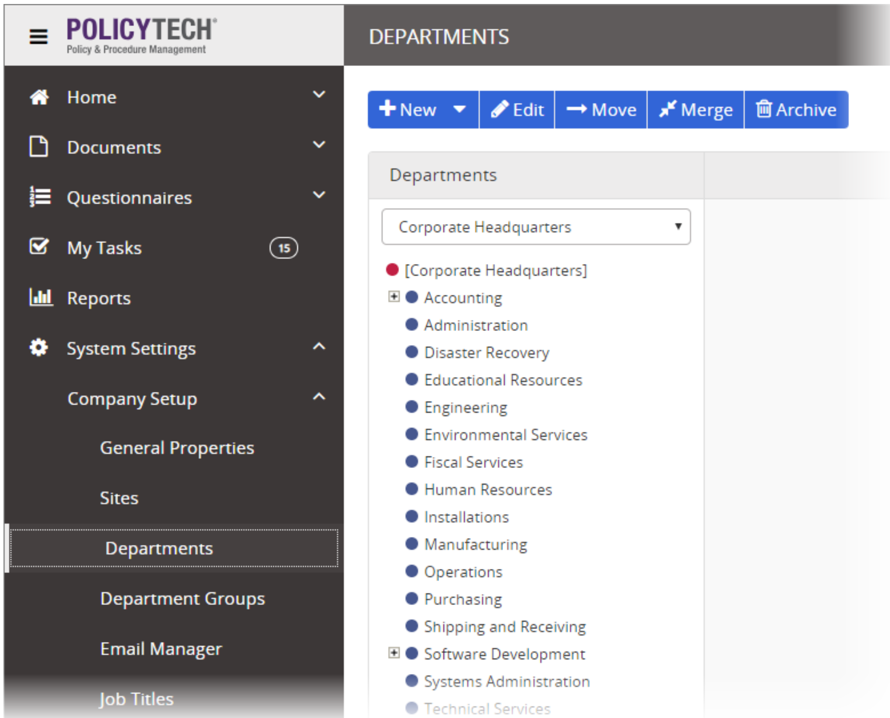
9. Click **Merge**, and then click **OK**.

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.

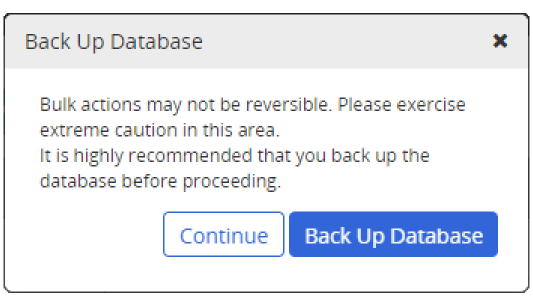
- Users
- Documents
- Subdepartments

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).

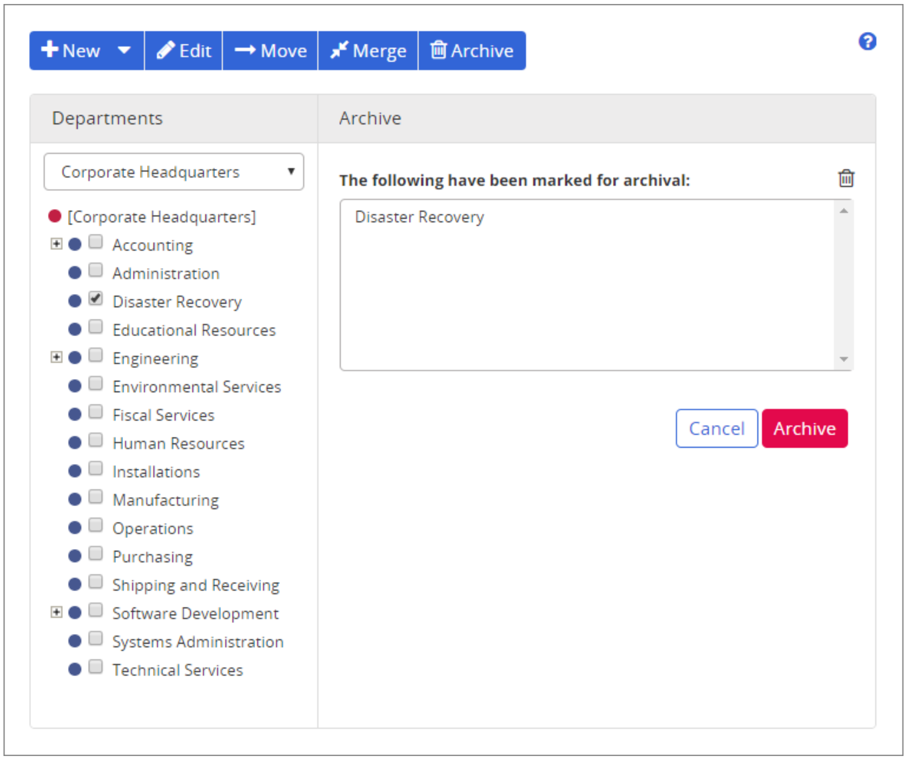


4. Do one of the following:

   - 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.



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

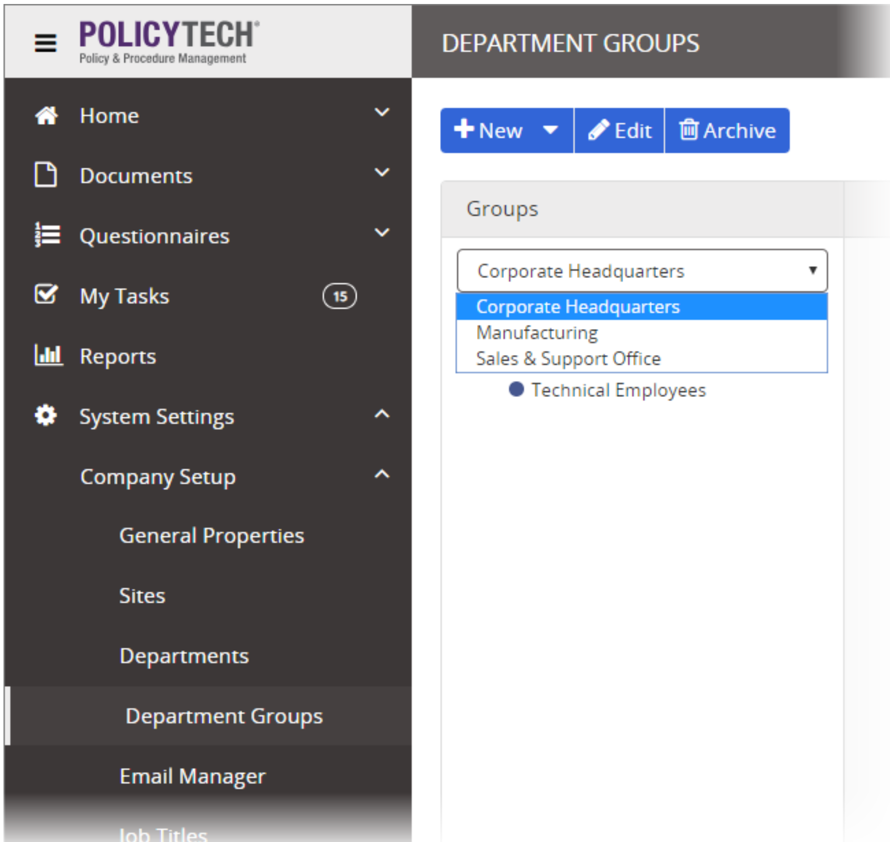
Deleting a Department Group

Adding a Department Group

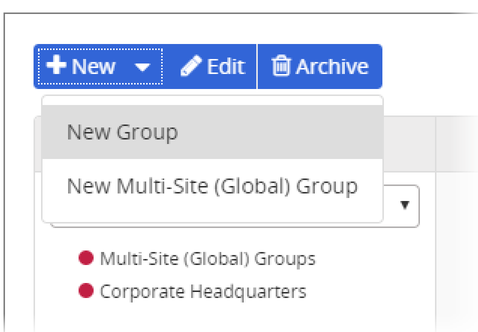
When adding a department group, you can include departments from a single site, or you can create a multisite group.

Adding a Single-Site Department Group

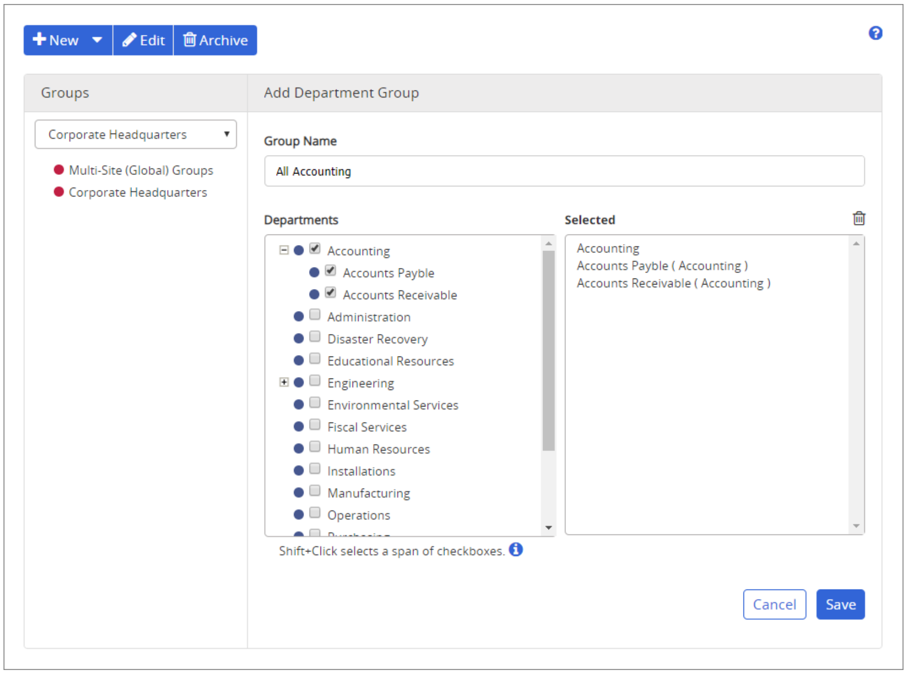
1. Click **System Settings**, click **Company Setup**, and then click **Department Groups**.
2. If multiple sites exist, select the site you want to add a department group to.



3. Click **New**, and then click **New Group**.

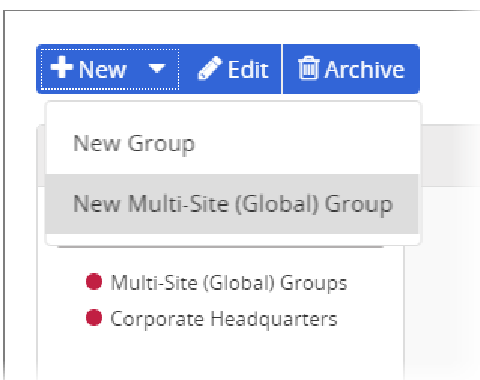


4. Type a group name.
5. Select the departments to include in the group, and then click **Save**.

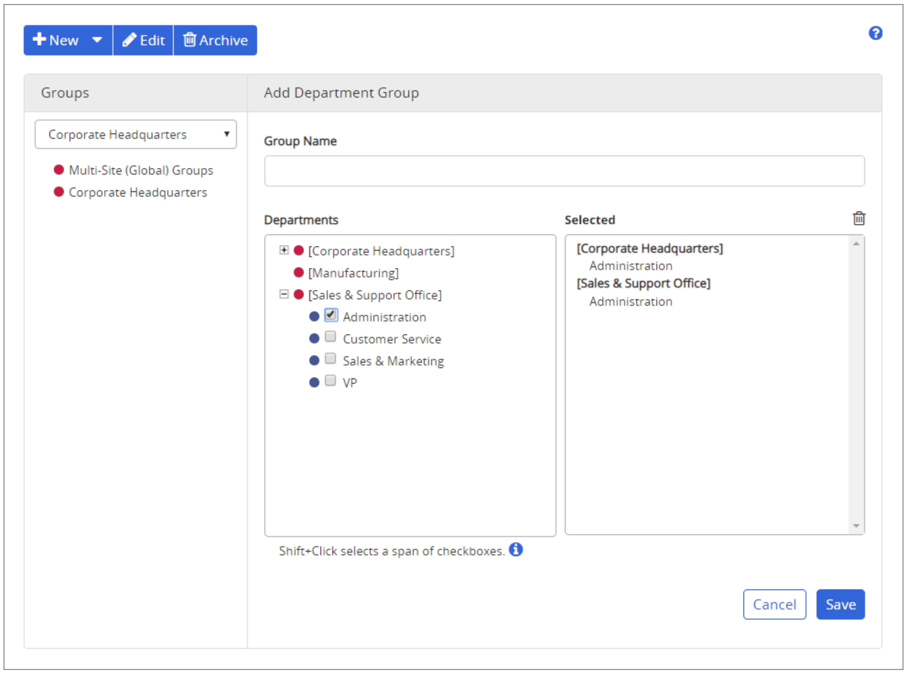


Adding a Multisite Department Group

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



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.



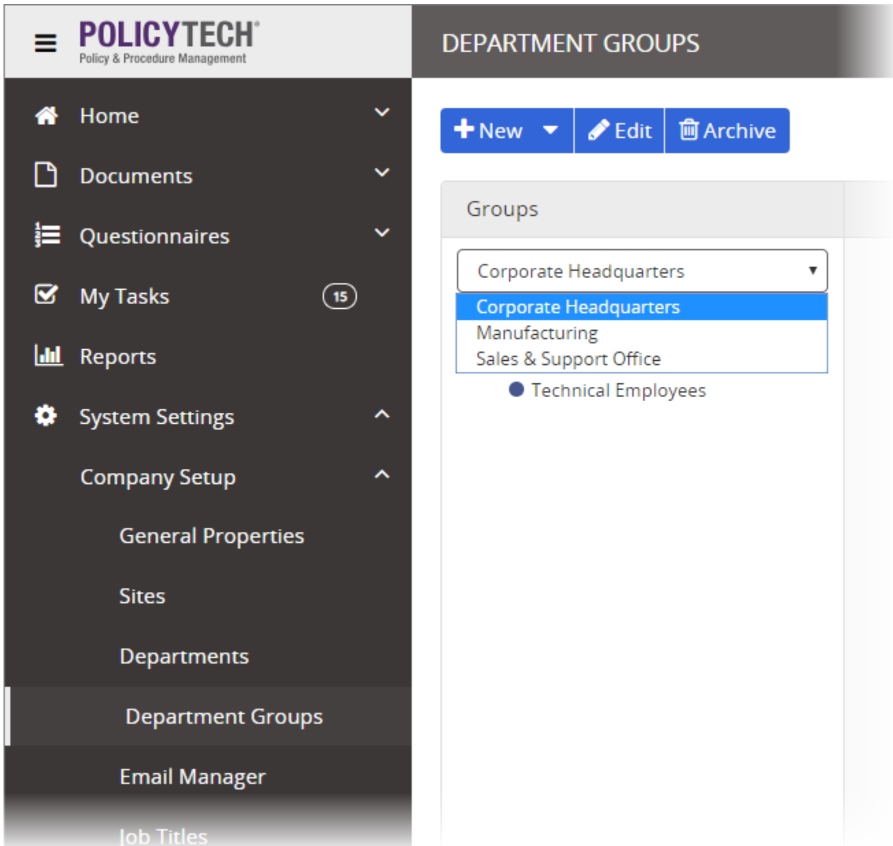
6. Repeat steps 4 and 5 as necessary to add departments from other sites.
7. Click **Save**.

Editing a Department Group

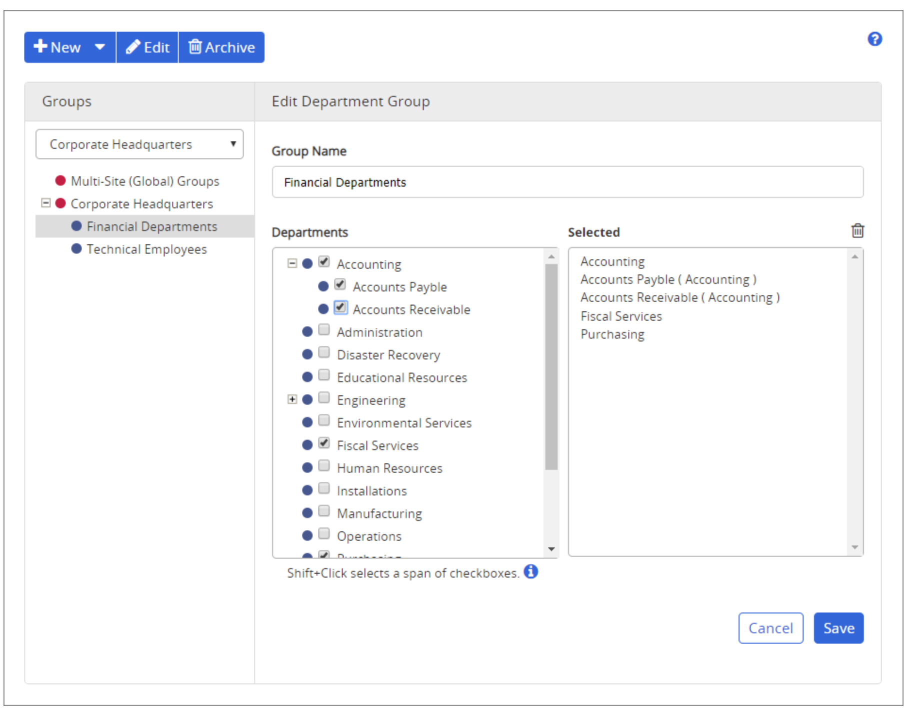
How you access a department group depends on whether it is a single-site or multisite group.

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.



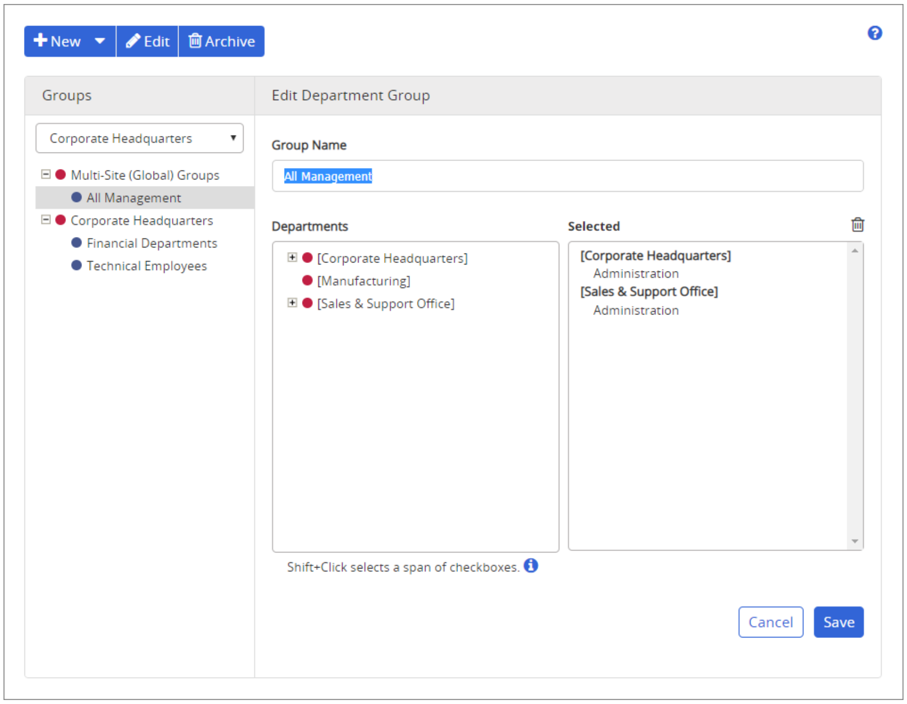
3. Click the department group you want to change.



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

Editing a Multisite Department Group

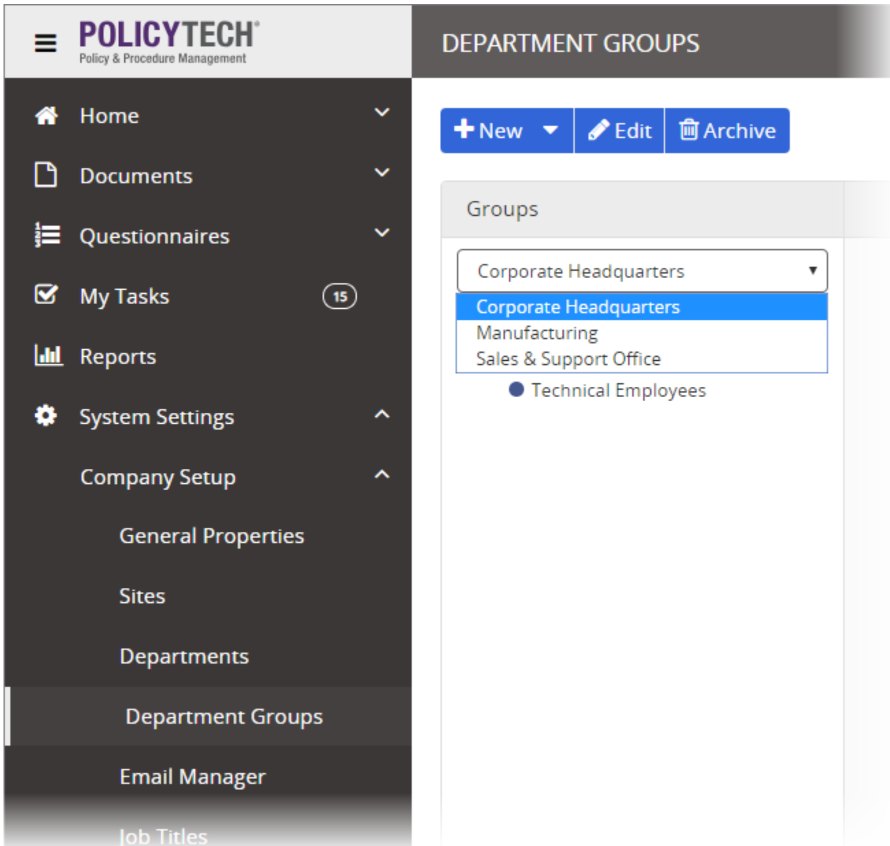
1. Click **System Settings**, click **Company Setup**, and then click **Department Groups**.
2. To expand **Multi-Site (Global) Groups**, click ⊞.
3. Click the department group you want to change.



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

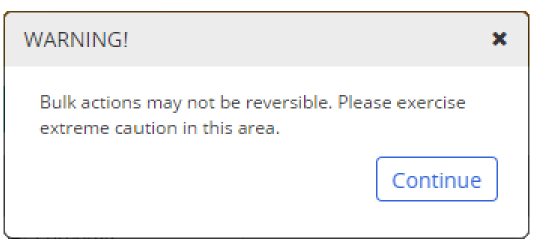
Archiving a Department Group

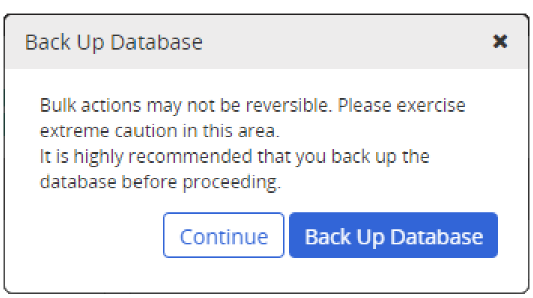
1. Click **System Settings**, click **Company Setup**, and then click **Department Groups**.
2. If you're deleting a single-site group and multiple sites exist, select the site containing the department group.



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).

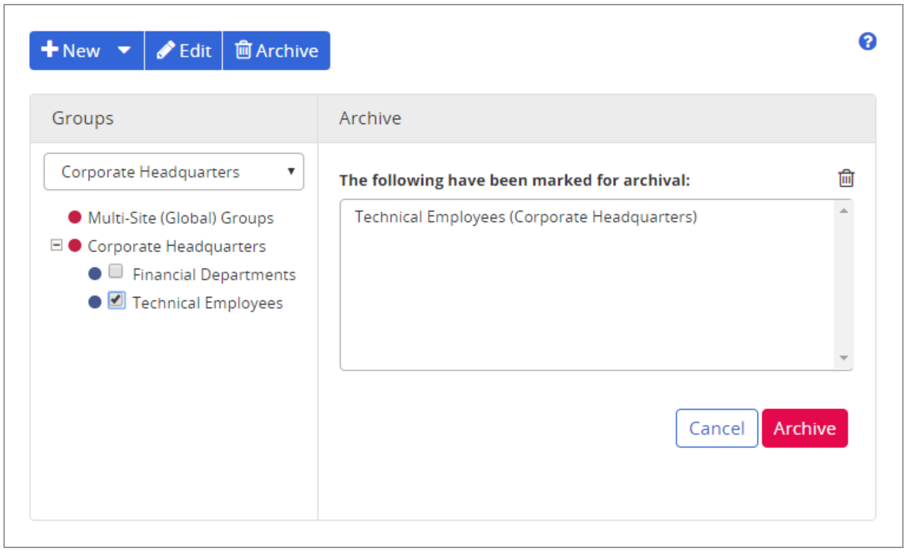




4. Do one of the following:

- 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.



Note: See The Archive 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

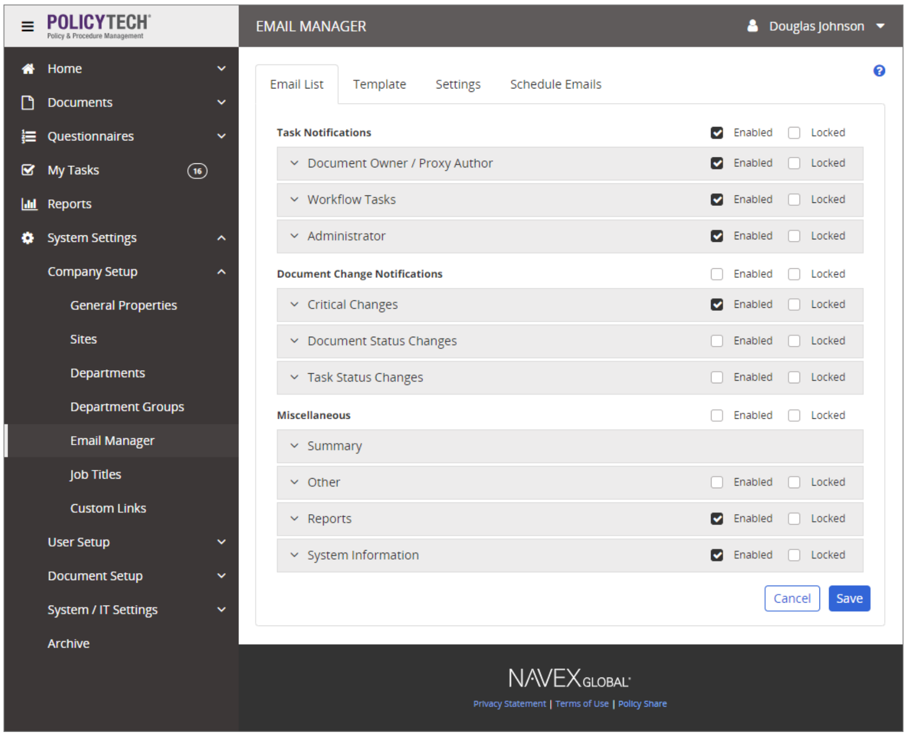
Template

[Settings](#)
[Schedule Emails](#)

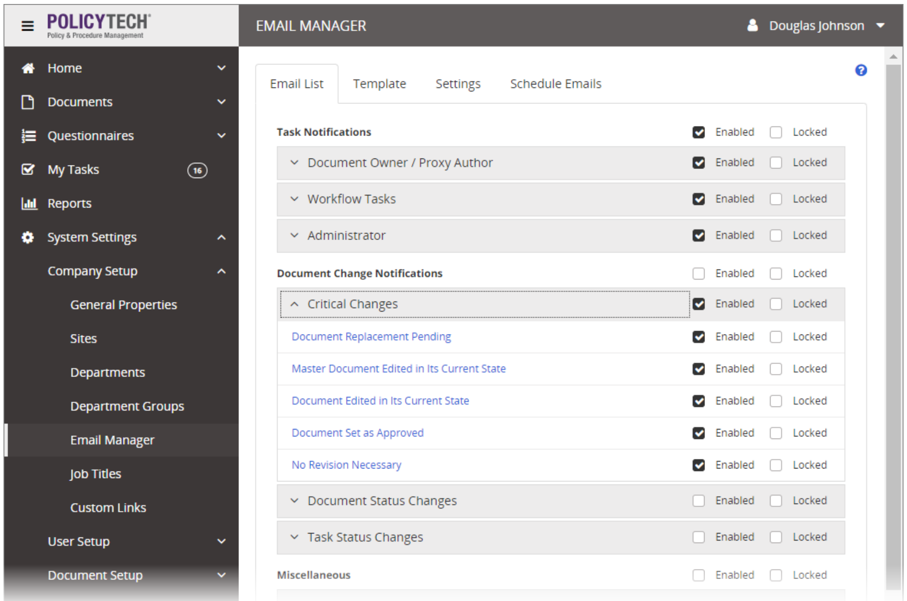
Email List

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.



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.



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.

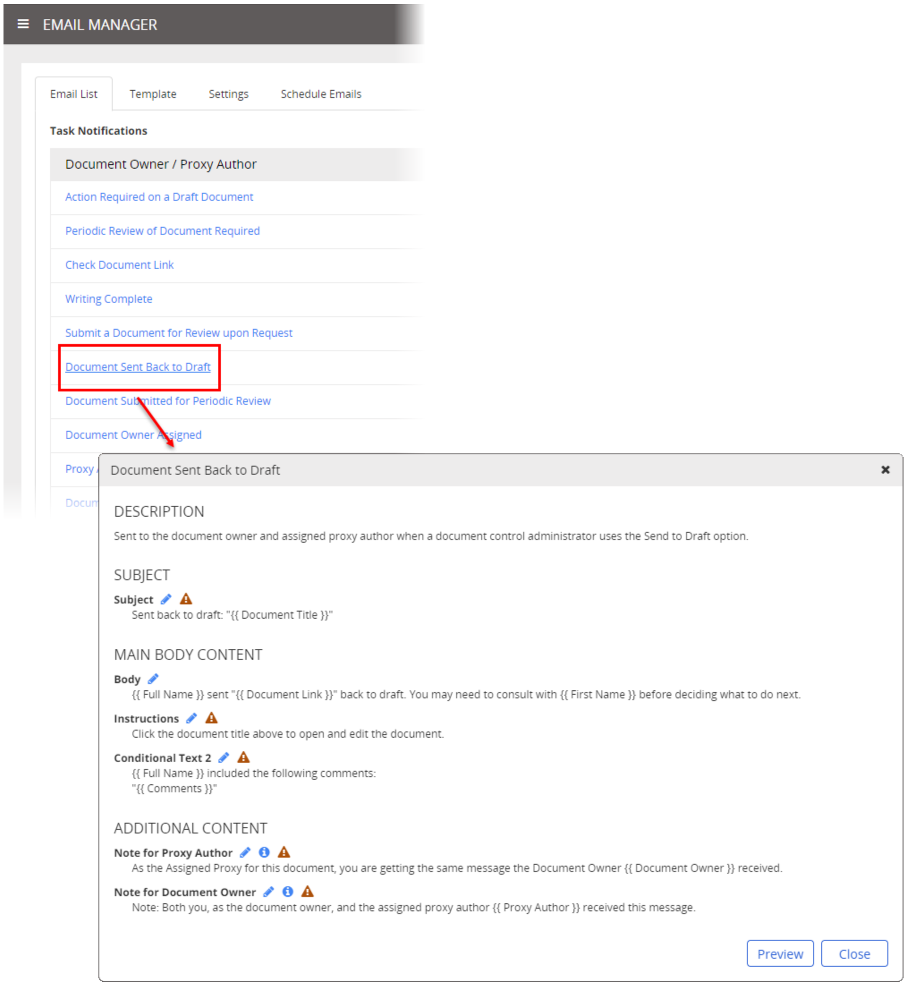
   - If you choose to allow users to manage their own email settings (see Email Manager: Settings), you can limit their ability to enable or disable specific emails or groupings. After configuring **Enabled** settings, select **Locked** for a grouping, subgrouping, or individual email.

   - 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 Editing and Previewing a Notification Email.

Editing and Previewing a Notification Email

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

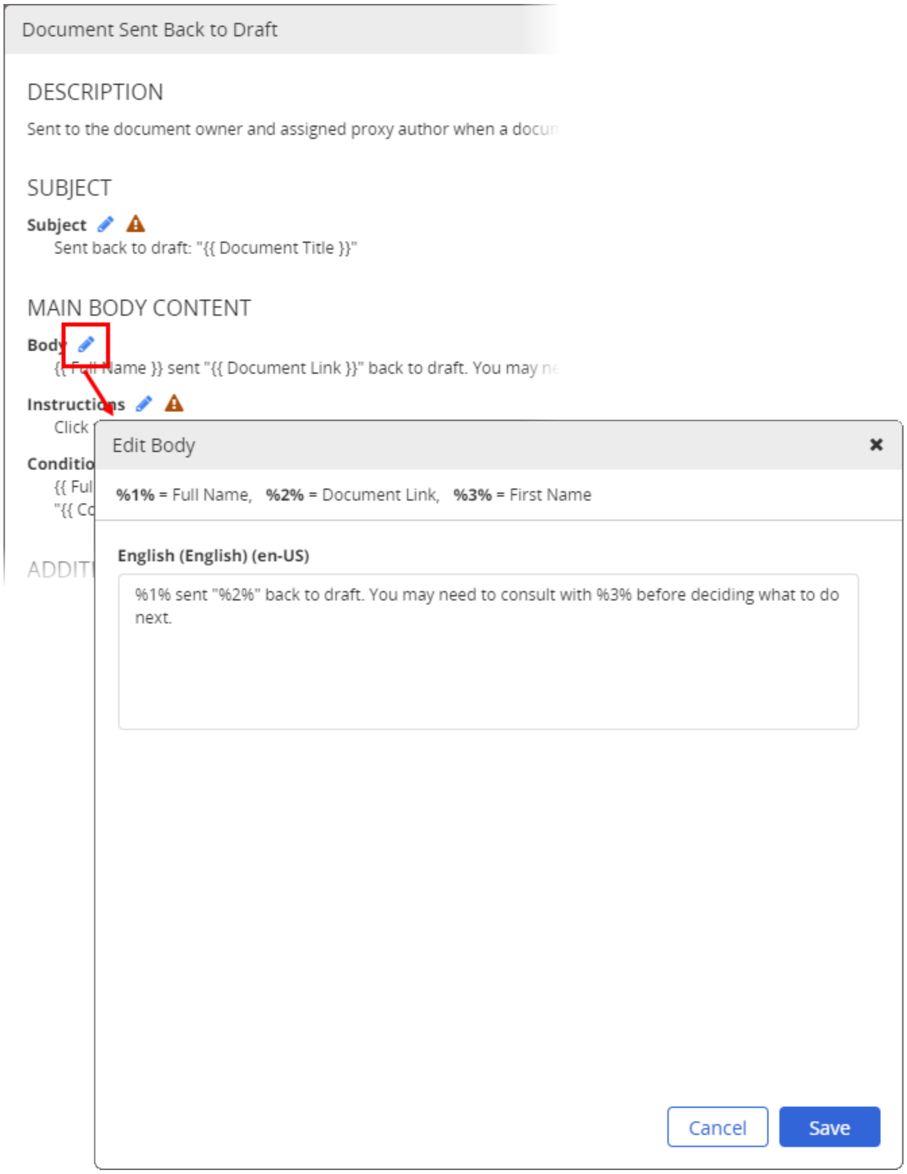
1. In the **Email List** tab of **Email Manager**, locate and click the email name.



2. To edit a piece of text, click.

Notes:

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

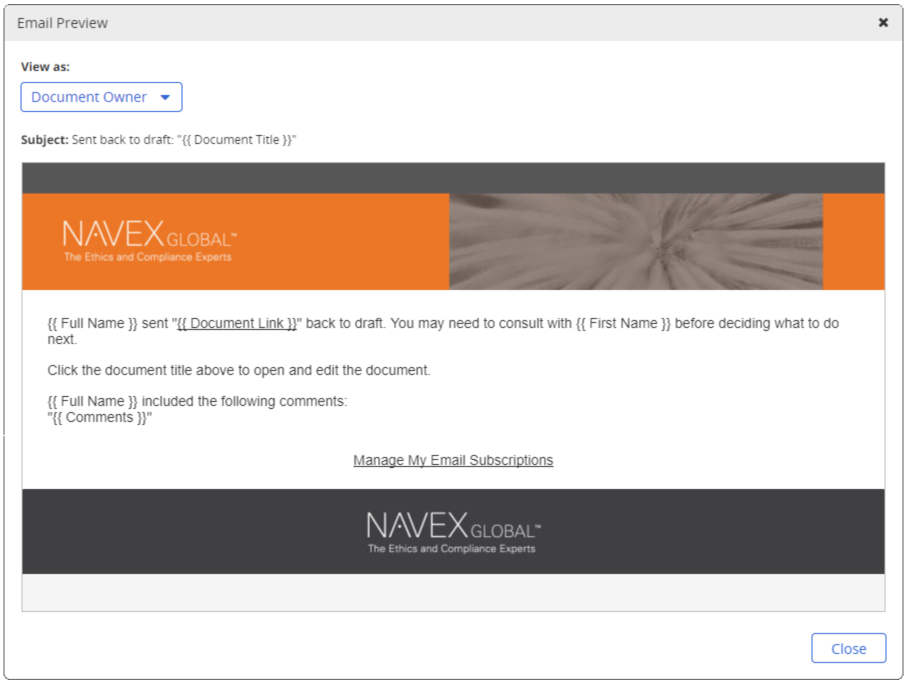


3. Edit the text.

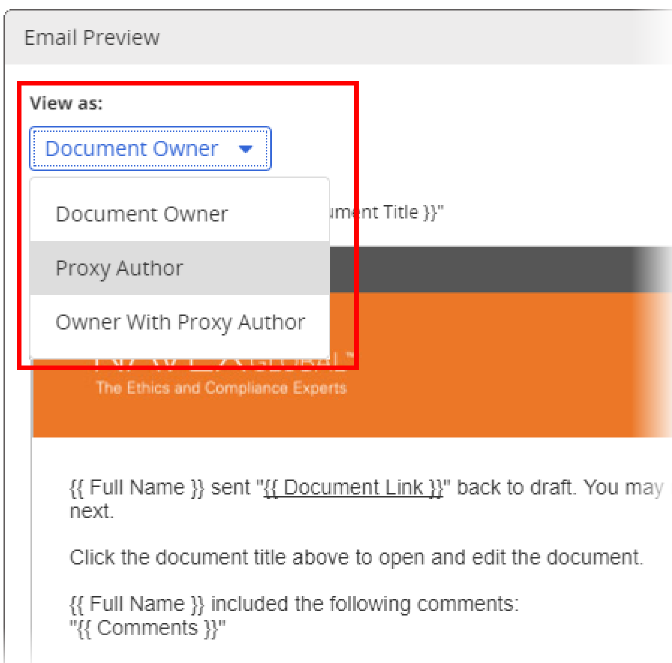
Important: If the text contains variables (certain document properties inserted into the text from the PolicyTech database), they are listed immediately below the **Edit** header. In the screenshot above, for example, %1% is a variable that will be replaced with a user's full (first and last) name when 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 Language Files), 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).



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



When finished with the preview, click **Close**.

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

Editing and Sending the Welcome Email

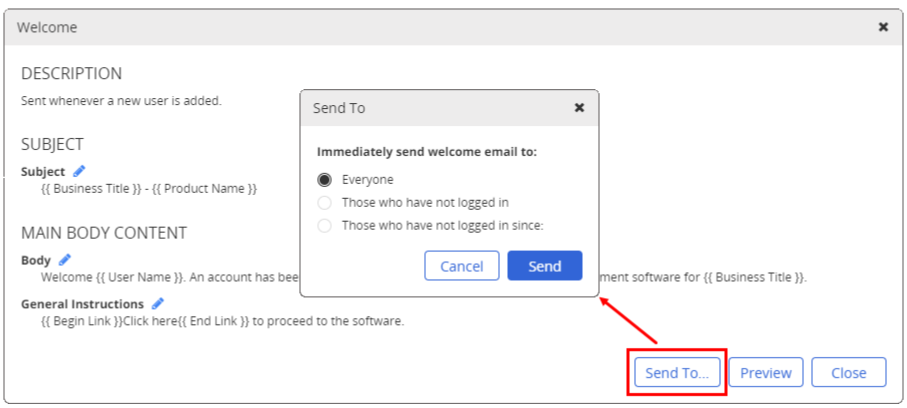
For the most part, editing the **Welcome** email in the **Miscellaneous: Other** subgrouping is the same as editing any other email. However, the **Welcome** email editor contains an additional option called **Send To**.

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:



- 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**.

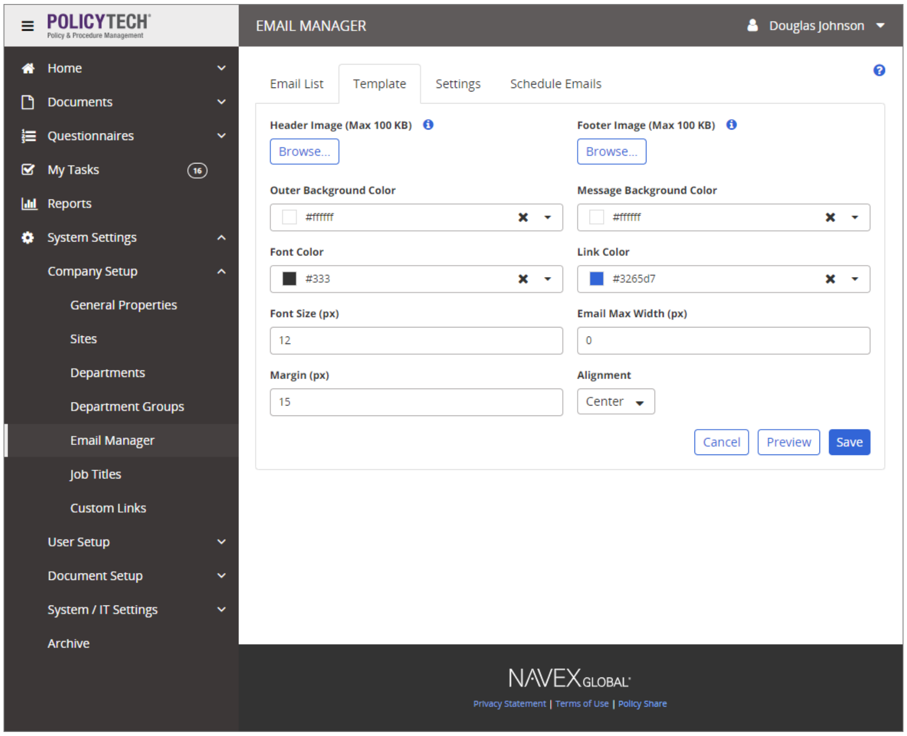
Note: The Welcome emails will be sent the next time Scheduler runs (see Scheduler & Delivery).

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.



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.

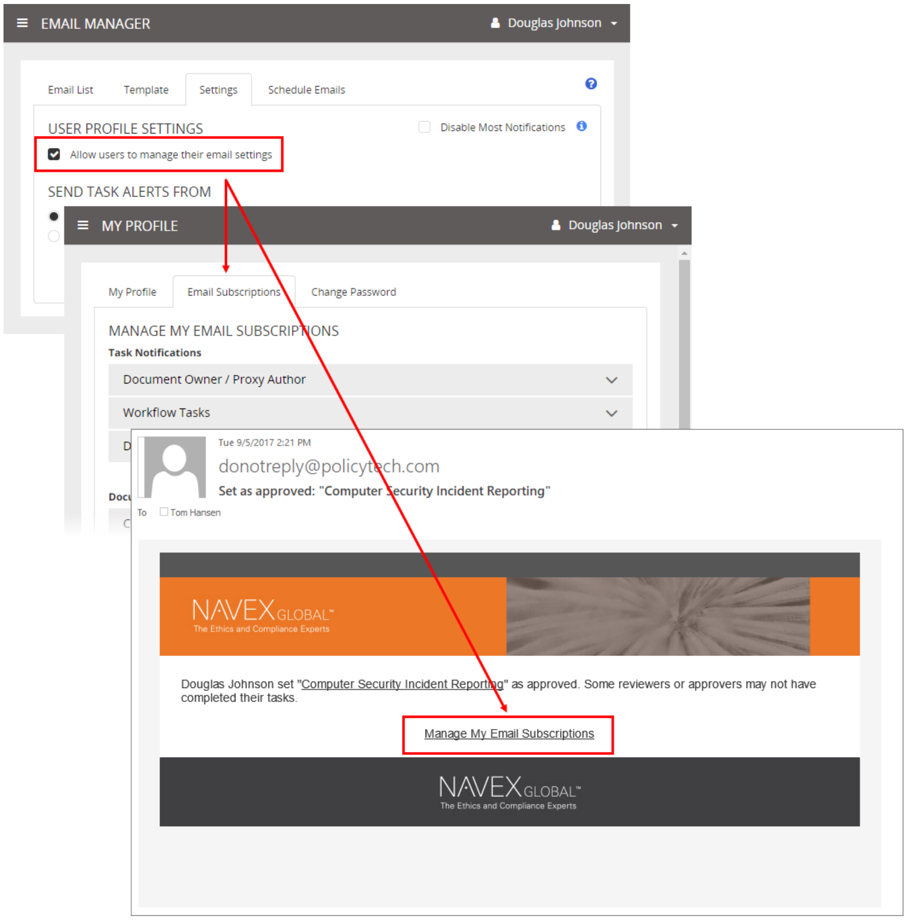
Important: If your organization uses Microsoft Outlook, which has issues with resizing images in emails, make sure that both the header and footer images are the same width and then specify that width in pixels for **Email Max Width**.

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 User's Guide 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 Email Manager: Email List).

- 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:

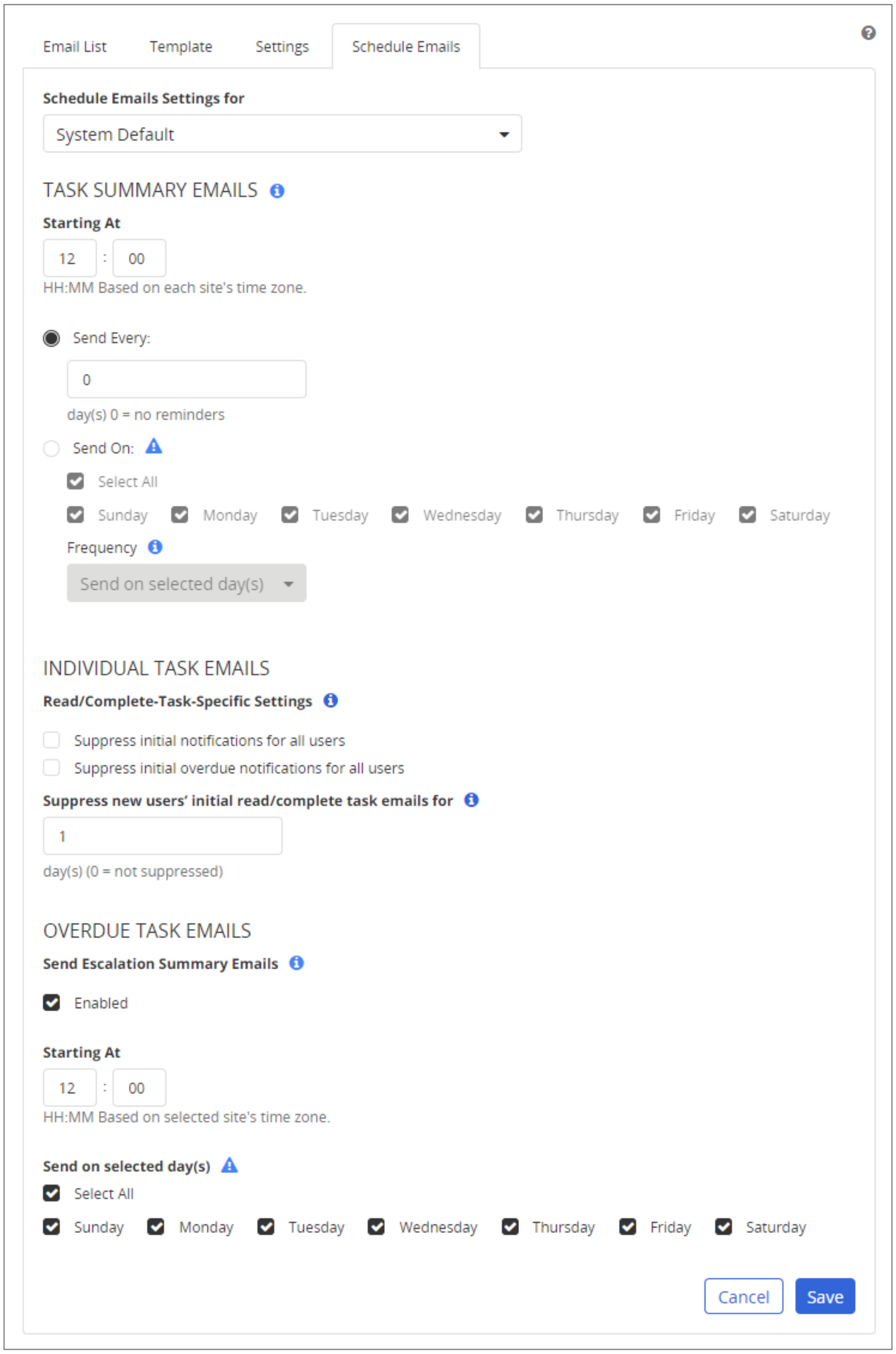
- This option stops all emails except those sent for resetting a user's forgotten password and those sent to administrators when logins fail or to show results of a user synchronization.
- Be sure to turn notifications back on as soon as you finish your bulk operations.

3. Click **Save**.

Schedule Emails

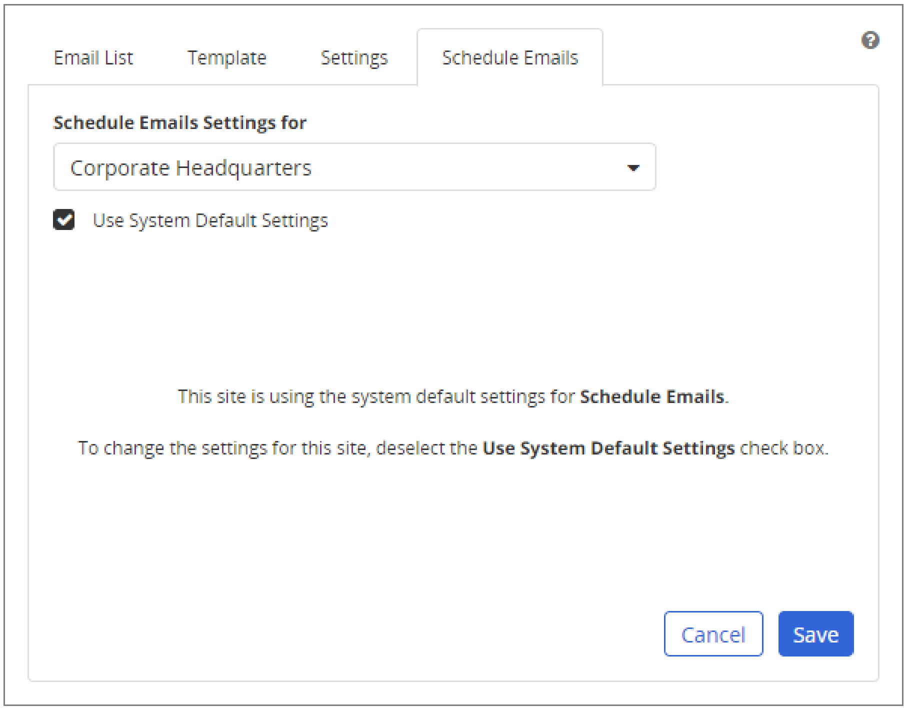
You can schedule when different types of task emails are sent.

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



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**.



  - Click to clear the **Use System Default Settings** check box, and then change settings as needed (see Schedule Emails Settings 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

1. 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

1. **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.
2. 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

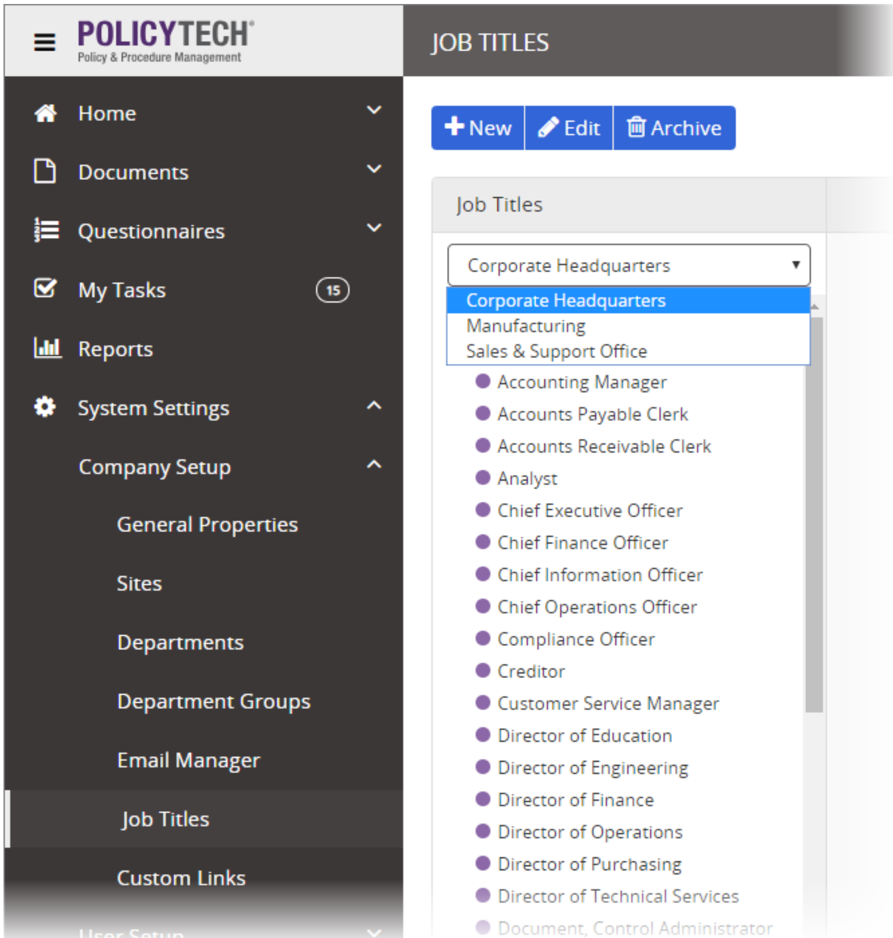
Editing a Job Title

Deleting a Job Title

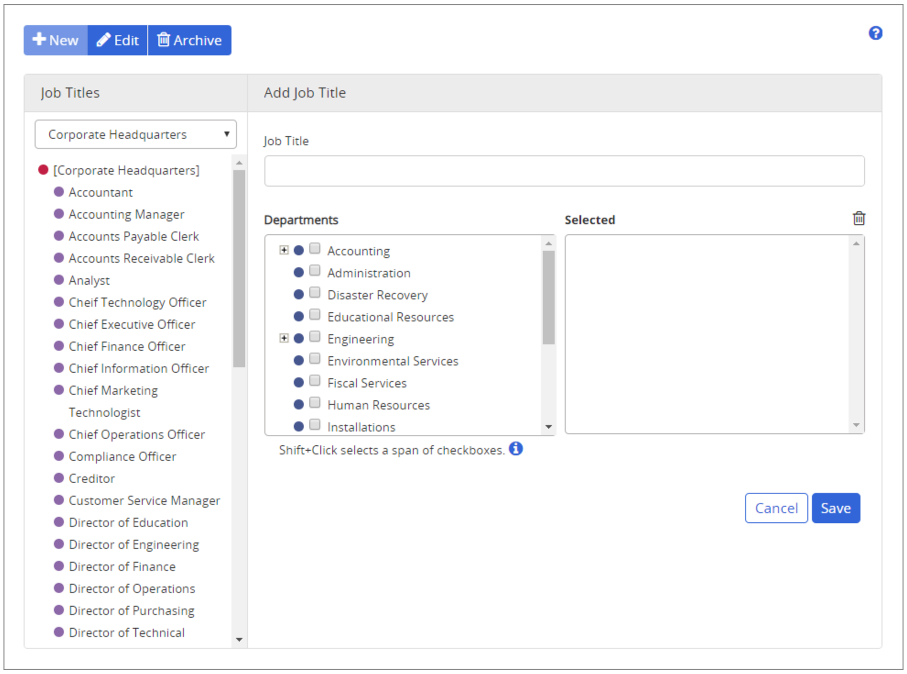
Adding a Job Title

Note: You can automatically create job titles in PolicyTech by importing users from Active Directory® or a human resources database. See Importing 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.


POLICYTECH
Policy & Procedure Management
JOB TITLES
Home
Documents
Questionnaires
My Tasks
15
Reports
System Settings
Company Setup
General Properties
Sites
Departments
Department Groups
Email Manager
Job Titles
Custom Links
User Setup
New
Edit
Archive
Job Titles
Corporate Headquarters
Corporate Headquarters
Manufacturing
Sales & Support Office
Accounting Manager
Accounts Payable Clerk
Accounts Receivable Clerk
Analyst
Chief Executive Officer
Chief Finance Officer
Chief Information Officer
Chief Operations Officer
Compliance Officer
Creditor
Customer Service Manager
Director of Education
Director of Engineering
Director of Finance
Director of Operations
Director of Purchasing
Director of Technical Services
Document Control Administrator

3. Click **New**.



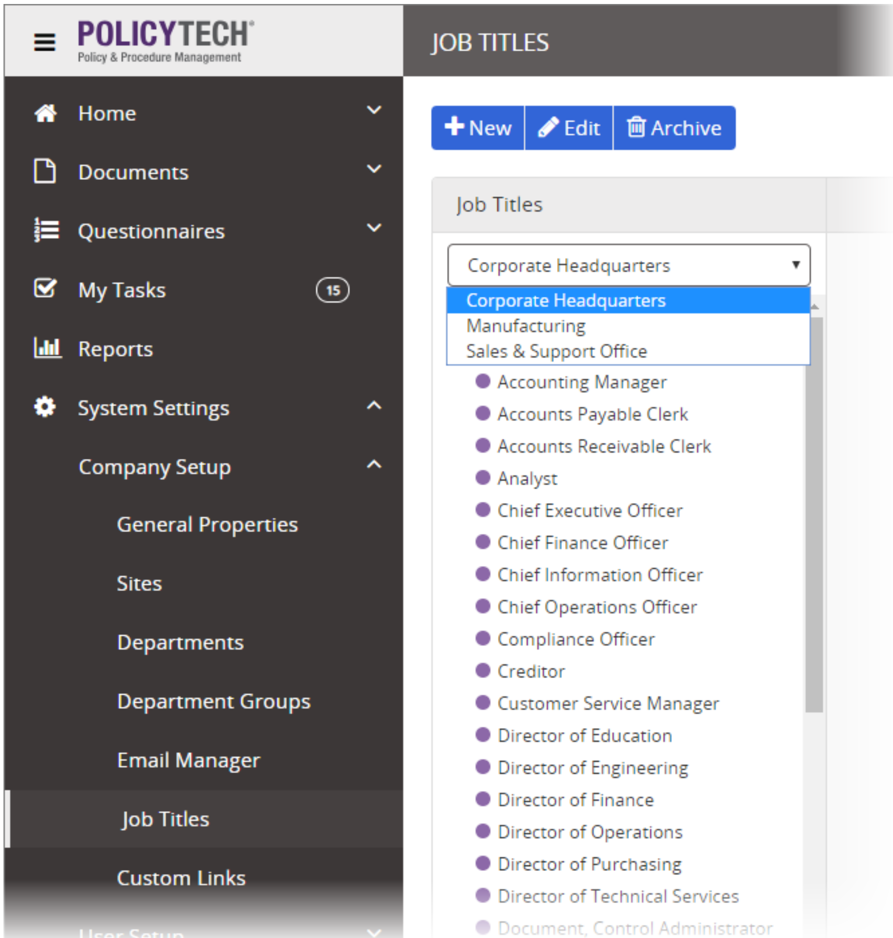
4. Type a job title.
5. Select the departments where you want this job title available.

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.

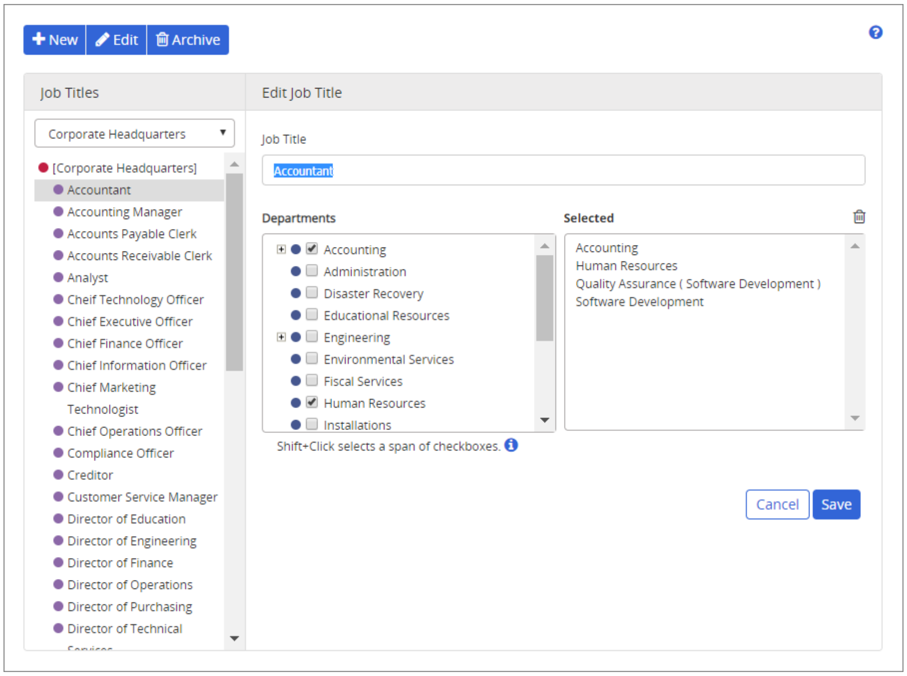
6. Click **Save**.

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.



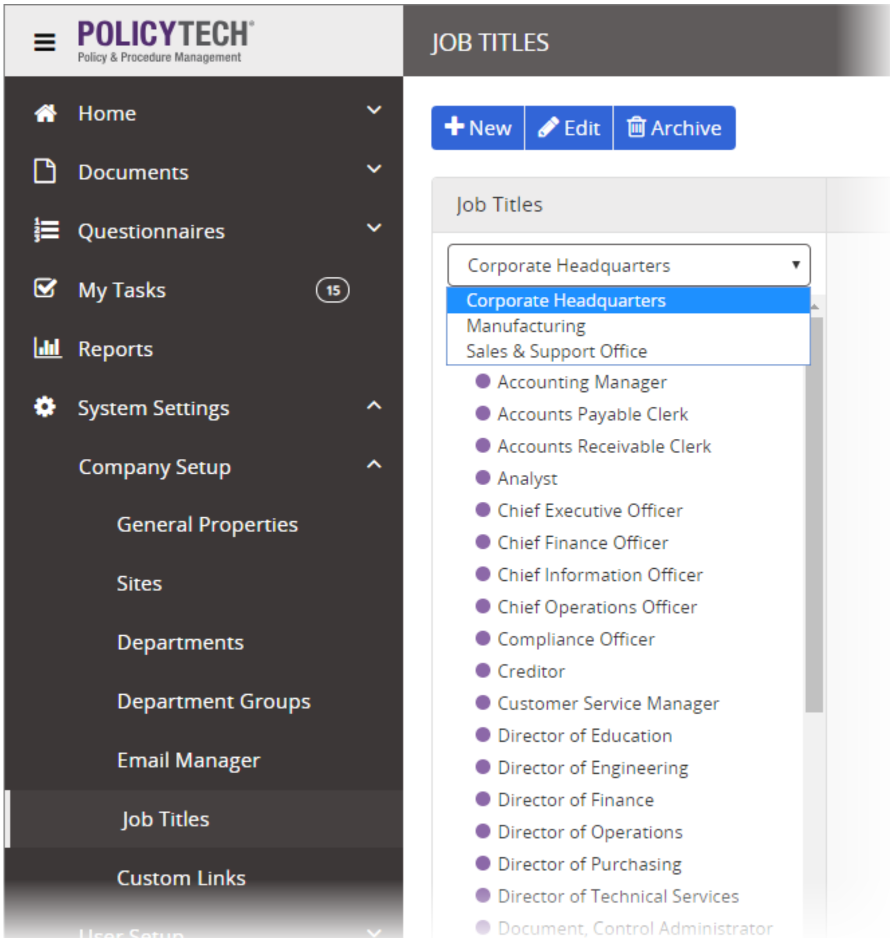
4. Make the desired changes, and then click **Save**.

Archiving a Job Title

Important:

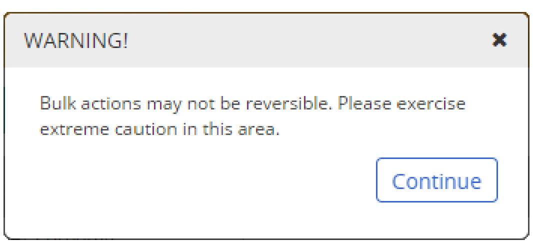
- You must unassign all users from a job title before you can archive it.
- Archiving a job title also cancels all active tasks currently assigned to that job title.

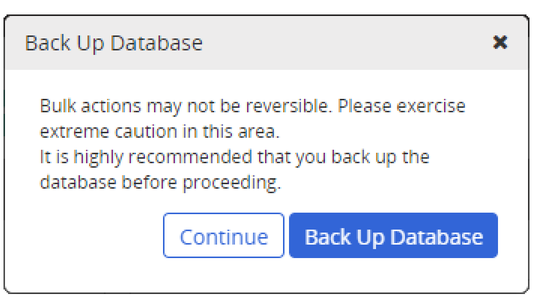
1. Click **System Settings**, click **Company Setup**, and then click **Job Titles**.
2. If multiple sites exist, select the site containing the job title you want to archive.



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).

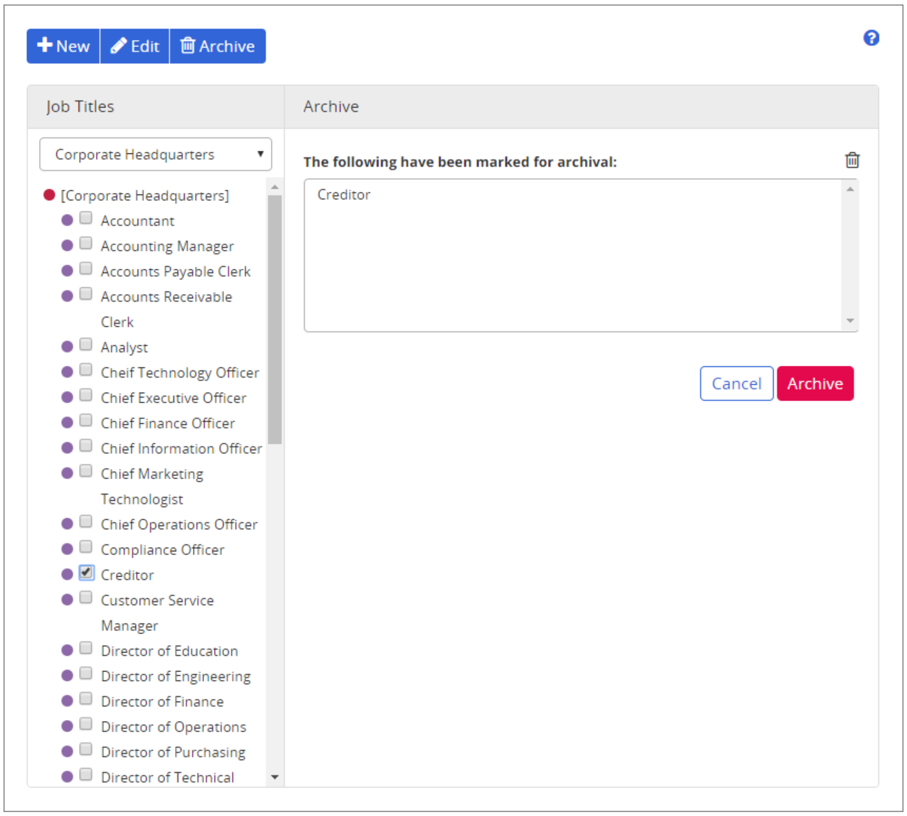




4. Do one of the following:

   - 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**.

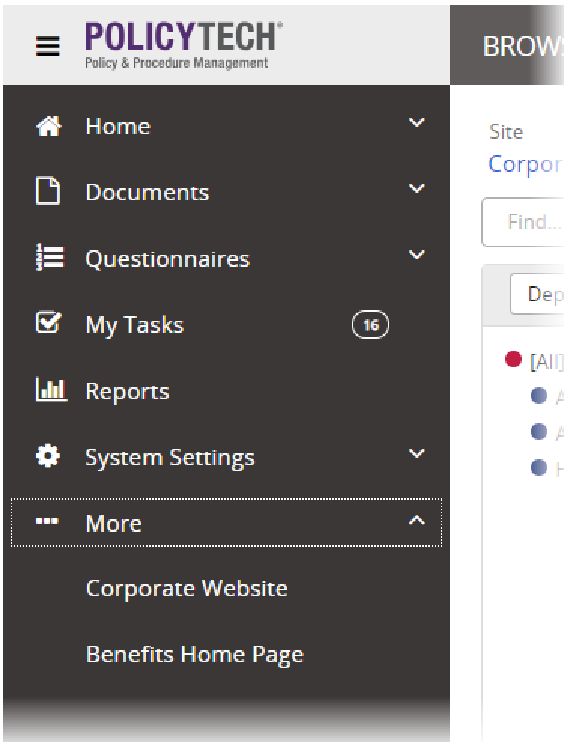
5. Select a job title, and then click the red **Archive** button.



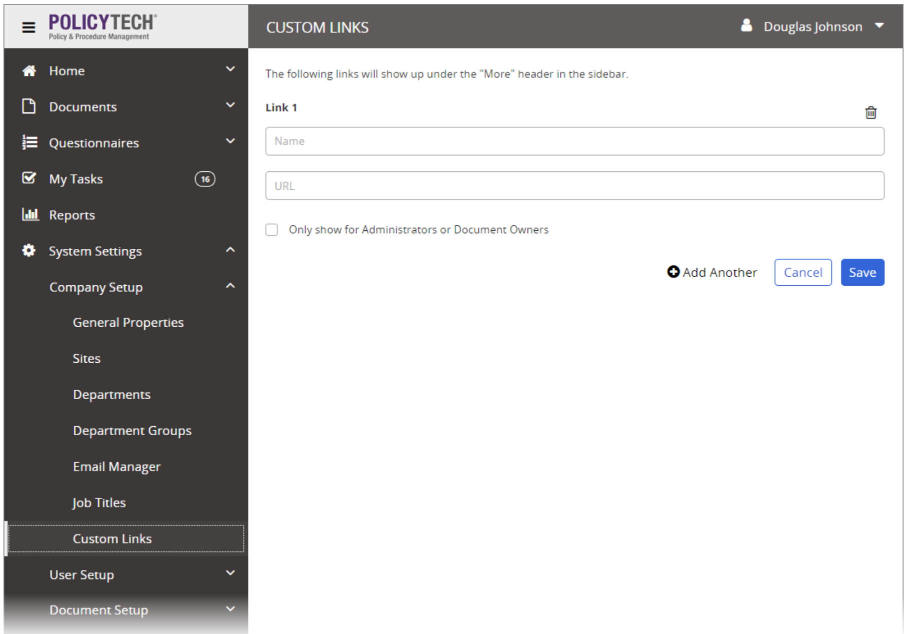
Note: See The Archive for details on restoring an archived job title.

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**.



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 🗑.

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 Adding a User Manually 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 Importing and Syncing Users from Another Database 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.

Required Fields

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

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 Importing a User with Multiple Departments and Job Titles 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.

<table>
<tr><td>Password</td><td>128</td><td>All except <</td><td>Not applicable (do not include) if PolicyTech is set up to use Active Directory authentication.</td></tr>
<tr><td>Active</td><td>1</td><td>0 (inactive) or 1 (active)</td><td>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.*</td></tr>
<tr><td>Language</td><td>6</td><td>Any valid language code</td><td>See Language Code Tables.</td></tr>
<tr><td>Domain</td><td>240</td><td>Valid Active Directory® domain name characters</td><td>Applies only if PolicyTech is set up to use Active Directory authentication.</td></tr>
<tr><td>Manager</td><td>128</td><td>All except <, |, and ^</td><td>Must be the unique employee ID of a person assigned as this user's manager in PolicyTech (see Assigning a Manager).

Note: You can assign only one manager to a user in an import file. You must use User Manager to assign additional managers.</td></tr>
</table>

**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 Archiving a User.)*

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 Custom Attributes), 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 tab-delimited 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: Blank User Import Excel Worksheet.

User Sync Rules and Behavior

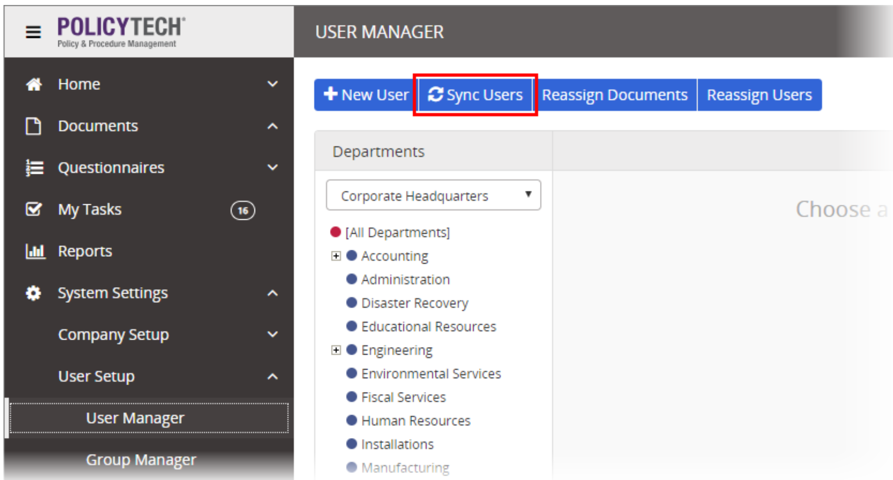
Please consider the following before performing a user sync:

- 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 Adding a User Manually) or use the **Bulk Permissions Editor** to assign roles and permissions to multiple users at once (see Bulk Permissions Editor).
- 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 The Archive). If an archived user was a document owner, you will be notified that you need to reassign the user's documents (see Reassigning Document Owners).
- 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).

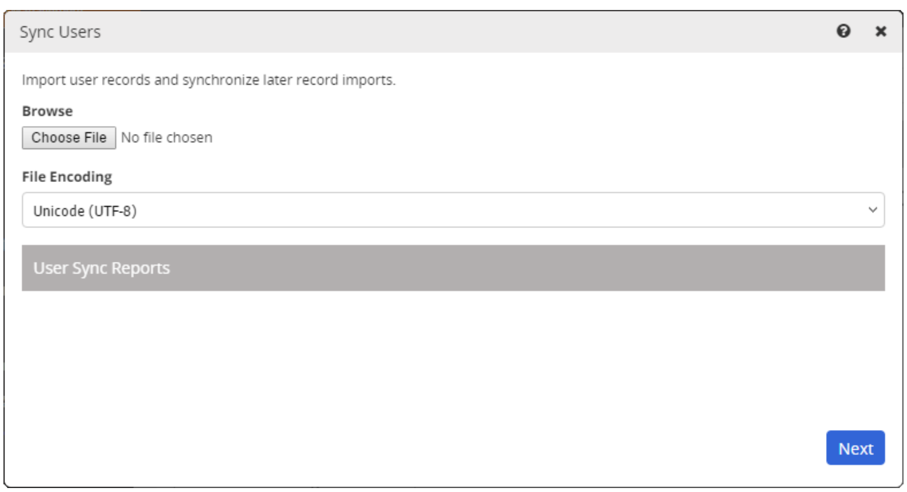
Performing the User Sync (Import)

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**.



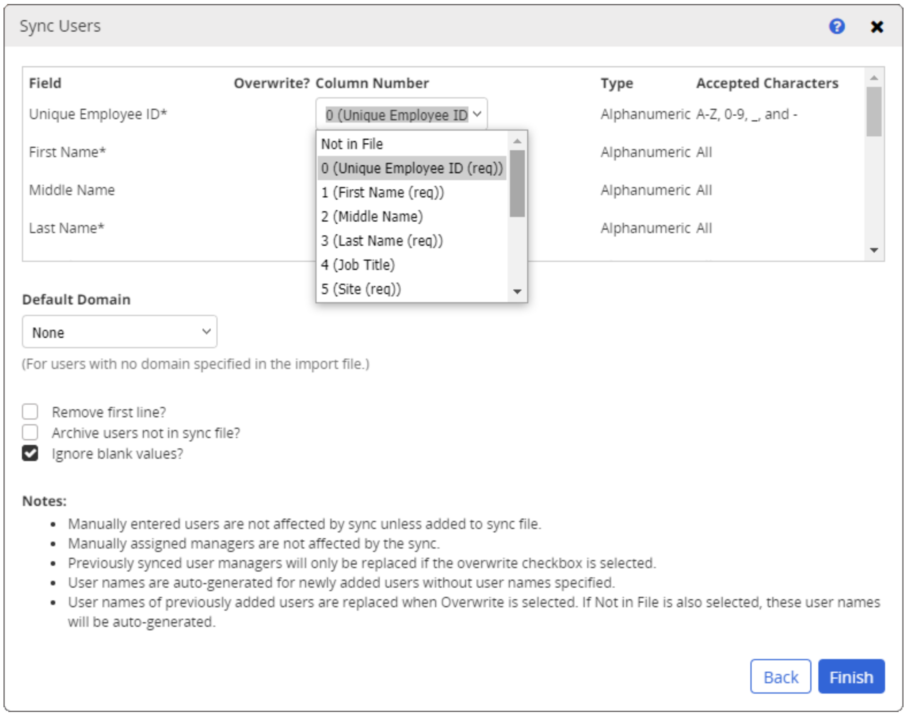
3. Click **Choose File**, navigate to the tab-delimited user information file, and then click **Open**.



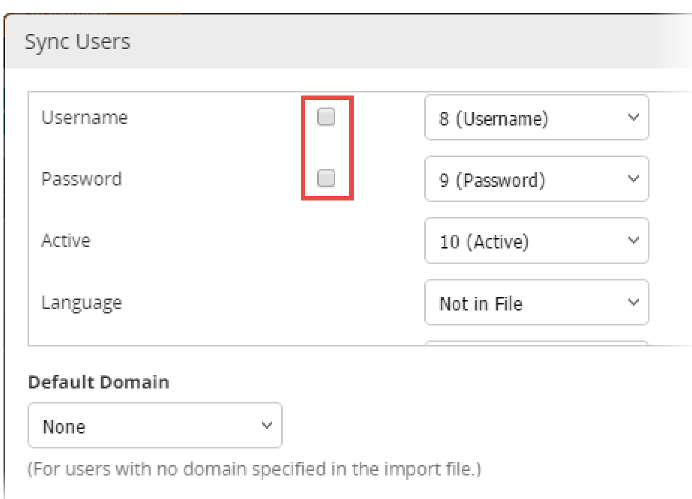
4. If you saved the export file using file encoding other than Unicode (UTF-8), select that encoding.
5. Click **Next**.
6. In the upper box, map each PolicyTech user field to its corresponding field in the user information file. If the field is optional and no corresponding field

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**.

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.

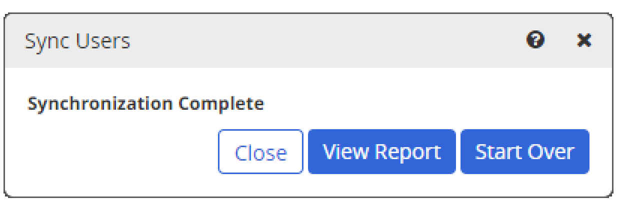


8. (Optional) If you are using Active Directory authentication for PolicyTech user login (see Active Directory Settings), click the **Default Domain** box, and then click the domain you want a user assigned to if the user record in the file does not contain a domain field or if the mapped domain field 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?**

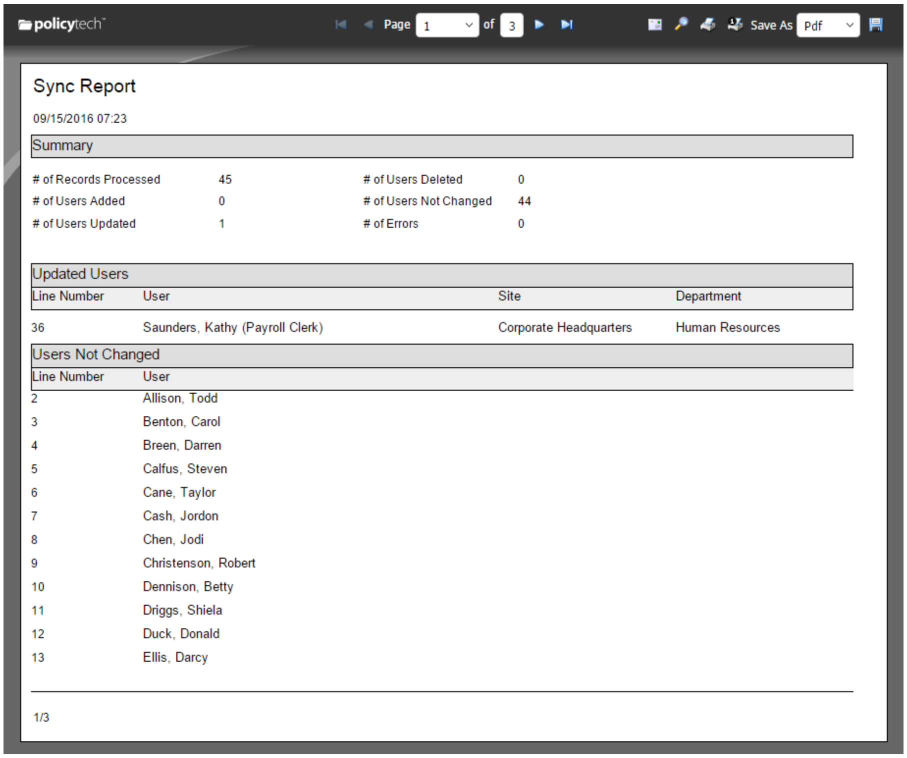
Note:

- 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**.



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



Sync Report

09/15/2016 07:23

Summary

# of Records Processed	45	# of Users Deleted	0
# of Users Added	0	# of Users Not Changed	44
# of Users Updated	1	# of Errors	0

Updated Users

Line Number	User	Site	Department
36	Saunders, Kathy (Payroll Clerk)	Corporate Headquarters	Human Resources

Users Not Changed

Line Number	User
2	Allison, Todd
3	Benton, Carol
4	Breen, Darren
5	Calfus, Steven
6	Cane, Taylor
7	Cash, Jordon
8	Chen, Jodi
9	Christenson, Robert
10	Dennison, Betty
11	Driggs, Shiela
12	Duck, Donald
13	Ellis, Darcy

1/3

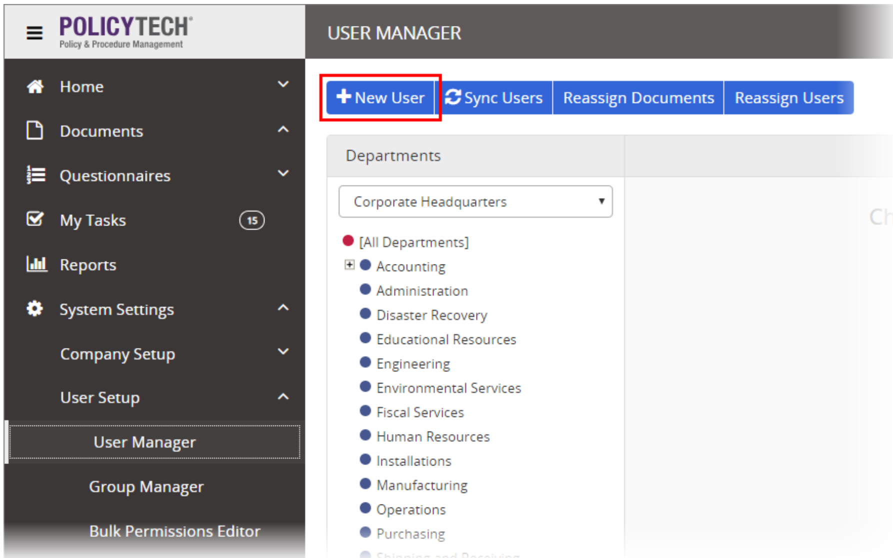
Note: Each report is automatically saved in the PolicyTech database. To view a sync report from a previous user sync, click **Sync Users**, find the report in the **User Sync Reports** box, and then click **View**. You can also click **XML** and follow the prompts to download the report as an XML file.

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 Assigning Roles).
5. Click **Next** to go to **System Permissions** and assign permissions as necessary (see Assigning System Permissions).
6. Click **Next** to go to **Proxy Settings** and make proxy assignments as necessary (see Assigning a Proxy Author).
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**.

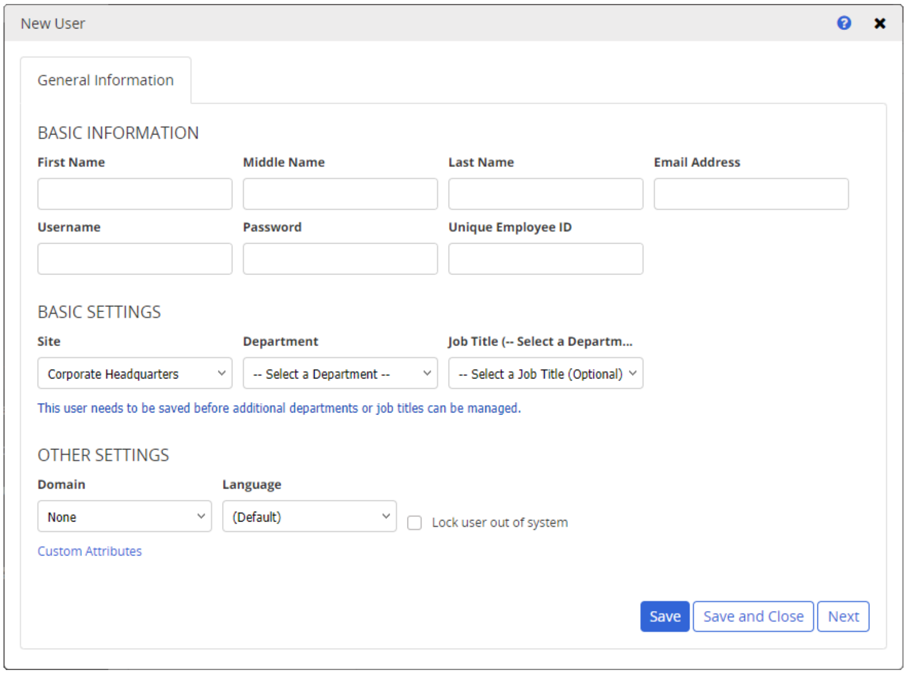
Providing General User Information

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 Password Settings for PolicyTech-Managed Users 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**.



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 Assigning Additional Departments and Job Titles 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 Working with Job Titles.

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 Active Directory Settings). 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.

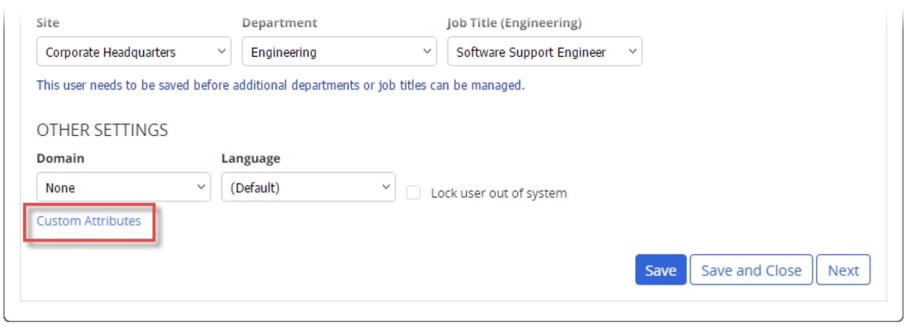
6. (Optional) If your organization has purchased dedicated licenses and you want to assign this user a dedicated license (as opposed to the default concurrent user license), select **Assign dedicated license**.

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 Custom Attributes) 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.



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

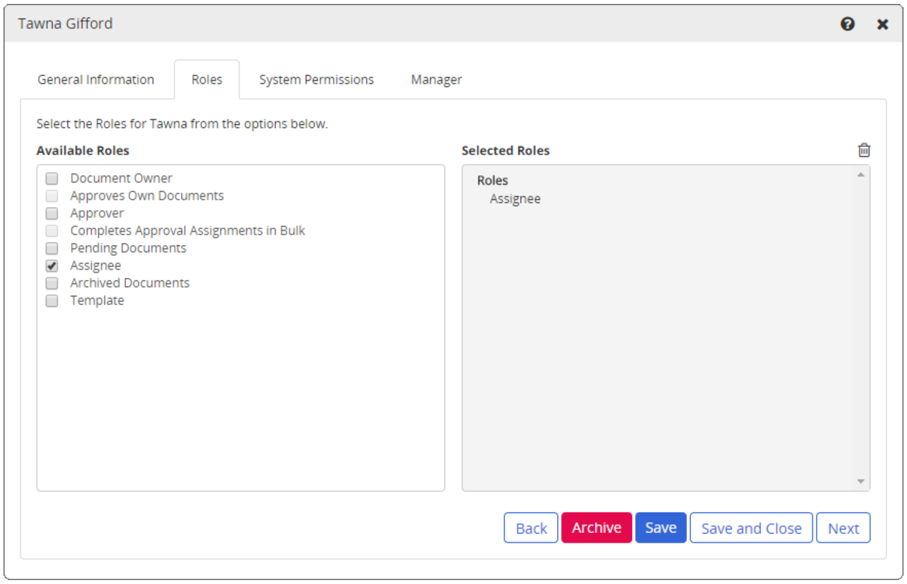
   - Click **Save and Close**.

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 Adding a User Manually or Editing a User).

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



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

<table>
<tr><td></td><td>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</td></tr>
<tr><td>Approves Own Documents</td><td>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.</td></tr>
<tr><td>Writer</td><td>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.</td></tr>
<tr><td>Reviewer</td><td>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.</td></tr>
<tr><td>Approver</td><td>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</td></tr>
</table>

	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 Assigning a Proxy Author.

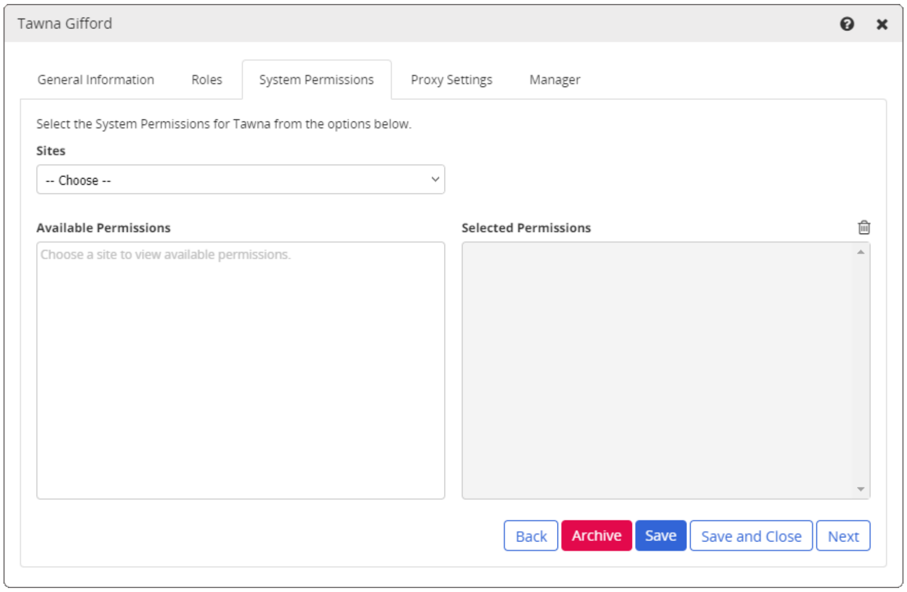
Assigning System Permissions

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 Adding a User Manually or Editing a User).

To assign system permissions to a user,

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

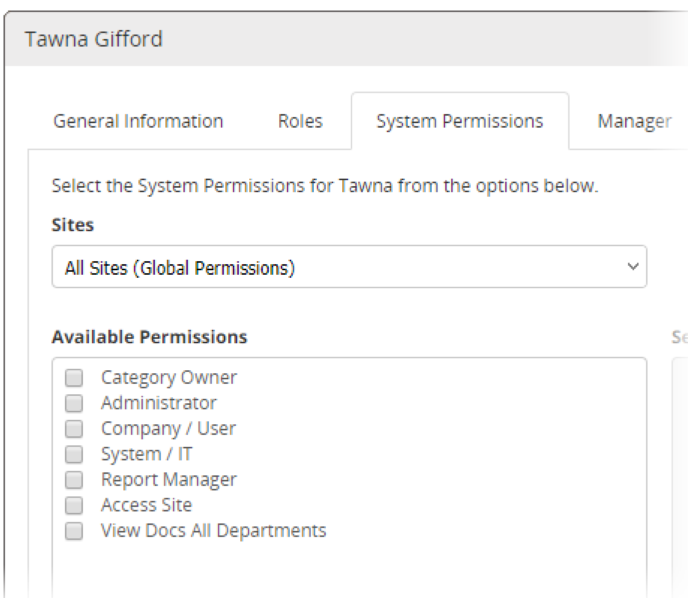


2. For **Sites**, do one of the following:

   - 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.



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 Adding a Category). When assigned to a category owner, a category can only be accessed and edited by that category owner and administrators.
Administrator for All Sites (Global Permissions)	To assign this permission, in the **Sites** list, click **All Sites (Global Permissions)**, and then select **Administrator**. When assigned this permission, a user can do the following. 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 Document Role Descriptions 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.
Administrator for a Single Site	To assign this permission, in the Sites list, click a site name, and then select **Administrator**. 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 Assigning Additional Departments and Job Titles 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 General Properties Settings) 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 Set Up Case Management Integration 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:

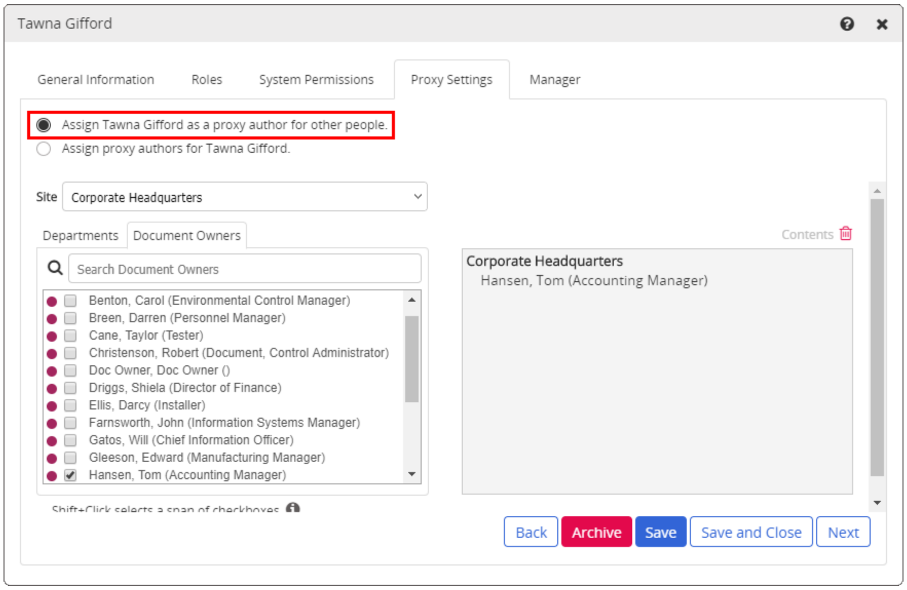
- Can create documents/questionnaires for assigned document owners only
- Can access and edit all draft documents/questionnaires for assigned document owners regardless of whether they were created by the proxy author or the document owner
- Cannot submit a document/questionnaire for review or approval 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.

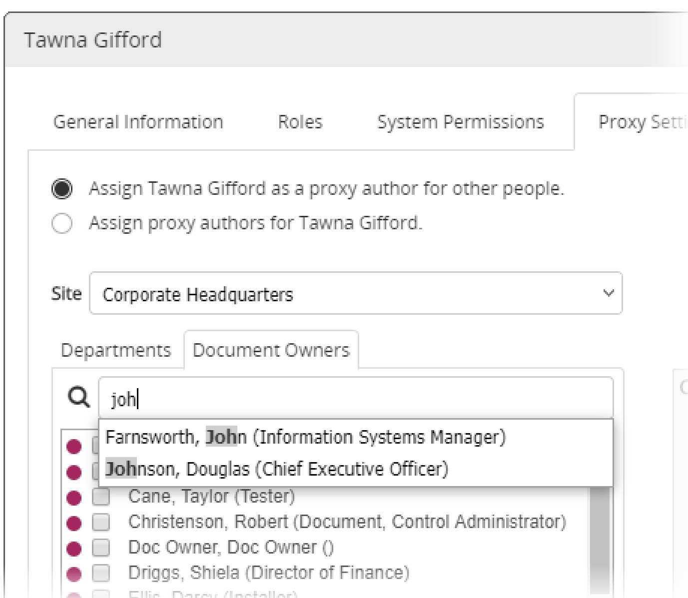
Assign a User as a Proxy Author

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

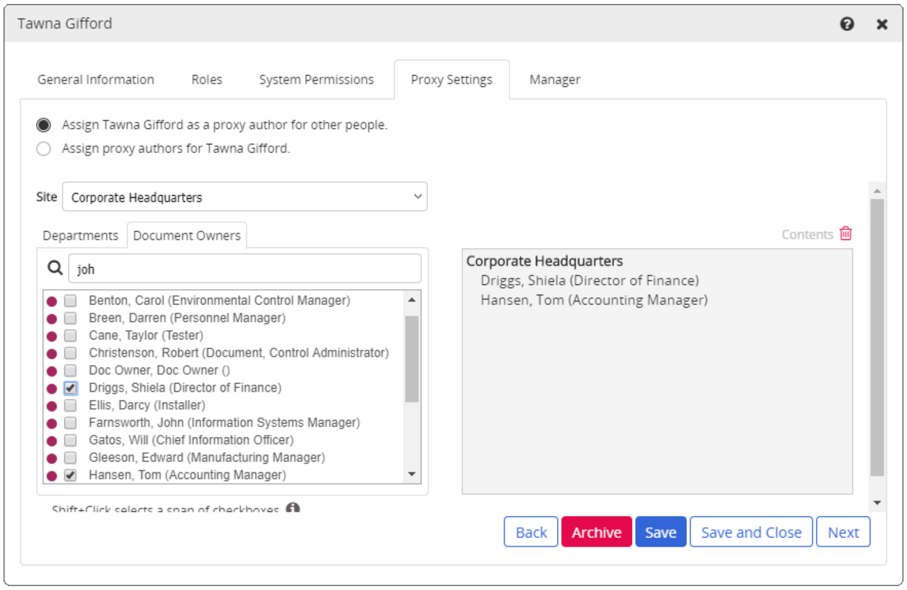
1. With a user form open, click the **Proxy Settings** tab.
2. Click **Assign [*user name*] as a proxy author for other people**.



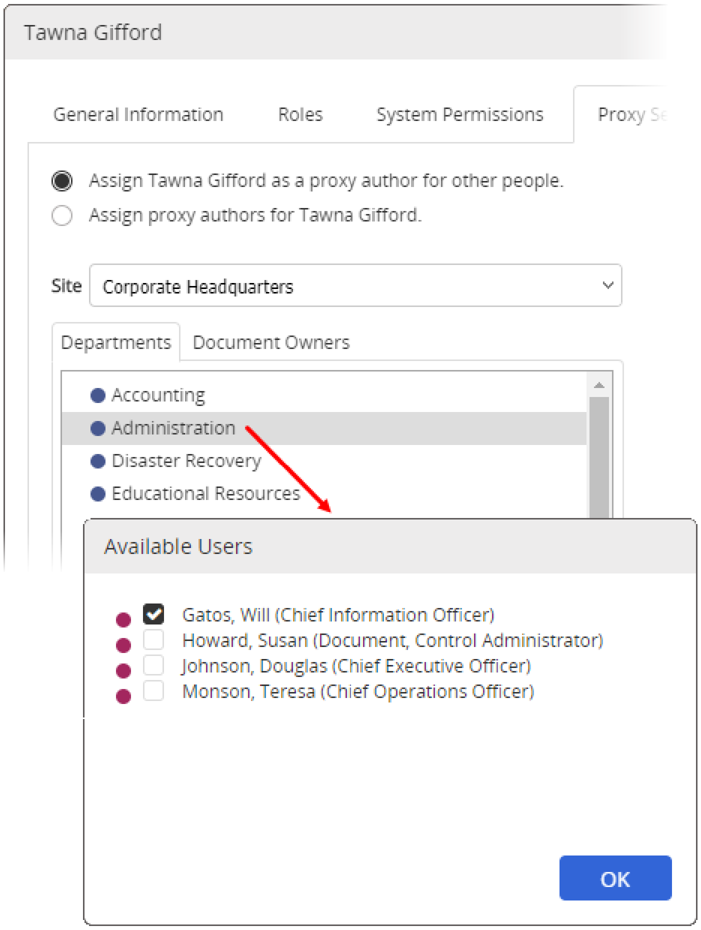
3. If multiple sites exist, select the site containing a document owner the current user will act as proxy for.
4. Find and select the document owner using one of the following methods:
   - In the **Search Document Owners** box, start typing the document owner's last or first name. A list appears of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



- 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 .

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:

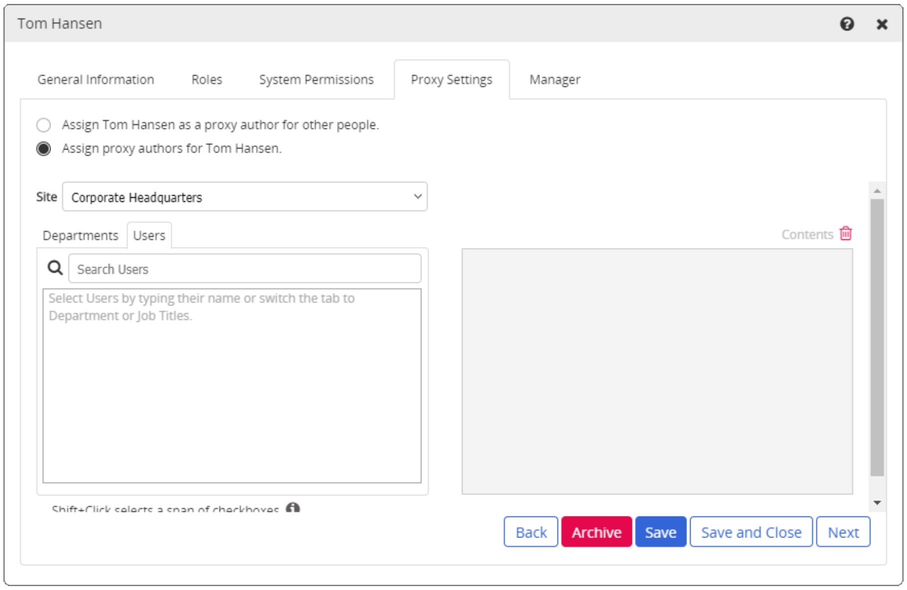
     Providing General Information
     Assigning Roles
     Assigning System Permissions
     Assigning a Manager

   - Click **Save and Close**.

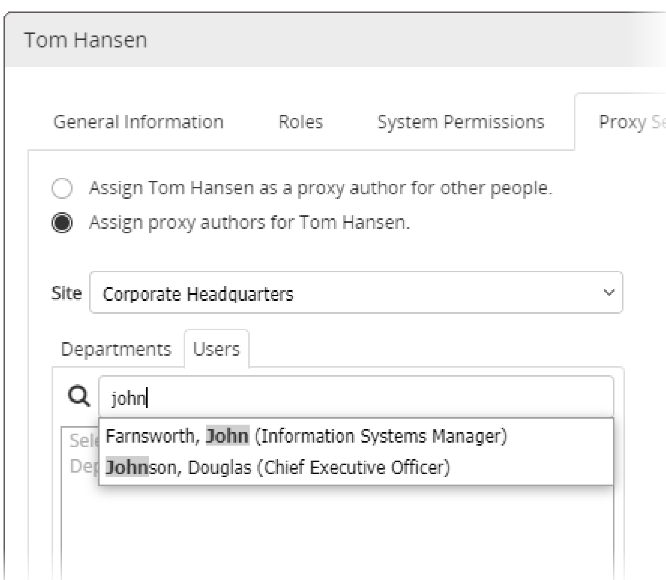
Assign Proxy Authors to a Document Owner

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

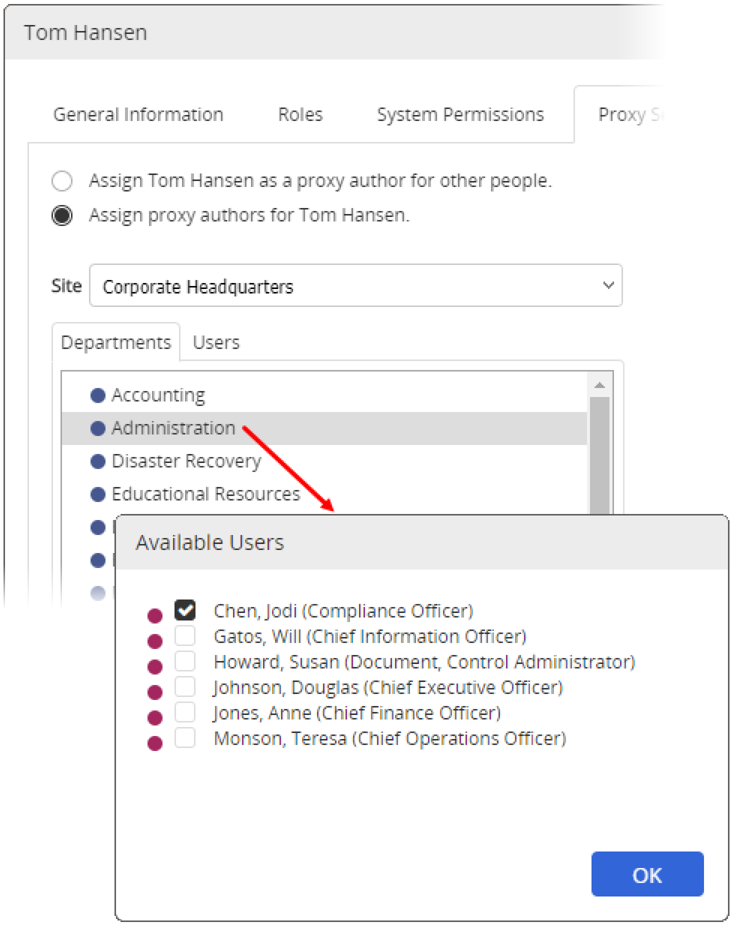
1. With a user open, click the **Proxy Settings** tab.
2. Click **Assign proxy authors for [*user name*]**.



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.



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



Note: To remove a selected name, click it in the **Selected Users** box, and then click .

5. (Optional) To assign another proxy author to the current user, repeat steps 3 and 4.

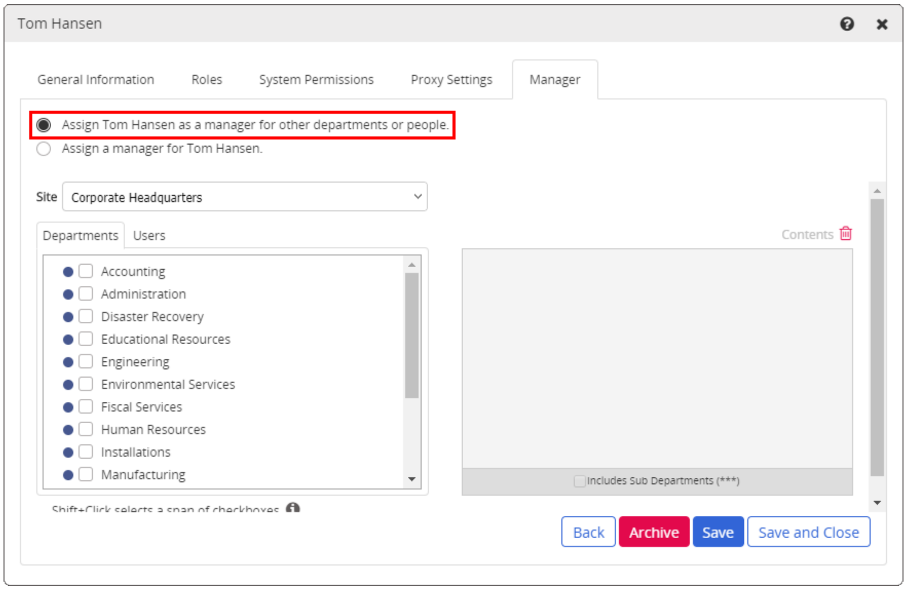
6. Click **Save** or **Save and Close**.

Assigning a Manager

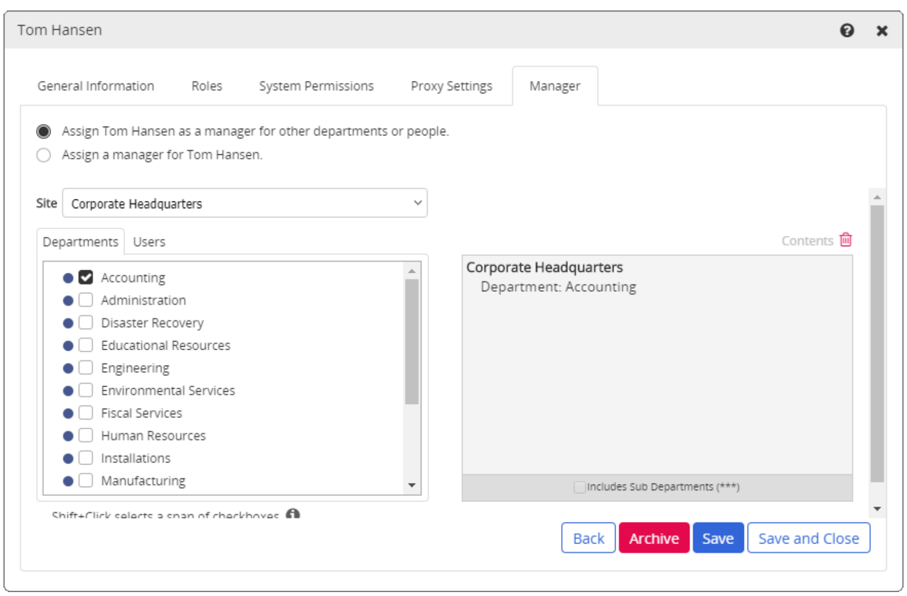
In the **Manager** tab you can either assign the current user as a manager of other departments and users, or you can assign some other user as manager of the current user. For details on what being a manager in PolicyTech entails, see Manager Permissions.

Assigning This User as a Manager

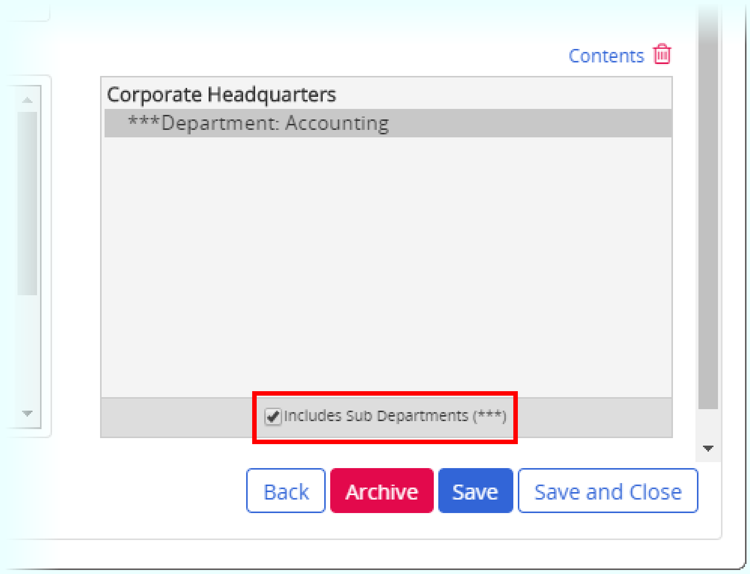
1. With a user form open, click the **Manager** tab.
2. Click **Assign [*user name*] as a manager for other departments or people**.



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.

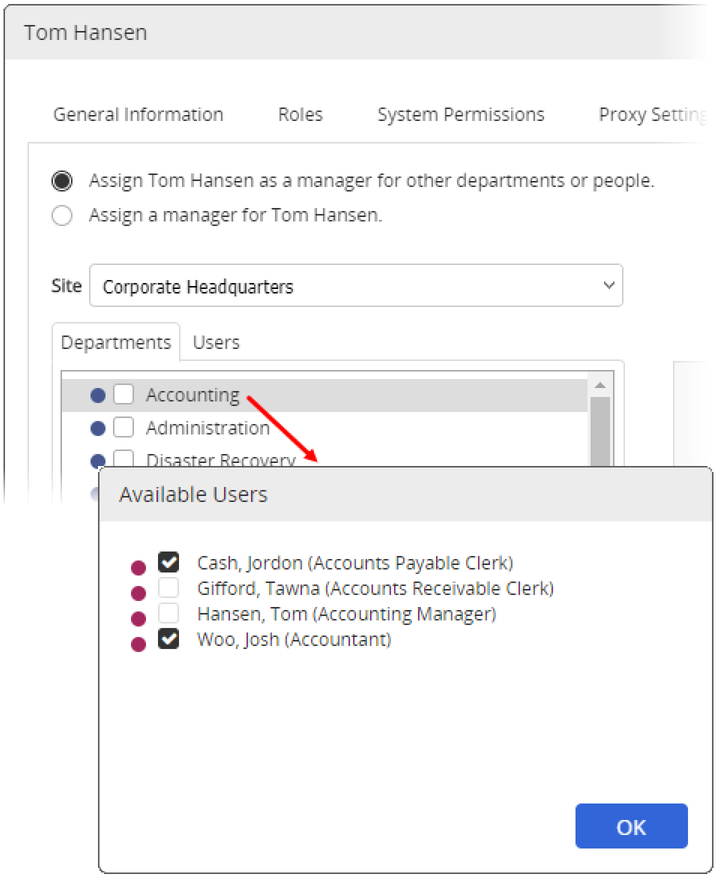


Important: By default, selecting a department makes the user manager of that department only. If you want the user to also manage any subdepartments of the selected department, in the box on the right, click the department name, and then select **Includes Sub Departments**.

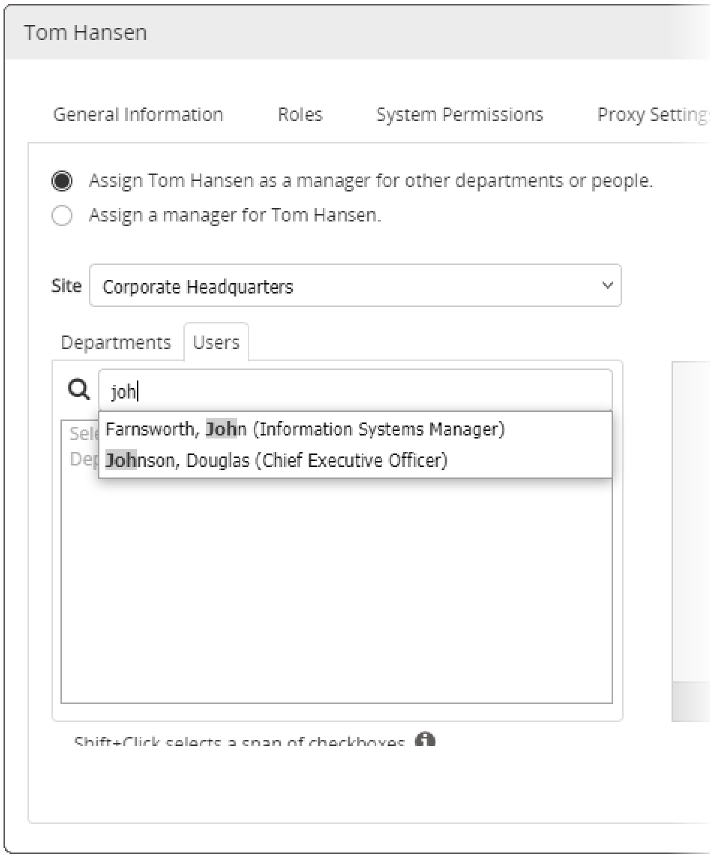


Note: After selecting a department, you can display the current users in that department. In the box on the right, click the department name, and then, near the upper right corner of the box, click **Contents**.

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



- 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.



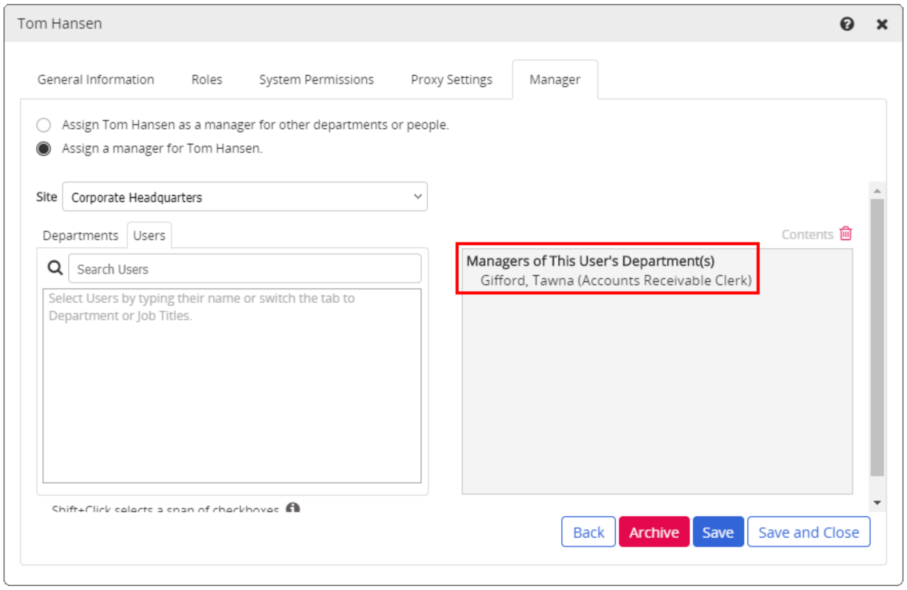
5. (Optional) To add departments or users from a different site, repeat steps 3 and 4 above.
6. Do one of the following:
   - Click **Save**, and then continue with one of the following user setup tasks:

     Providing General Information
     Assigning Roles
     Assigning System Permissions
     Assigning Proxy Settings
   - Click **Save and Close**.

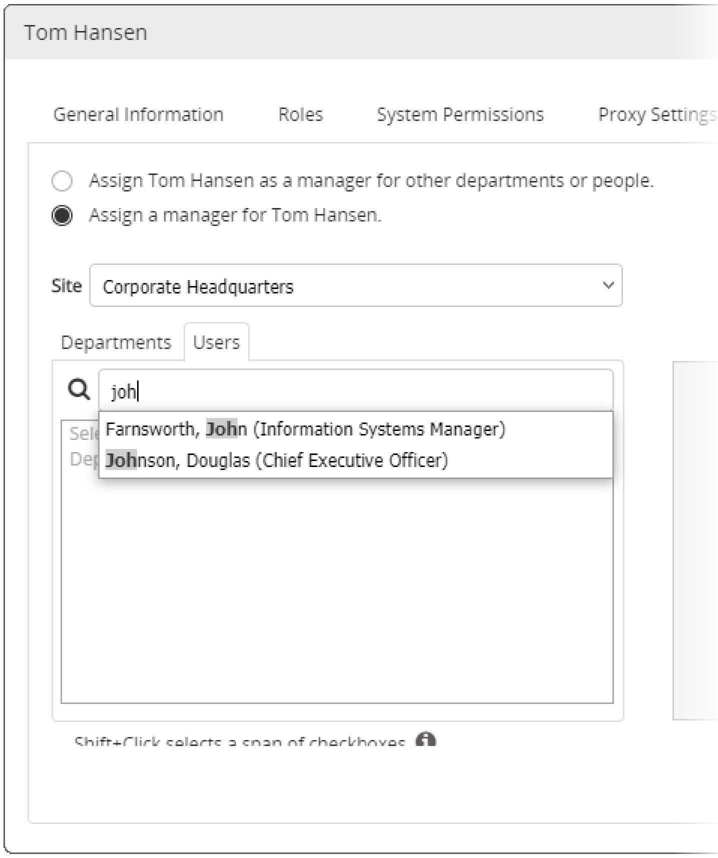
Assigning a Manager to This User

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

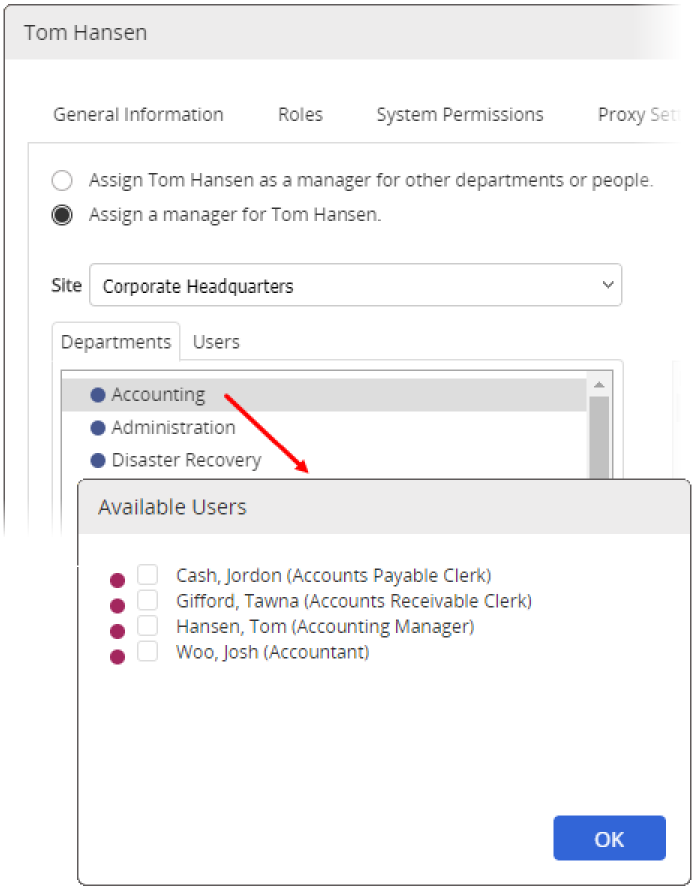
   If one or more managers have already been selected for this user's department, they will be listed in the box on the right.



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.



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



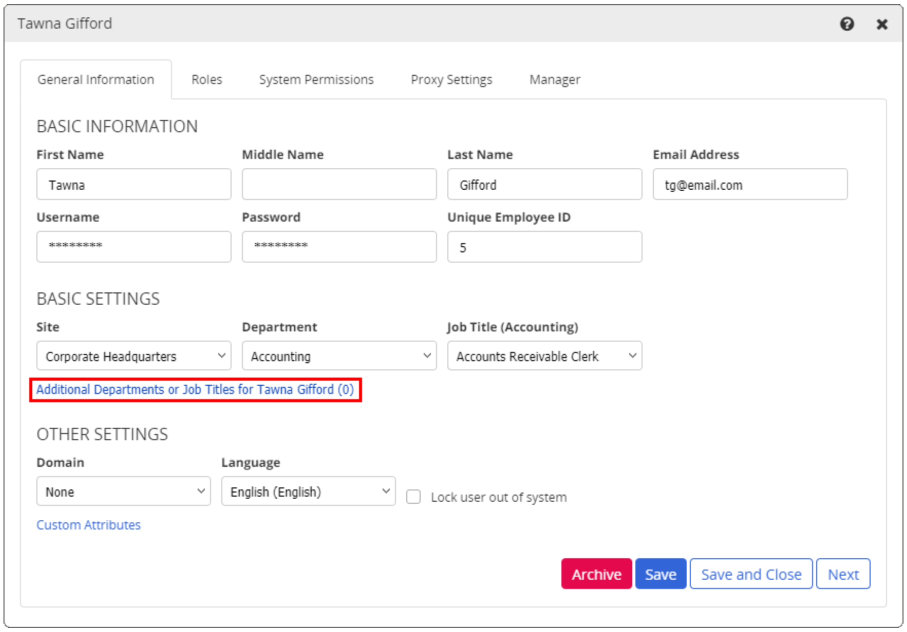
5. (Optional) To add users from a different site, repeat steps 3 and 4 above.
6. Click **Save** or **Save and Close**.

Assigning Additional Departments and Job Titles

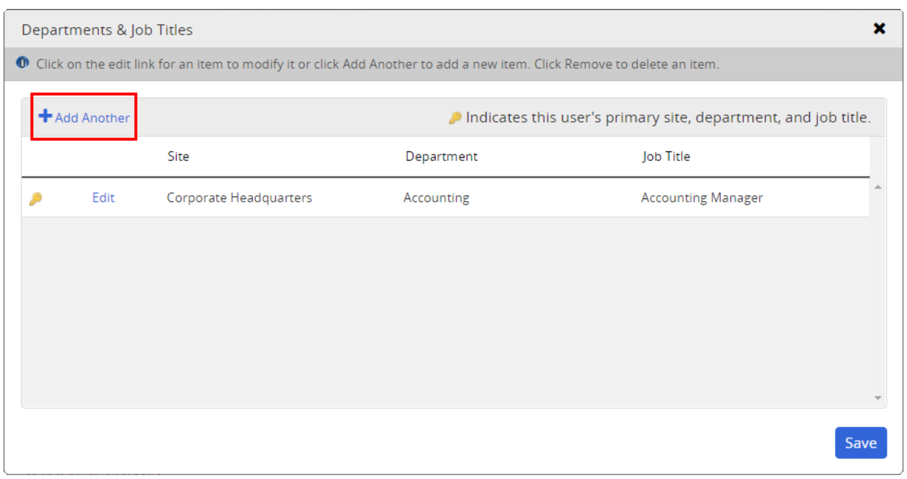
Note: A user must be saved before you can assign additional departments and job titles. If you are creating a new user, click **Save and Continue**, and then click the **General Information** tab before starting the steps below.

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*]**.

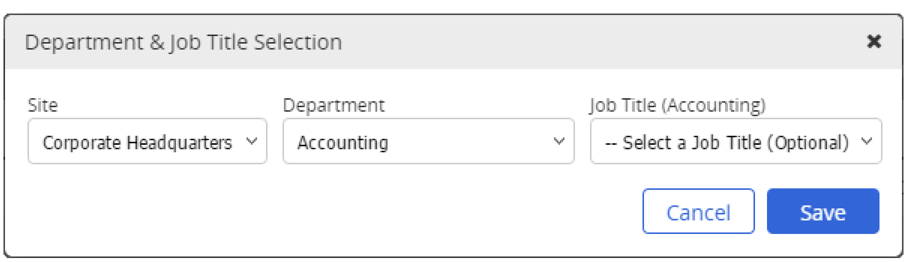
Note: For details on finding and opening a user form, see Editing a User.



2. Click **Add Another**.



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



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**.

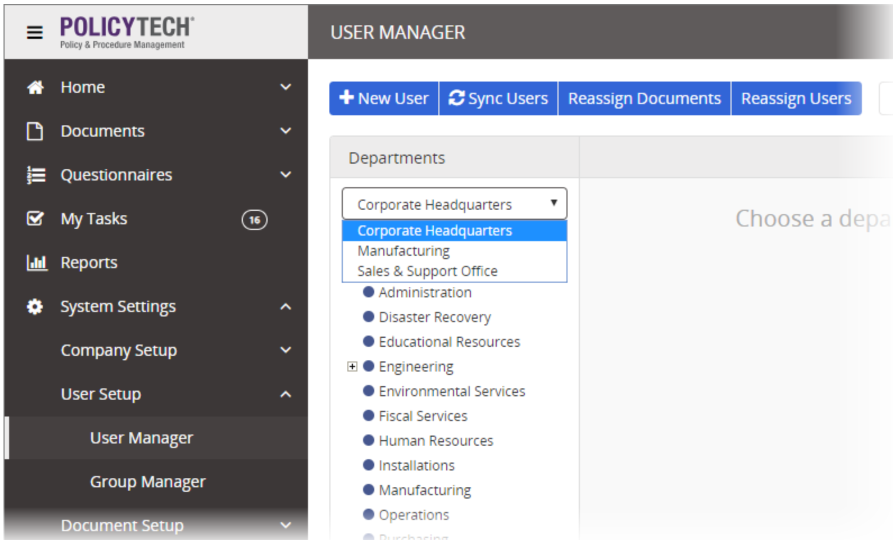
Manager Permissions

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

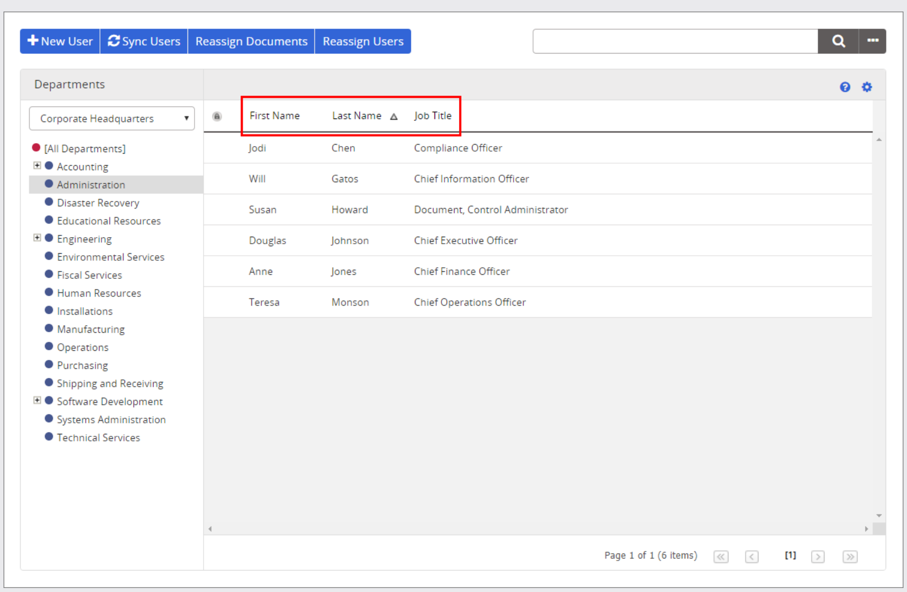
Editing a User

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.



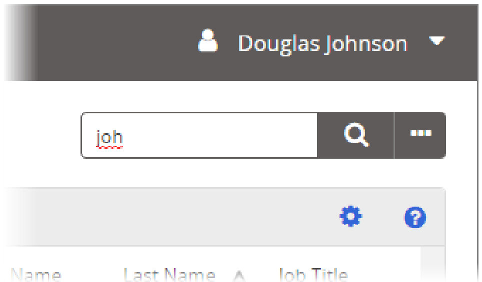
3. Do one of the following to find the user:
   - Click the department containing the user.

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 Customizing the User Grid for details).

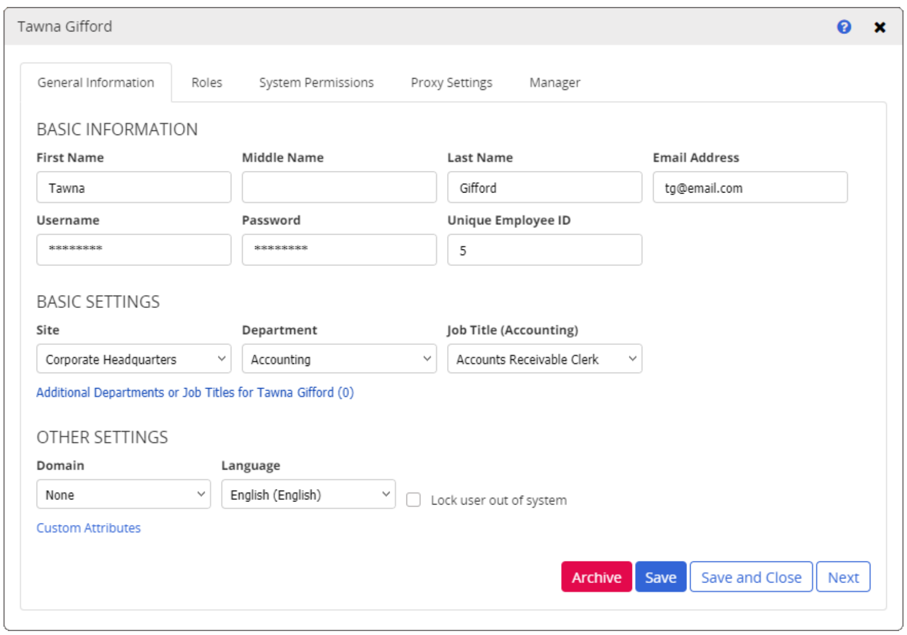


- In the **Search** box, type as much of the user's name as you know, and then click .

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. Click the user name.



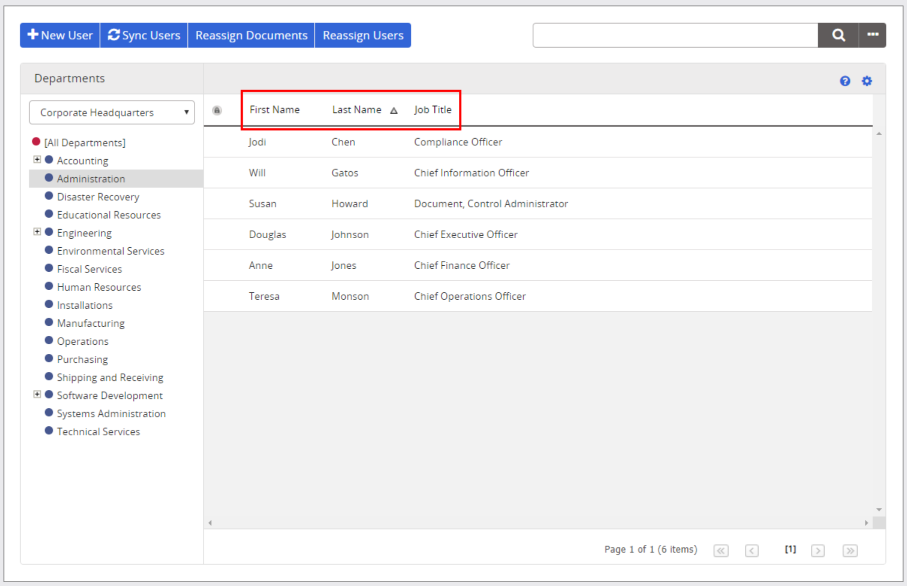
5. Make the necessary changes. See Adding a User Manually, Assigning Roles, Assigning System Permissions, Assigning a Proxy Author, and Assigning a Manager for details on user information, settings, and assignments.
6. Click **Save and Close**.

Archiving a User

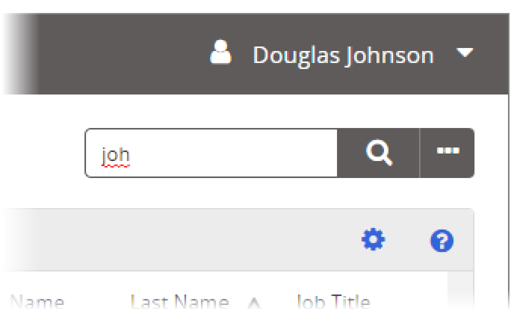
To archive (deactivate) a user,

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.

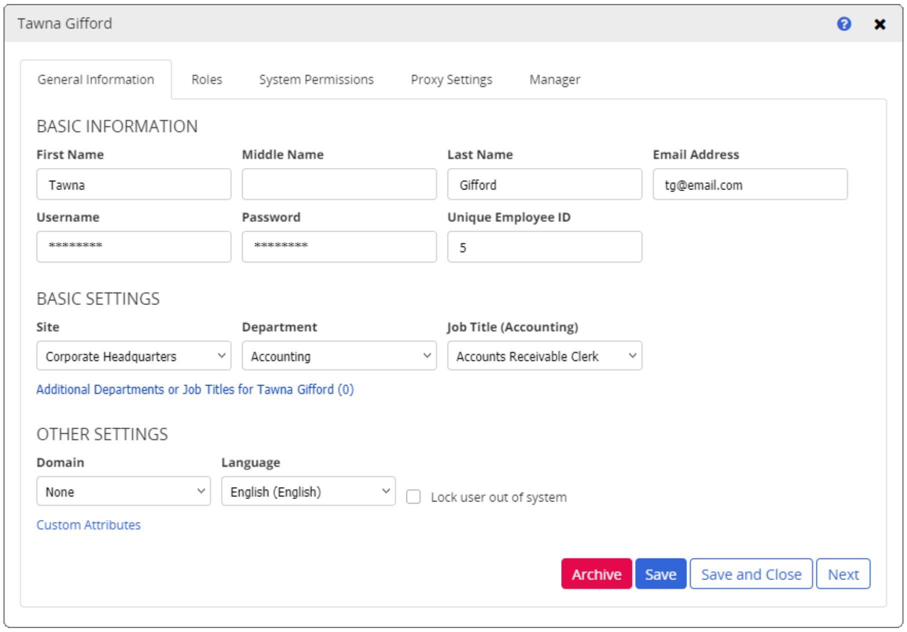
Note: You can re-sort the user list by clicking the **First Name**, **Last Name**, or **Job Title** column heading. Click the column heading again to reverse the sort order. You can also change which columns are displayed and how many users are displayed at a time (see Customizing the User Grid for details).



   - 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**.



3. Click the user name.



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

Notes:

- See The Archive 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 Reassigning Document Owners 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.

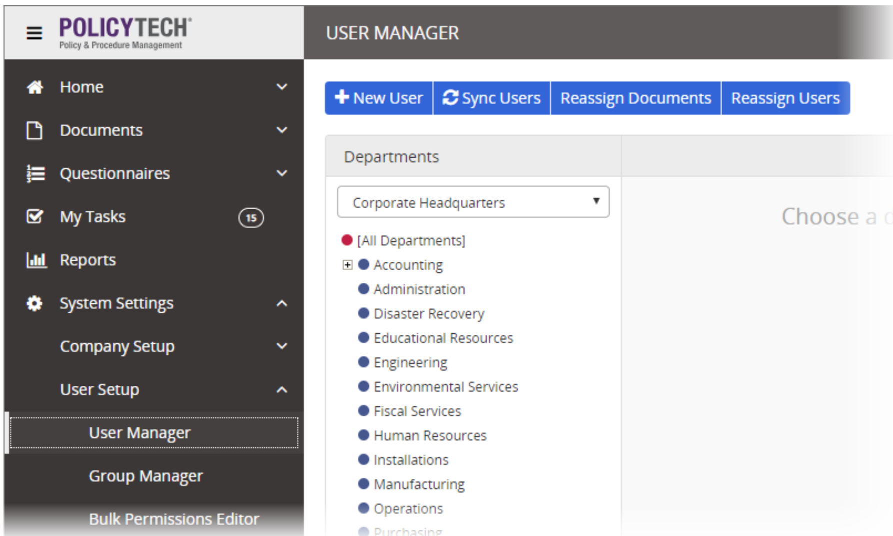
There are two ways to reassign document owners:

- 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

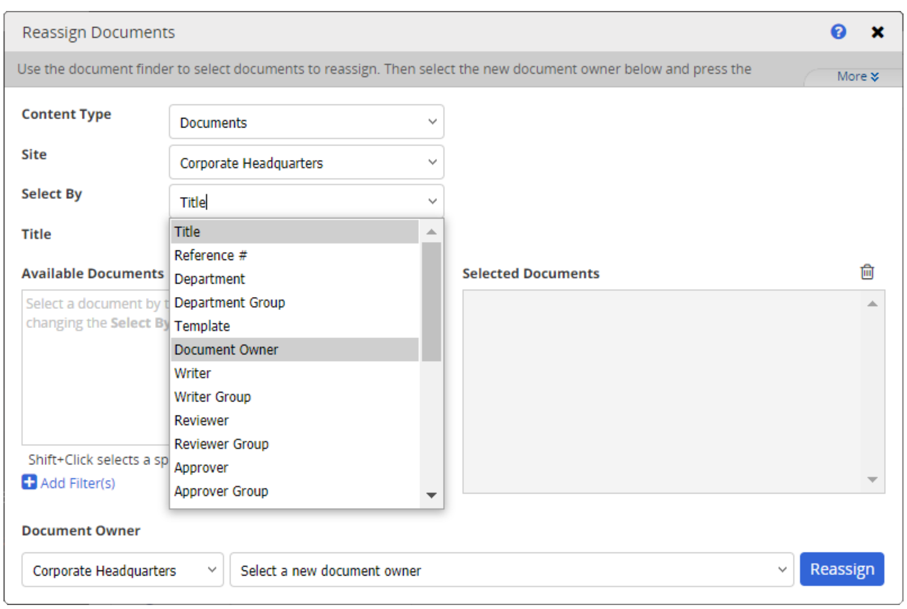
My Tasks list. Click the link in the email or task to reassign the documents/questionnaires.

Reassign Documents/Questionnaires before Removing a Document Owner

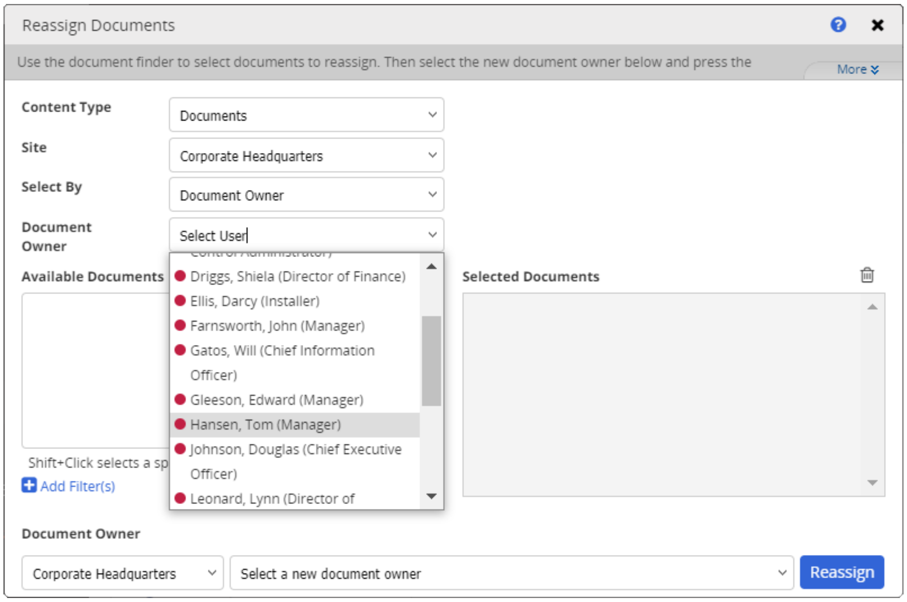
1. Click **System Settings**, click **User Setup**, and then click **User Manager**.
2. Click **Reassign Documents**.



3. If multiple sites exist, select the site containing the document owner whose documents you need to reassign.
4. For **Select By**, click **Document Owner**.

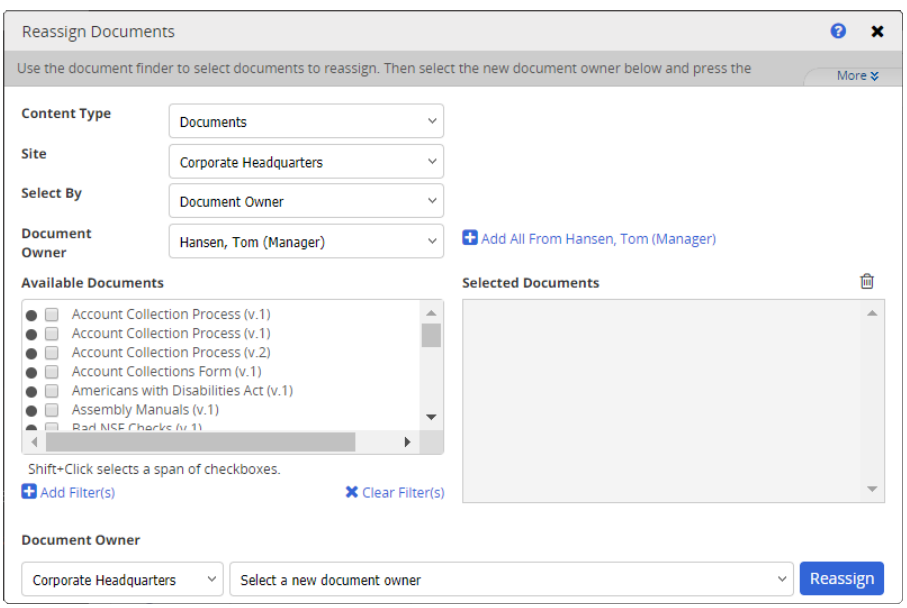


5. Select a document owner.



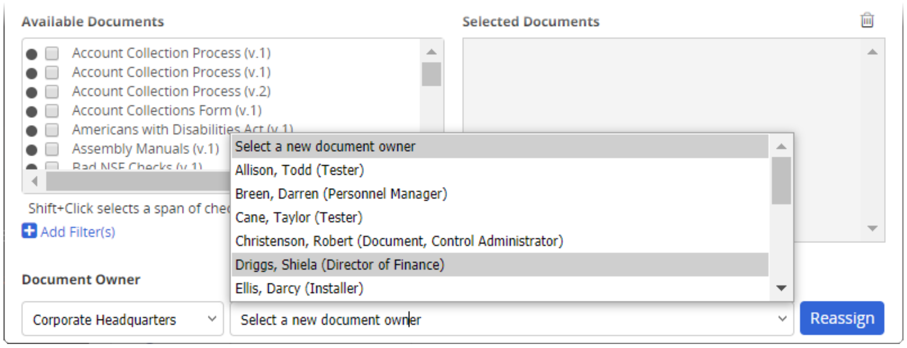
6. Select the documents you want to reassign. To quickly select all of the documents, click **Add All From [*document owner*]**.

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.



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

8. Select a new document owner.



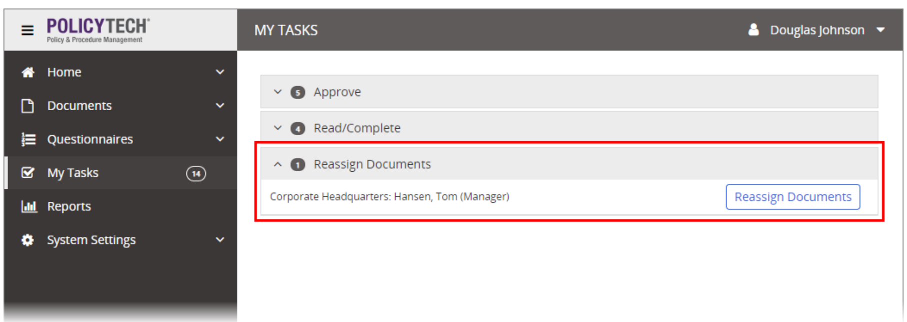
9. Click **Reassign**, and then click **OK**.

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.

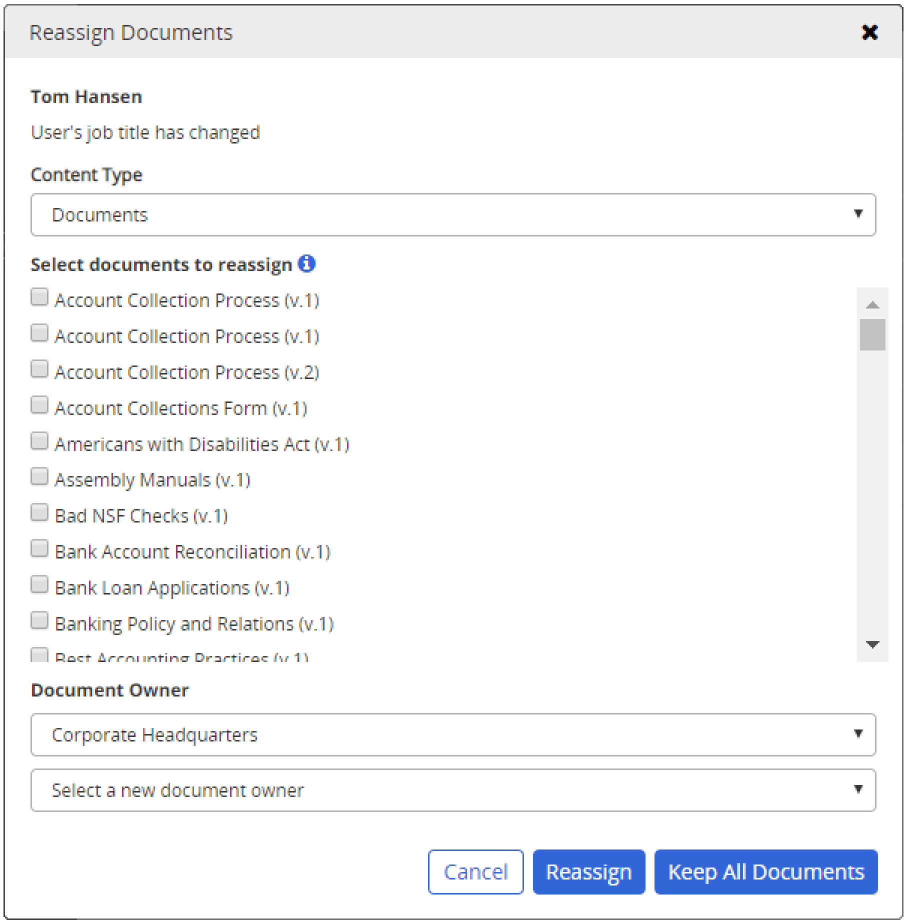


2. Click **Reassign Documents**.

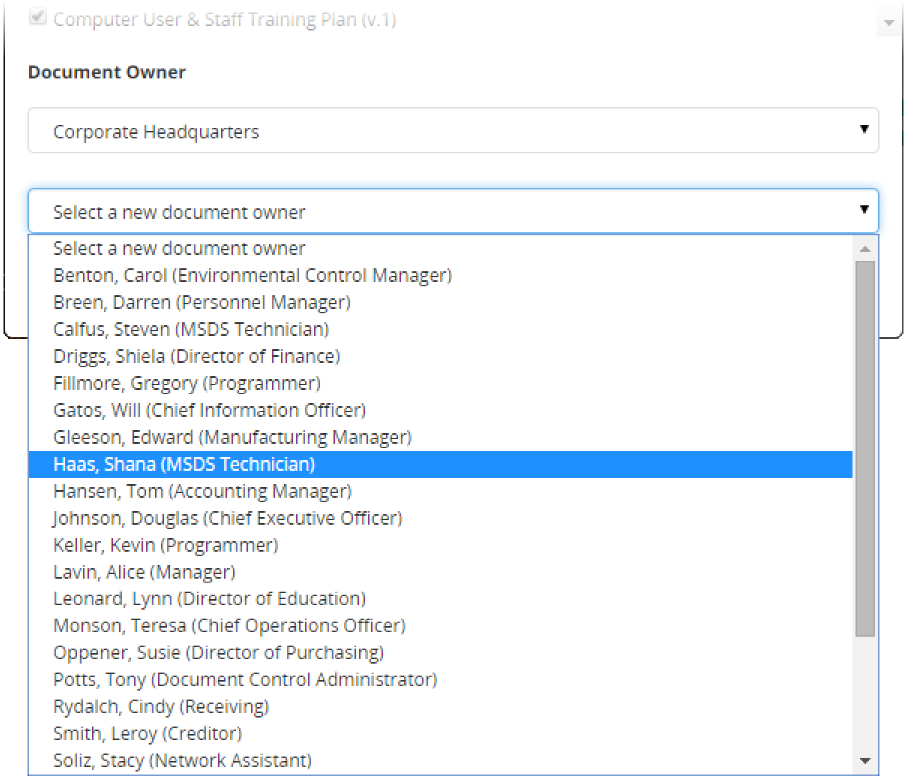
3. Select the documents you want to reassign.

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.



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

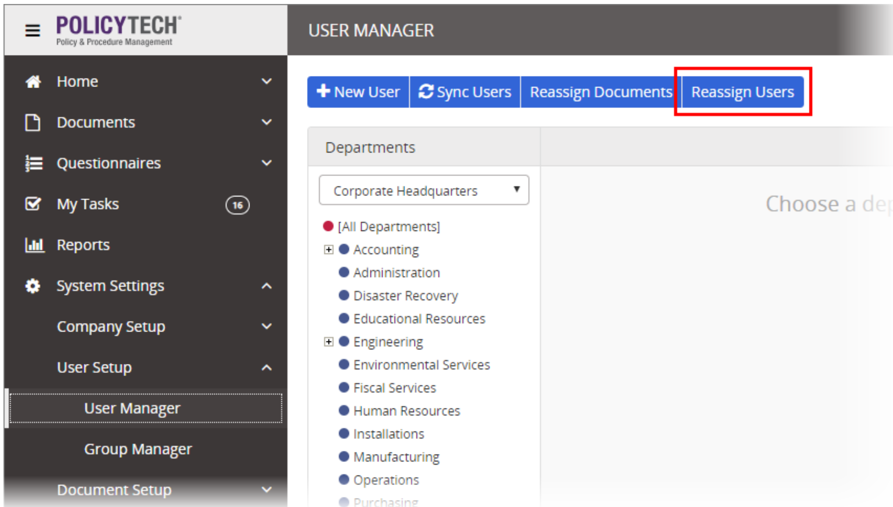


6. Click **Reassign**, and then click **OK**.
7. (Optional) If there are documents remaining in the list that you want to assign to a different document owner, repeat steps 3 through 6 above.
8. Close the **Reassign Documents** window.

Reassigning Users to a Different Department

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

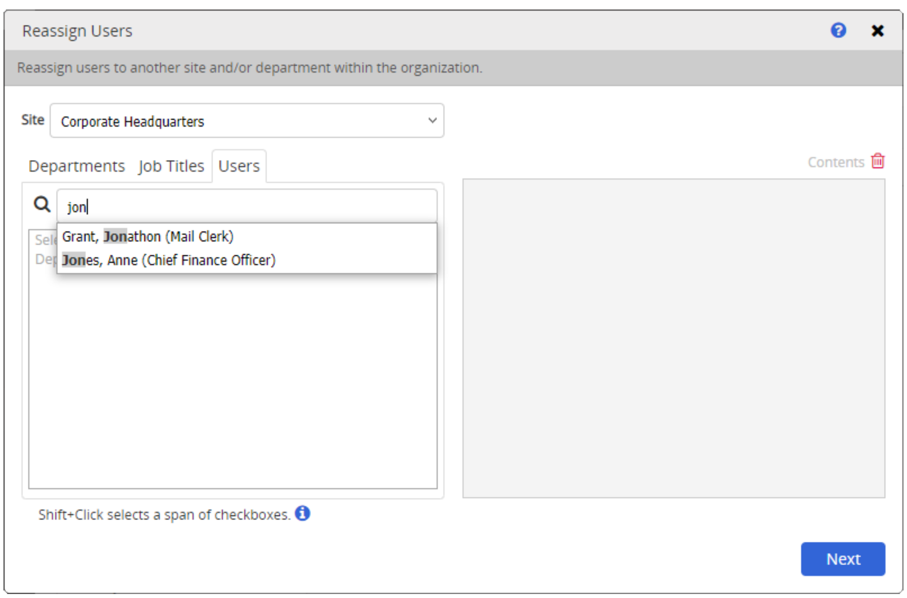
1. Click **System Settings**, click **User Setup**, and then click **User Manager**.
2. Click **Reassign Users**.



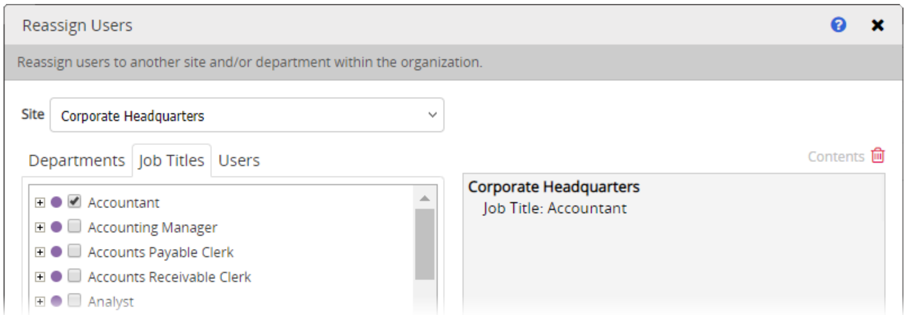
3. If multiple sites exist, select the site containing the users you want to reassign.

4. Do one of the following to select users:

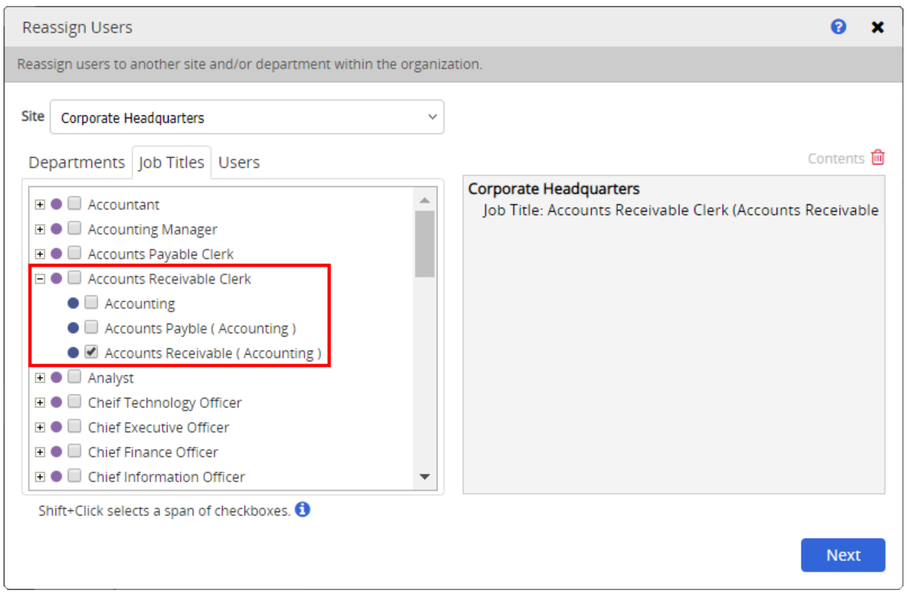
   - In the **Search Users** box, start typing part of the document owner's name. A list appears of users containing the characters you typed that are anywhere in their names. Click a name to add it.



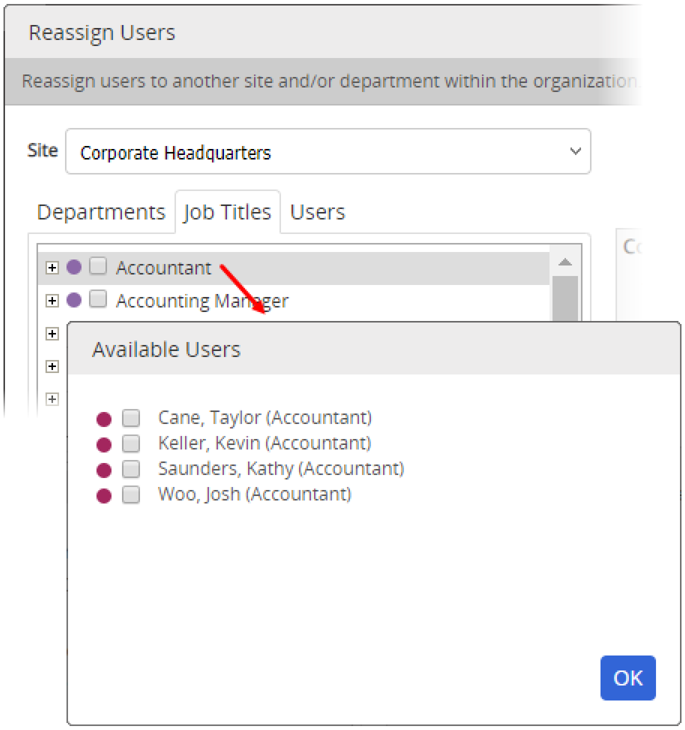
   - Click the **Job Titles** tab. If you want to select all users with a particular job title regardless of which department they are assigned to, select that job title.



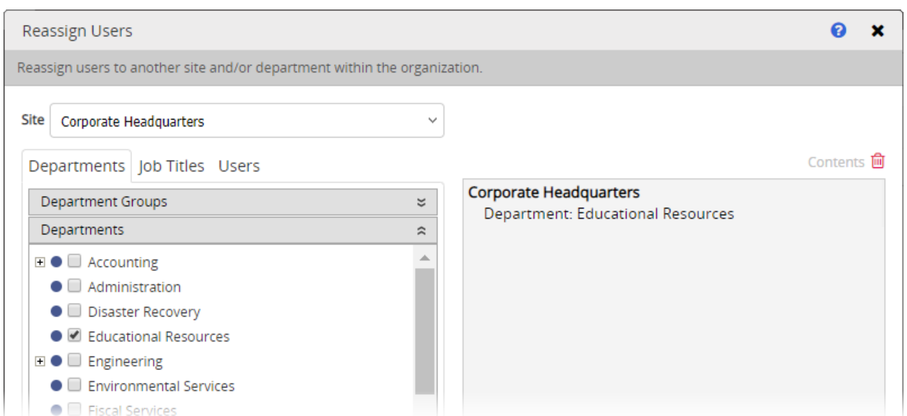
If you want to select only the users with a certain job title and that are assigned to a particular department, click ⊞ to expand the job title, and then select one or more departments.



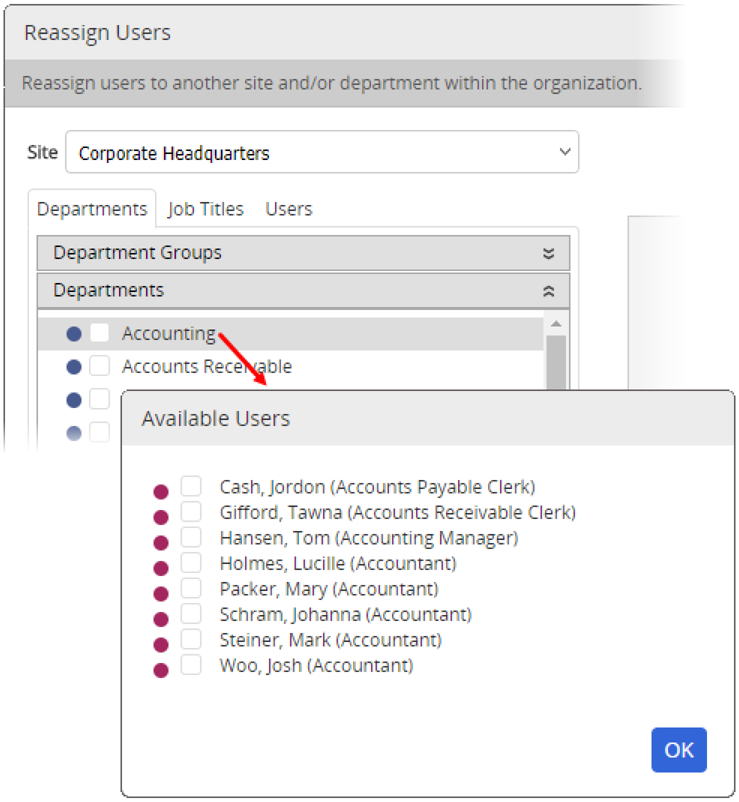
If you want to select only certain users with particular job title, click the job title, and then select users.



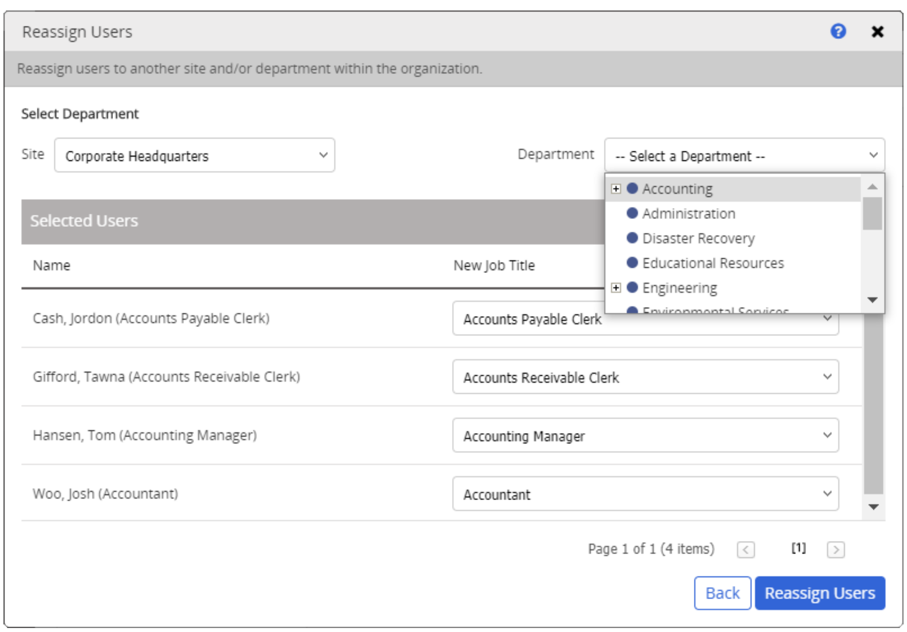
- Click the **Departments** tab, and then select one or more departments.



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



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.

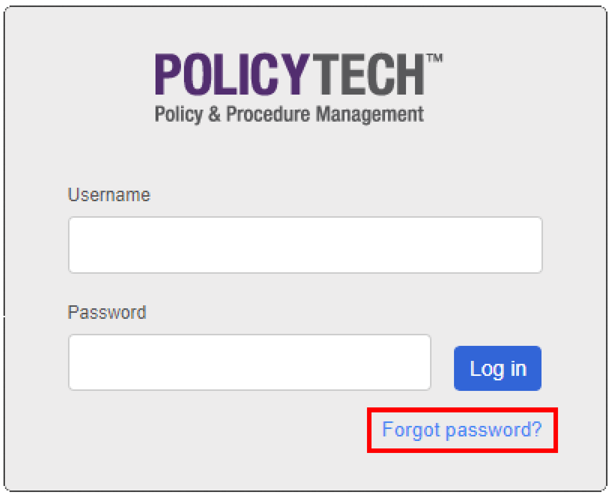


8. (Optional) If necessary, select different job titles for the selected users.
9. Click **Reassign Users**, and then click **OK**.

Resetting a User's Password

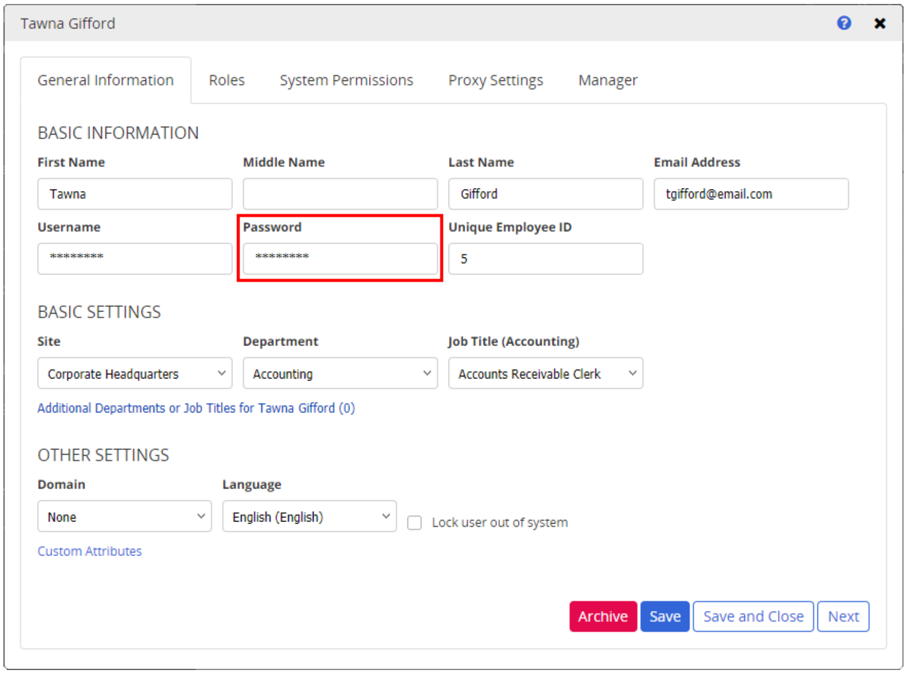
If a user has forgotten his or her password, you can do either of the following to help the user regain access to PolicyTech:

- If you have set up PolicyTech to send email notifications (see Email Settings) and have assigned the user with the forgotten password a valid email address in **User Manager** (see Adding a User Manually), 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 User's Guide for detailed instructions.



- To reset the user's password yourself, open the user's profile, type a new password, and then save your change (see Editing a User 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 User's Guide for detailed instructions.



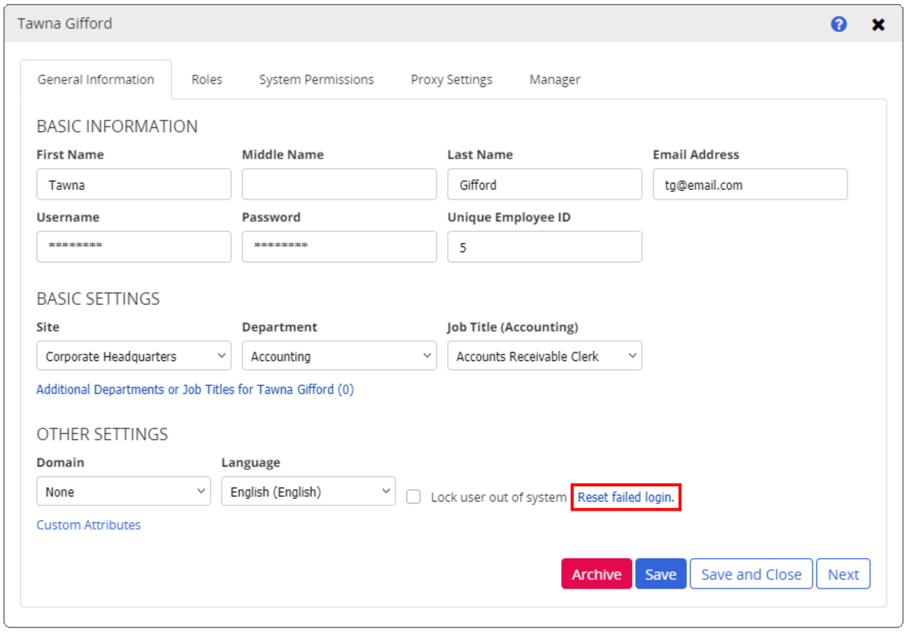
Clearing a User Lockout

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 Login Settings 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**.

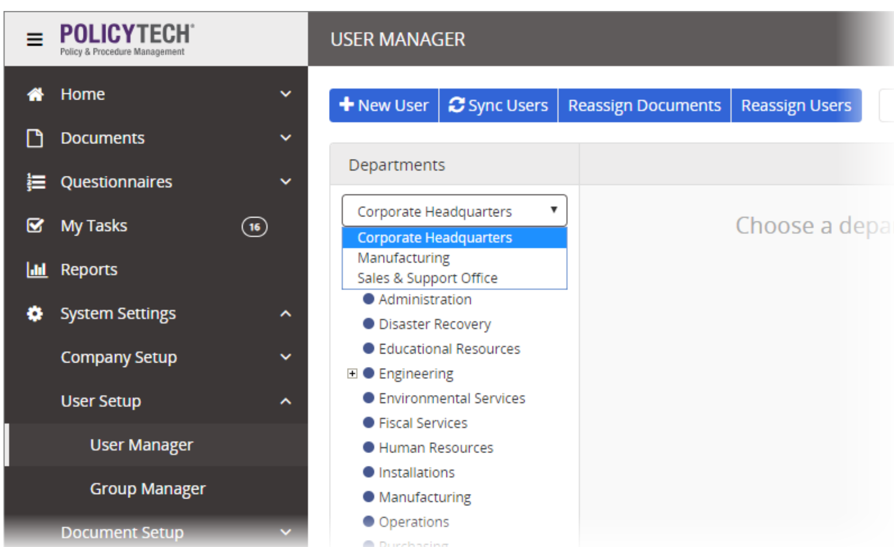


4. Click **Save and Close**.

Exporting User Information

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

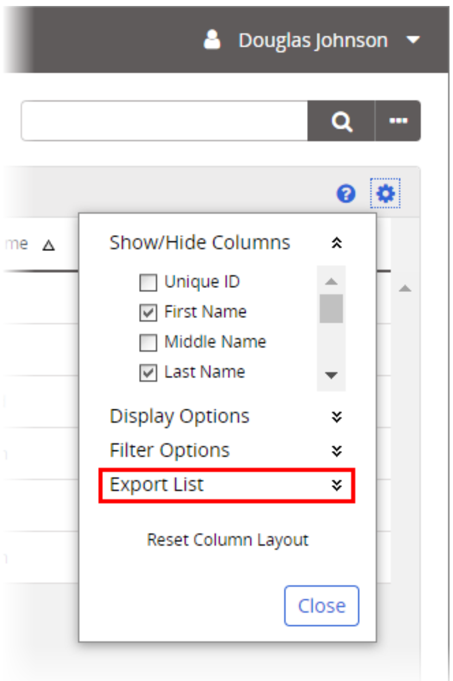
1. Click **System Settings**, click **User Setup**, and then click **User Manager**.
2. If multiple sites exist, select the site whose user information you want to export.



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.

4. (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 Customizing the User Grid for details.
5. With the desired information displayed in the user list, click ⚙, and then click **Export List**.



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

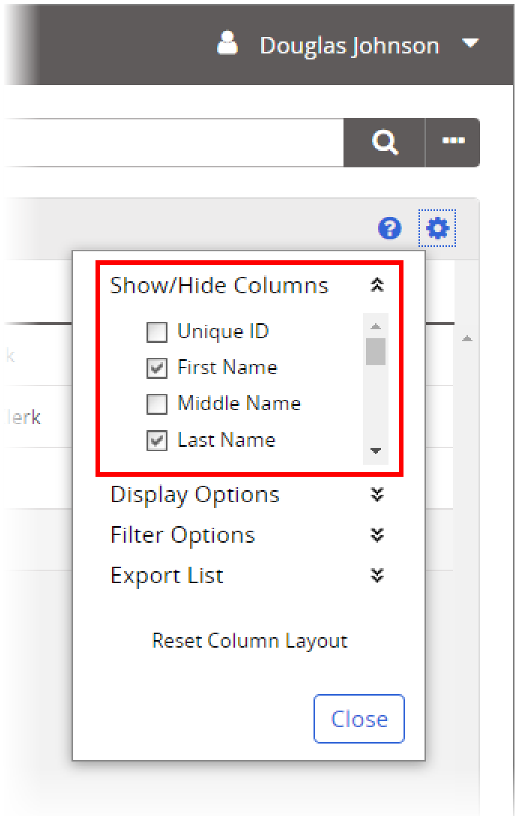
Customizing the User Grid Layout

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.

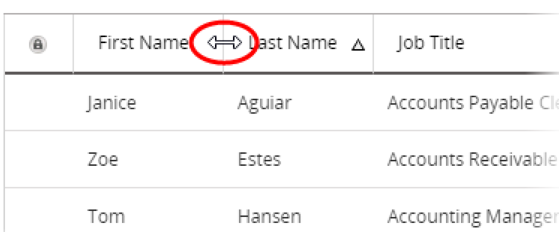


Note: To go back to the default user grid appearance, click , click **Reset Column Layout**, and then click **Close**.

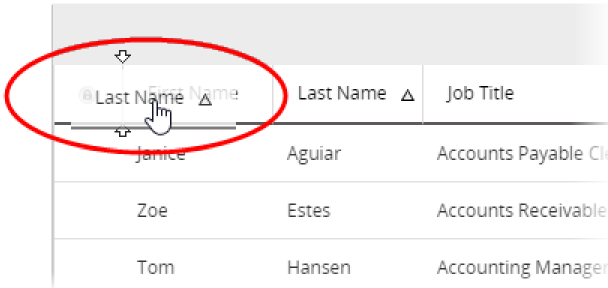
3. Click **Close**.

Arranging Columns and Changing Sort Order

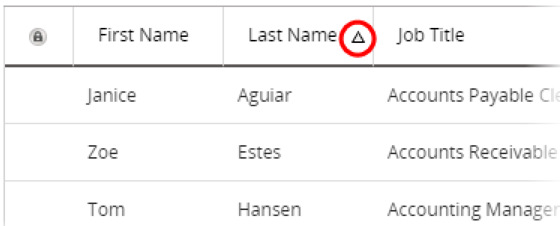
Adjust a column's width: Hover the pointer over the line between two column headers until the pointer changes to a two-headed arrow, and then click and drag the column separator.



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



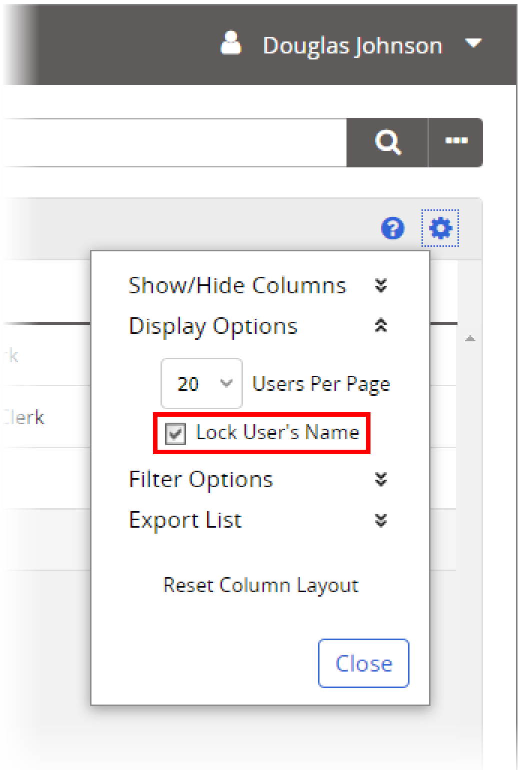
Select a column to sort by: Click a column header to sort the user list by that item. An up or down arrow appears in the current sort column.



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

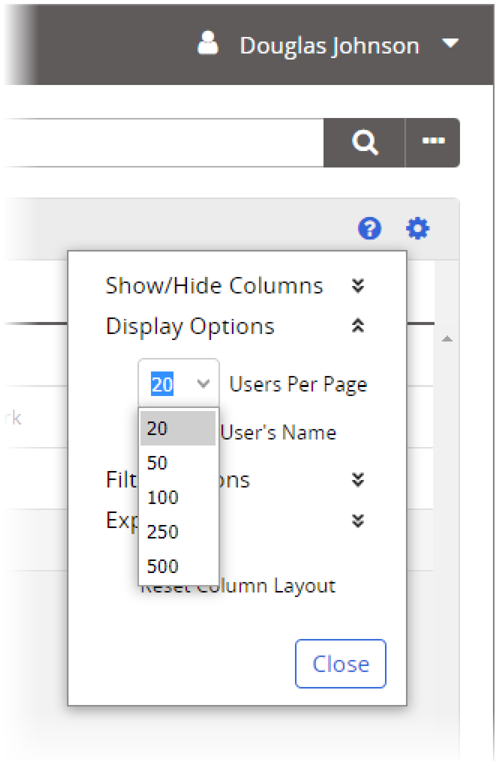
Freeze the user name columns: Freezing (or locking) the user name columns (**First Name**, **Middle Name**, and **Last Name**) keeps those columns in place as you scroll to the right and left. If the name columns are not the first columns in the user list, freezing the user name columns will automatically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

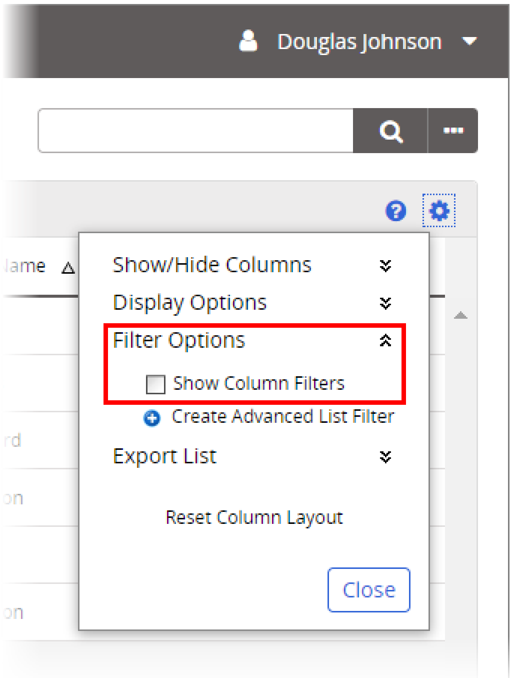


3. Click **Close**.

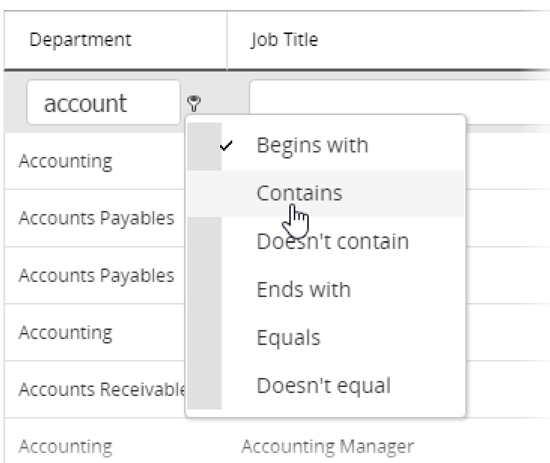
Applying Filters to a User Grid

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.

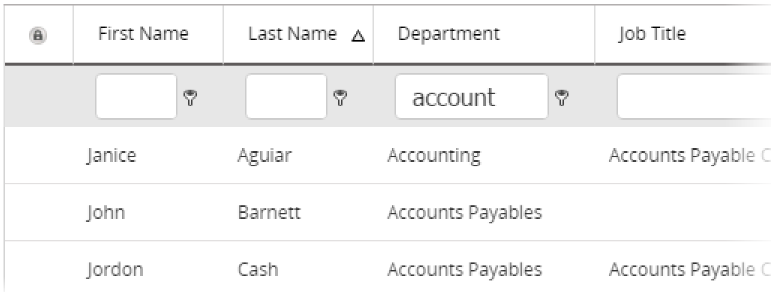
1. In a document grid, click .
2. Click **Filter Options**, select **Show Column Filters**, and then click **Close**.



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.



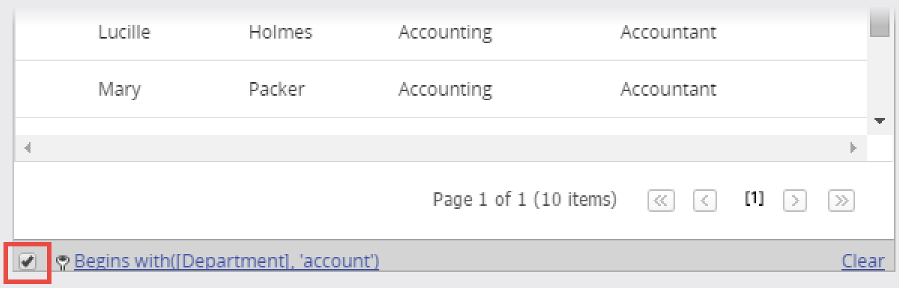
4. Click inside a column's filter box, and then type the text to filter by. The list is immediately limited to those users matching the filter text and criterion.



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

Notes:

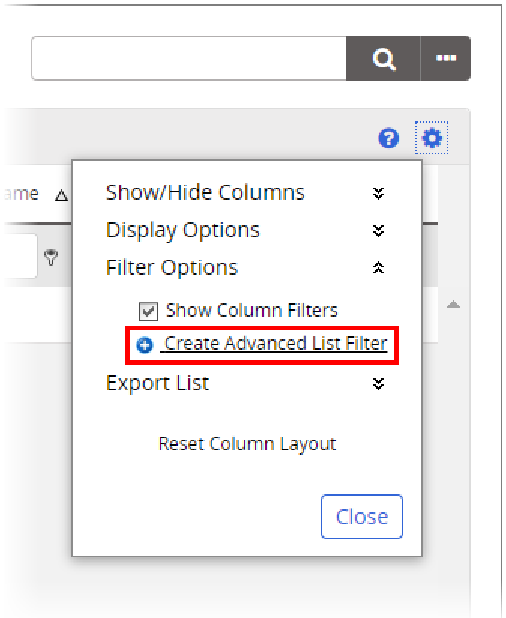
- To delete all filter text, click **Clear** at the bottom right of the grid.
- To temporarily turn off the filter, click to clear the check box at the bottom left of the grid. Notice that the filter parameters are preserved. Simply select the check box to turn the filter on again.



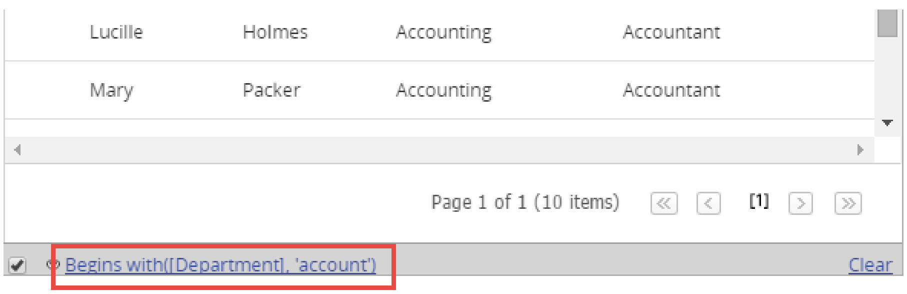
Applying an Advanced Filter to a User Grid

1. To open the **Filter Builder**, in a user grid do one of the following:

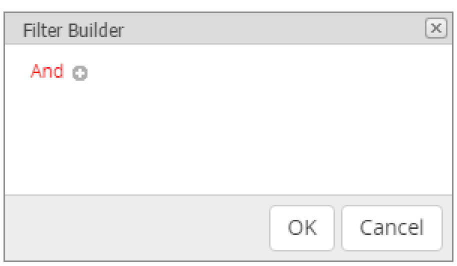
    - Click , click **Filter Options**, and then click **Create Advanced List Filter**.



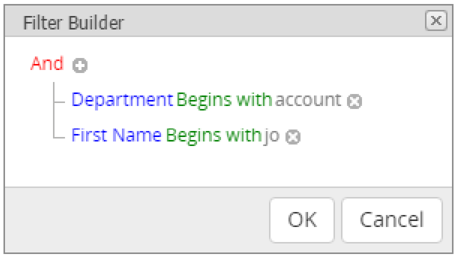
- If you've already created a column filter, you can also click the filter formula at the bottom of the user list.



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



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

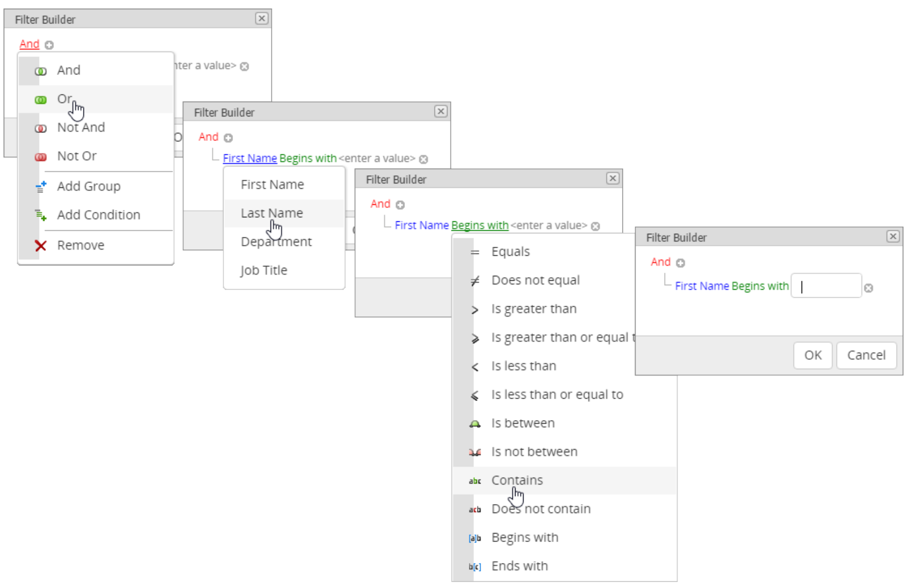


In the formula above the operator is in red font, the column name is in blue font, the filter type is in green font, and the condition parameter is in gray font.

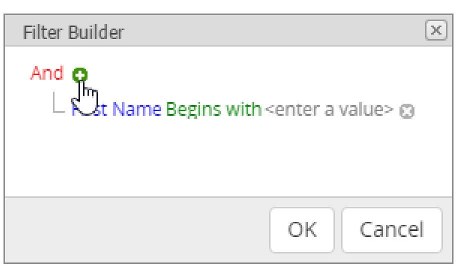
2. Use the following guidelines to create the filter.

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.

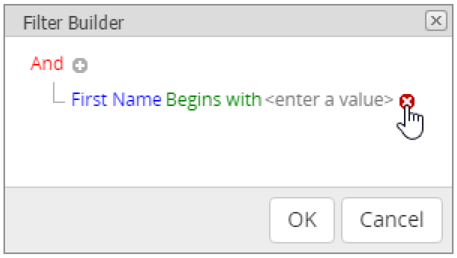
- To change any displayed filter element, click it and select an option, or type in the text box and press Enter.



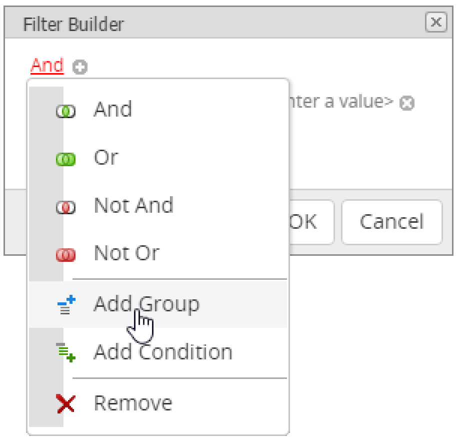
- A group is an operator and all the conditions below it. To add a condition to a group, click after the operator.



- To delete a condition, click (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

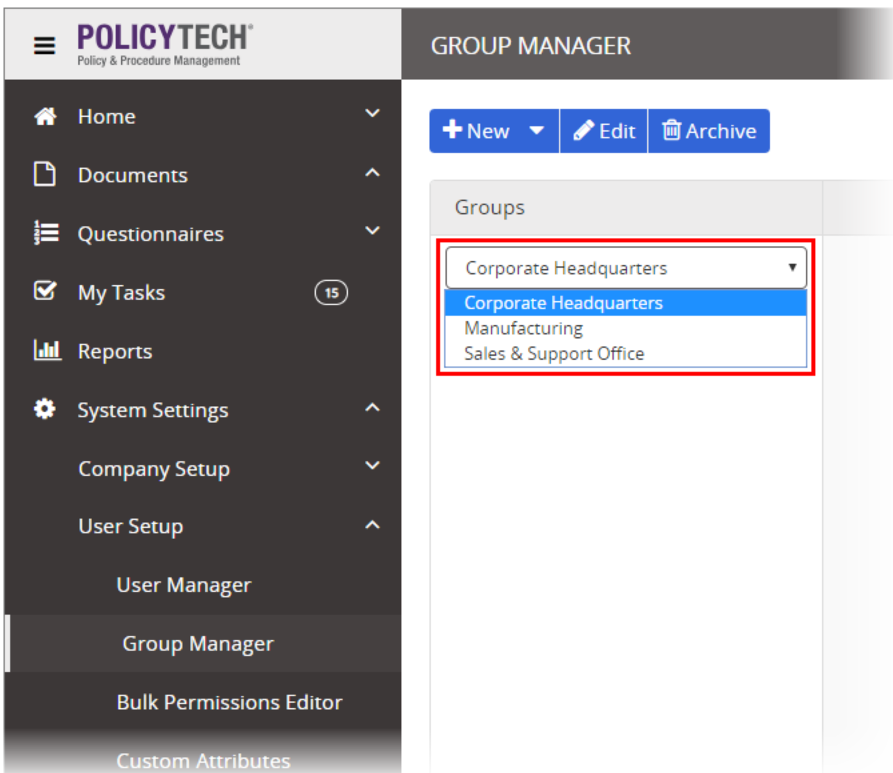
Editing a User Group

Archiving a User Group

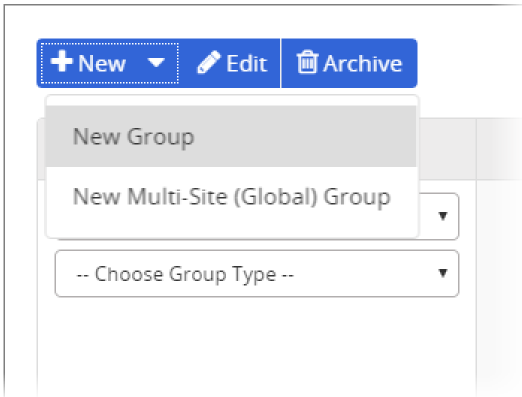
Adding a User Group

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

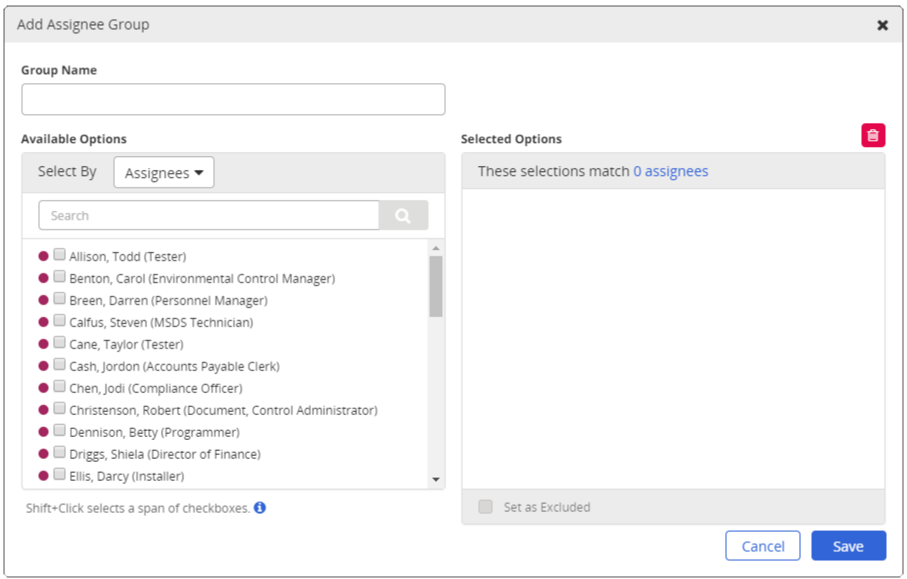
1. Click **System Settings**, click **User Setup**, and then click **Group Manager**.
2. If multiple sites exist, select the site containing at least some of the users you want to assign to the group.



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.



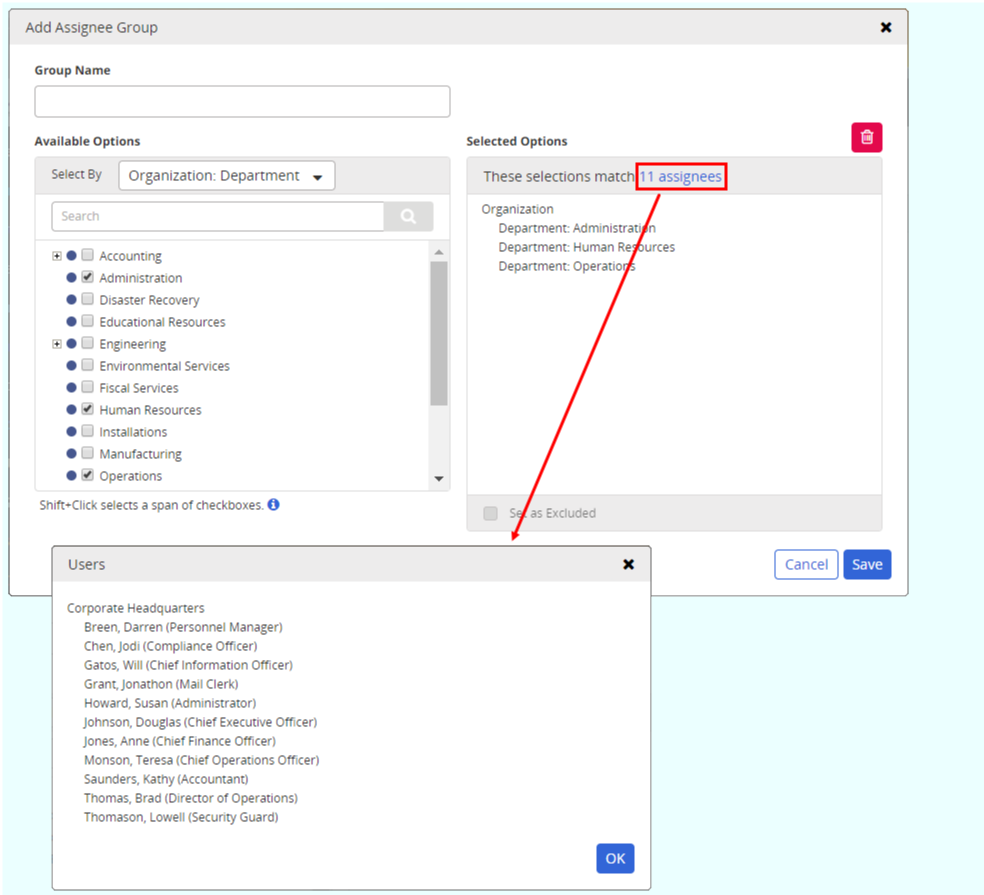
6. Select the group's users (see User Selection Options for User Groups below for detailed instructions).

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.

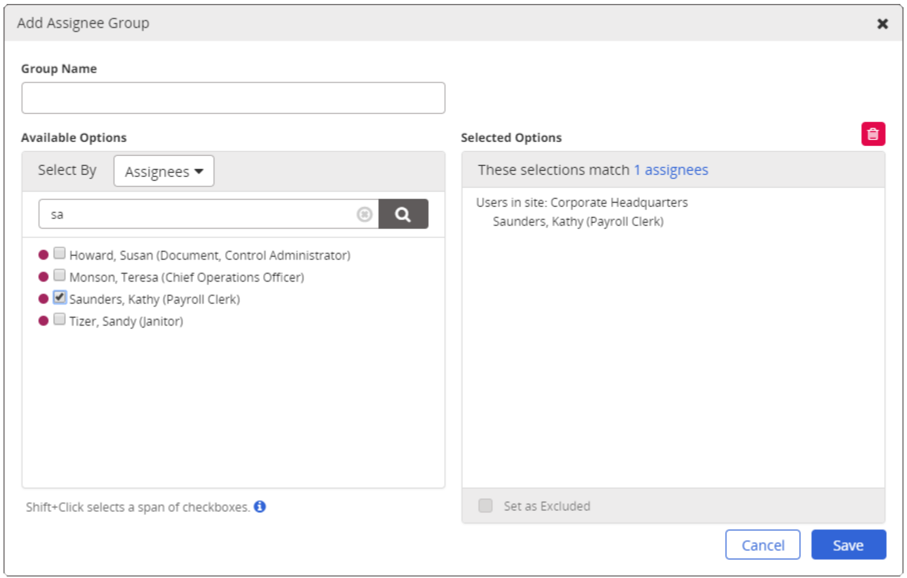
Important: In the header below **Selected Options** is the text **These selections match [*n*] assignees**. As you use the various methods of adding users to a group, you can always see the currently included individual users by clicking the **[*n*] assignees** link in that text, as shown below.



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.

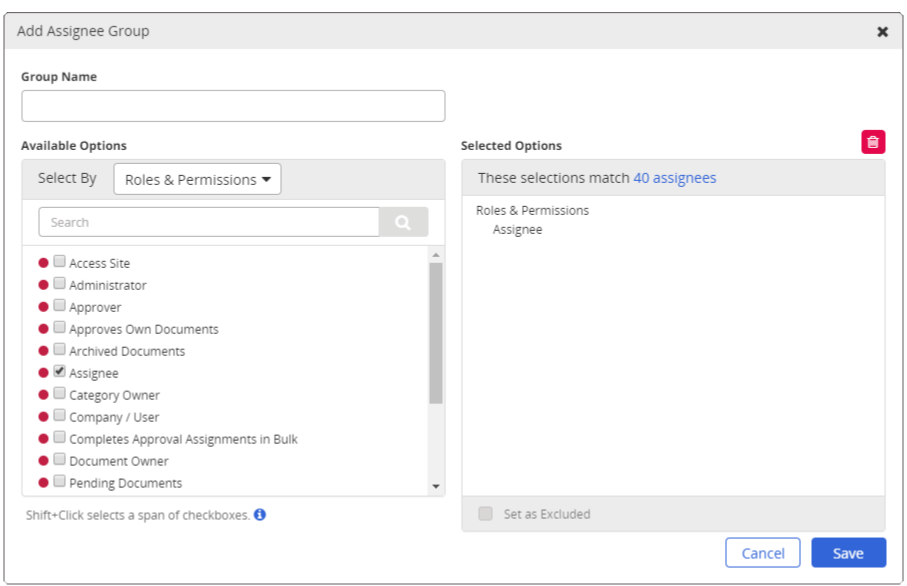
Note: If this is a multisite group, select a site before selecting users.



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.

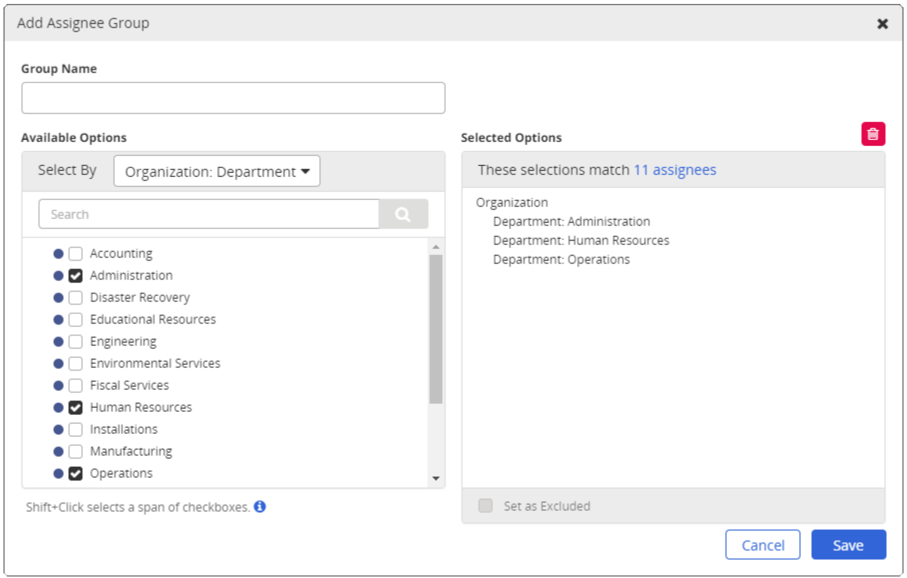
Note: If you are creating a single-site group (you selected **New Group** to start), **Roles & Permissions** selections are restricted to those users assigned the selected role in the current site only. If you are creating a multisite group (you selected **New Multi-Site (Global) Group** to start), a **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.



By Department

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

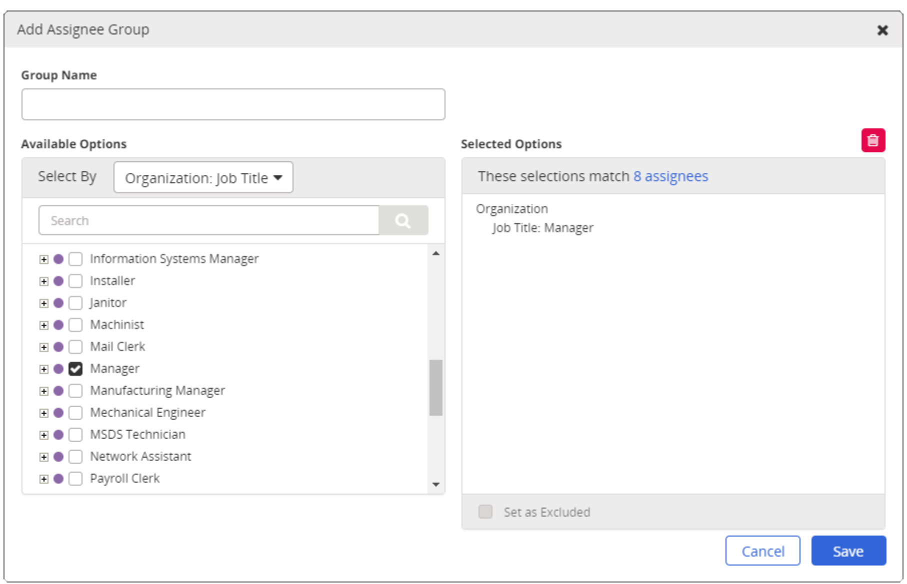
Note: If this is a multisite group, select a site before selecting departments.



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.

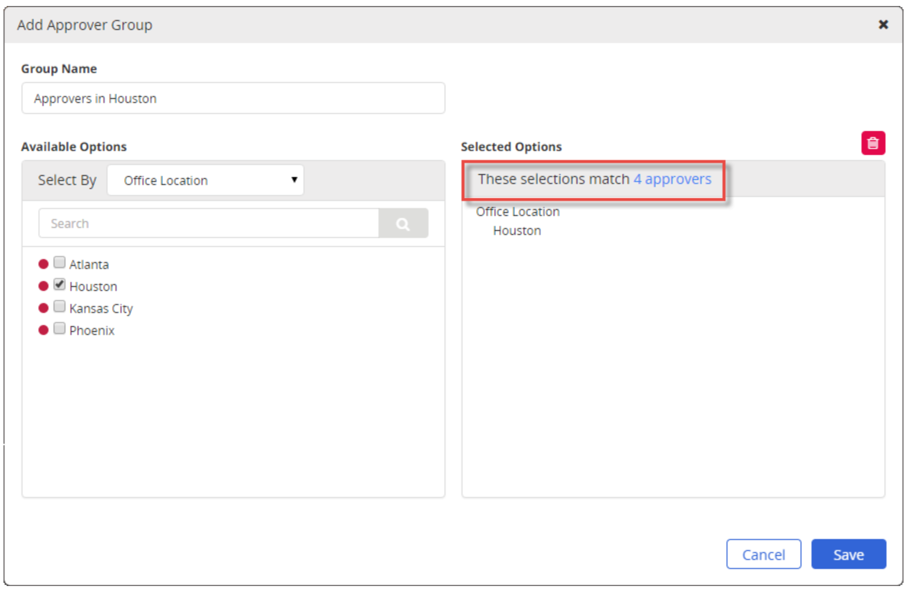


By Custom Attribute

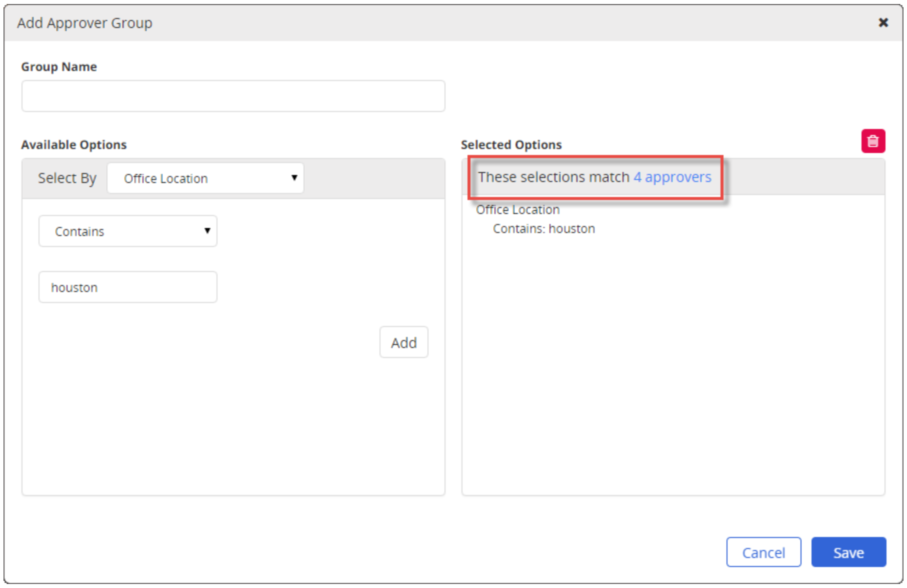
If custom attributes have been added (see Custom Attributes), select a custom attribute, and then do one of the following, depending on what you see.

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.

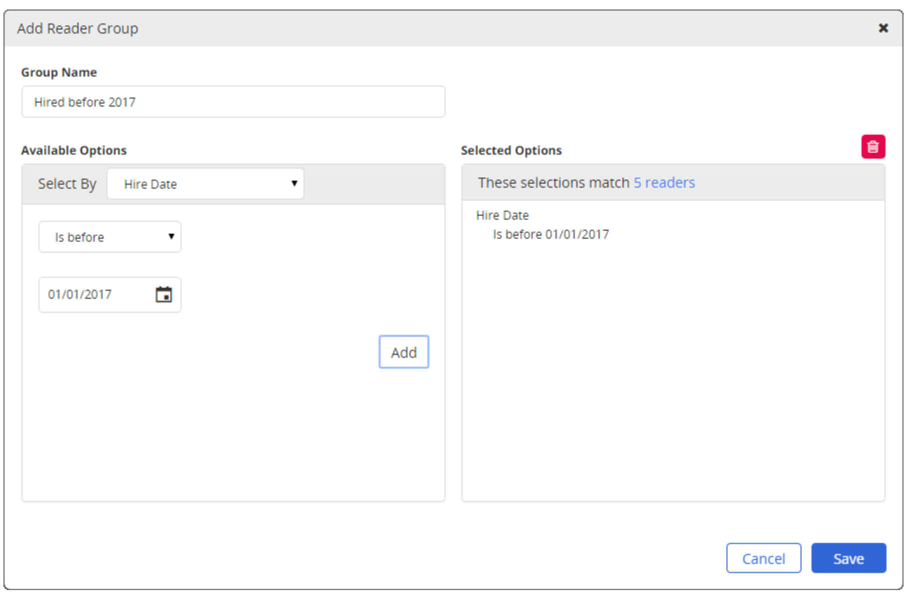


- If you see a set of options like the ones shown below, you can specify an assigned attribute by typing text that in some way matches an attribute value assigned to one or more users. Type some text that you know is in an attribute value, select how you want the text matched (**Equals**, **Contains**, **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.

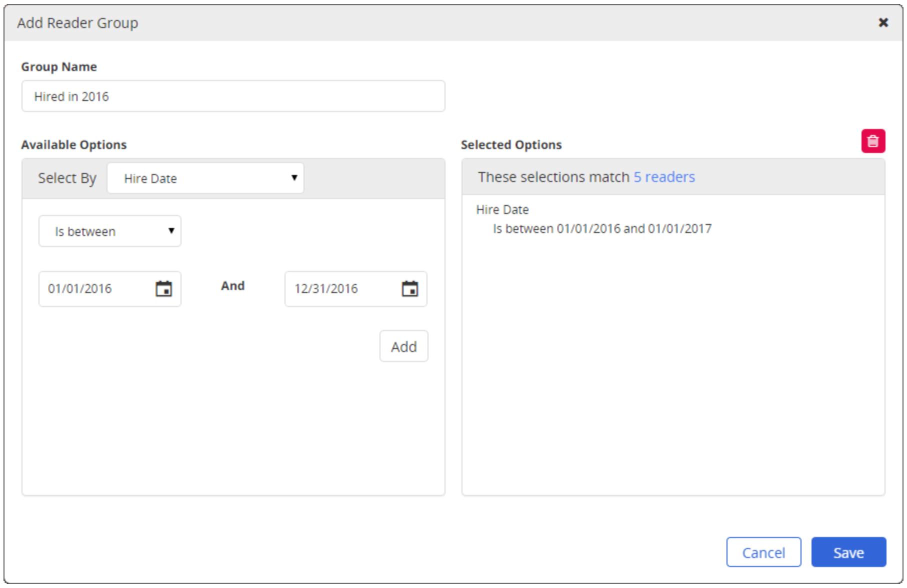


- If you see a set of options that include a **Date** selector, first select a date operator (**Equals**, **Is before**, **Is after**, **Is between**, **Within the last**).

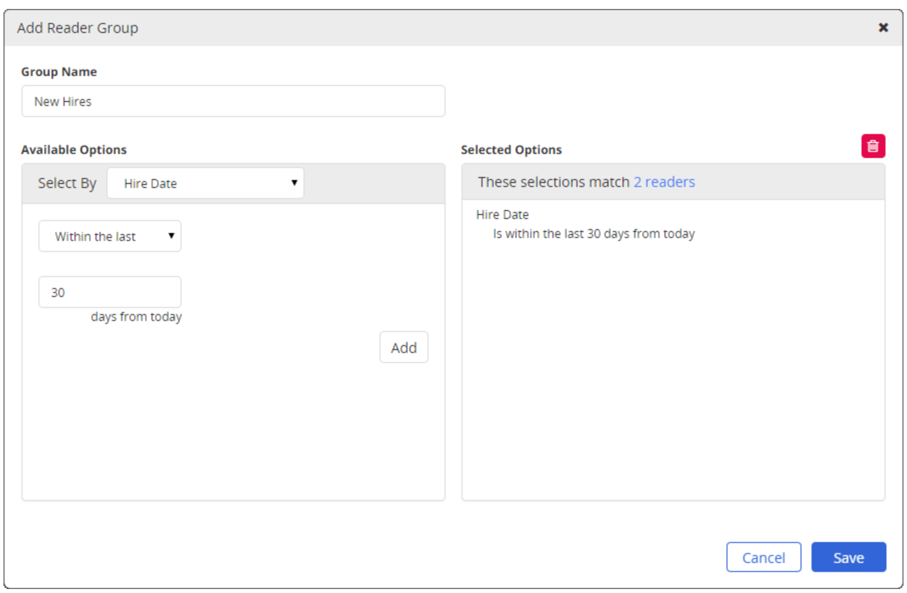
  If you selected **Equals**, **Is before**, or **Is after**, type a date, or click and select a date, and then click **Add**. The number of users assigned to matching values for the selected attribute is shown in the list header on the right.



  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.



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.



By Exclusion

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

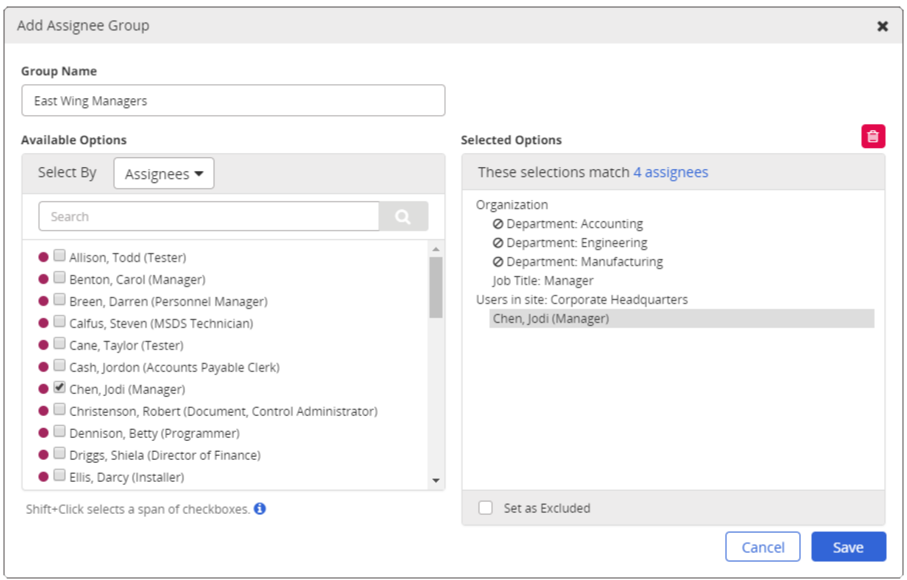
Exclusion Rules

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:

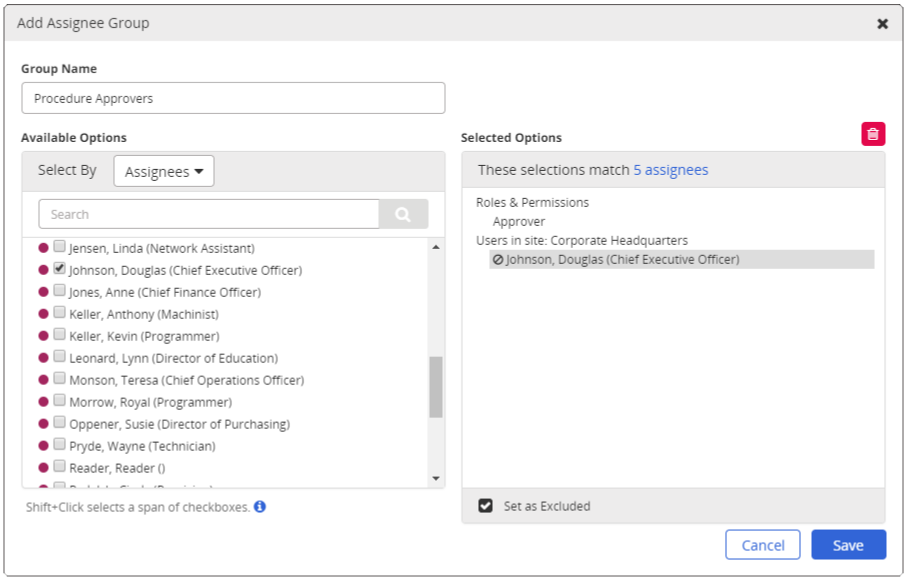
- Jodi Chen is currently assigned to both the **Manager** job title and the **Administration** department.
- The **Manager** job title has been selected and thereby added to the **Selected Options** box
- The **Administration** department, among others, have been selected and thereby added to the **Selected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



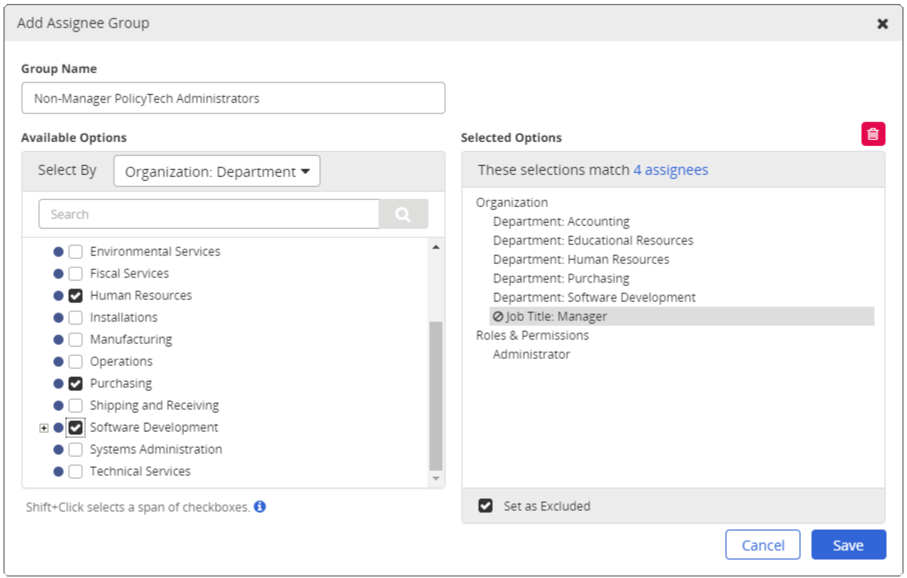
In this example, Douglas would be excluded, because, although he has an included role, he has been individually added as an excluded user.

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 .



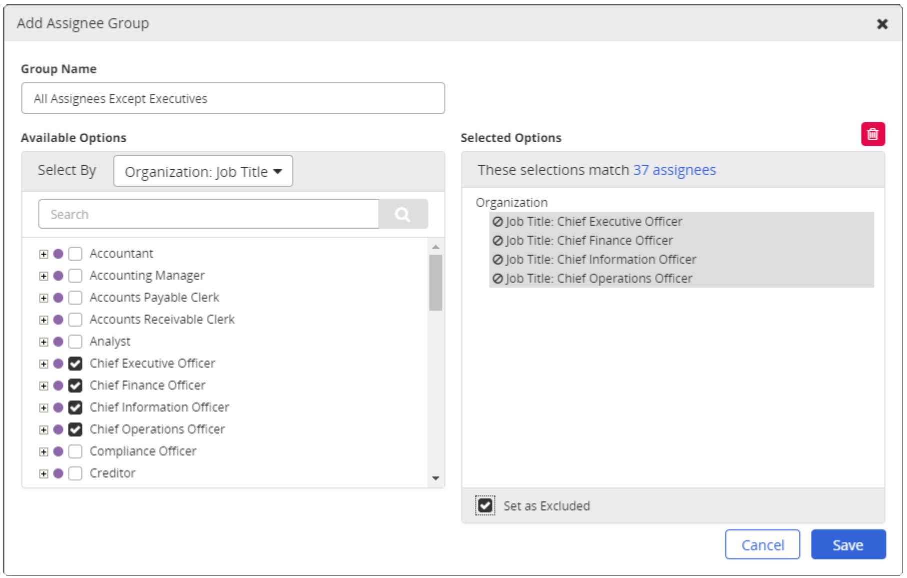
In this example, Anna would be excluded, because, although she is a member of both the **Administrator** permission set and the **Human Resources** department set, which are both included, she is also a member of the **Manager** job title set, which has been excluded.

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:

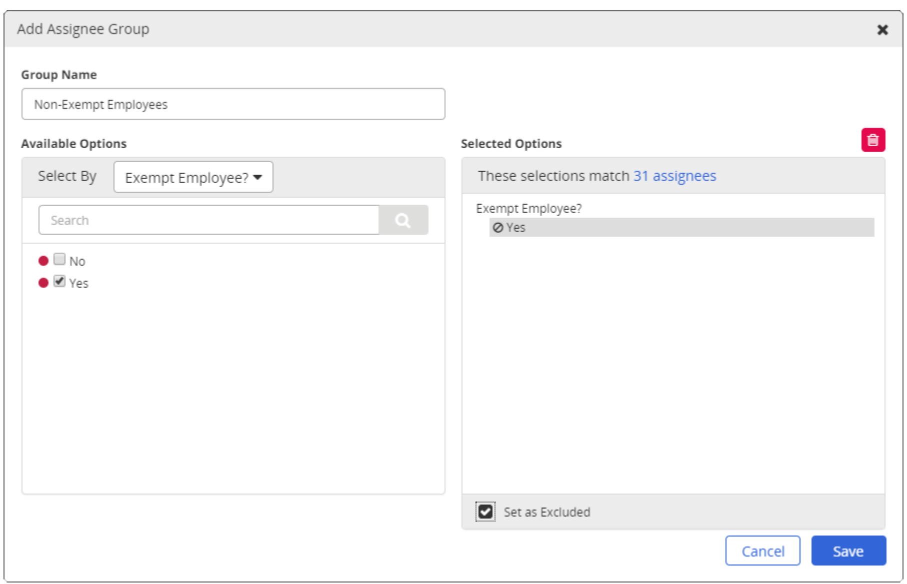
- The **Chief Executive Officer**, **Chief Financial Officer**, **Chief Information Officer**, and **Chief Operations Officer** job titles have been selected and thereby added to the **Selected Options** box, and they have all been set as excluded.
- The excluded job titles are the only things listed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



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.



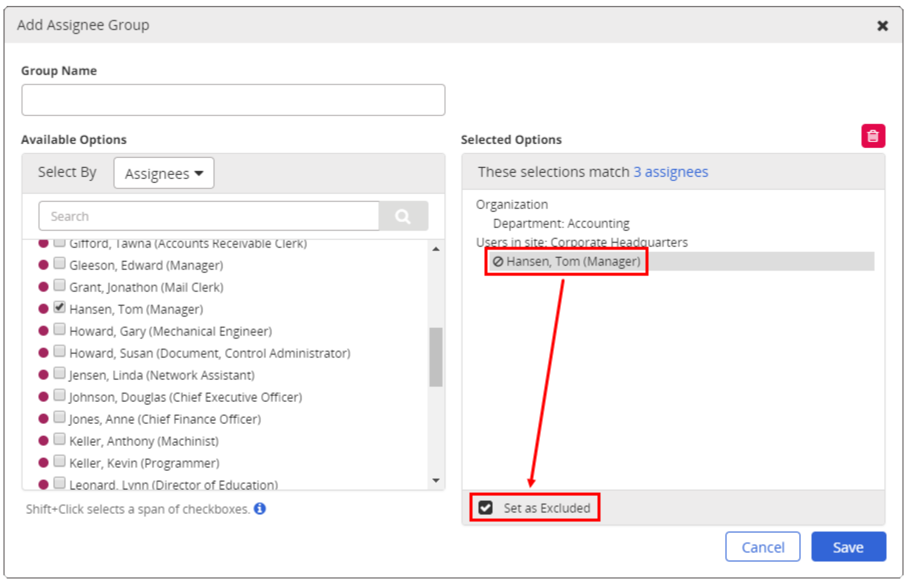
In this example, the group would contain all users who are not assigned the **Yes** value for the **Exempt Employee** custom attribute (such as all hourly employees and interns).

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.

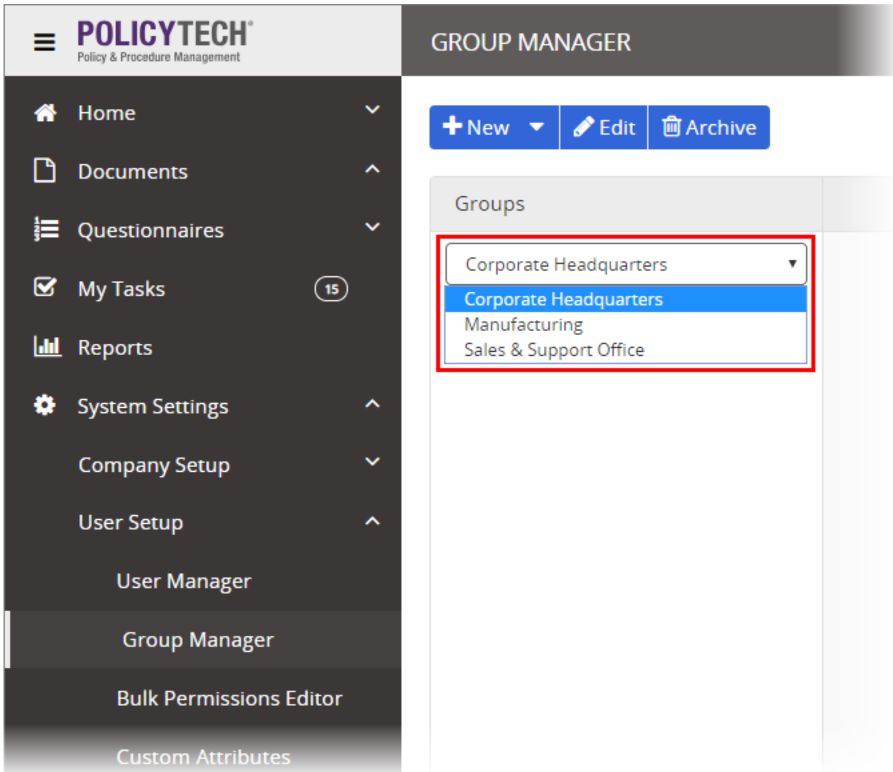
2. Click that item in the **Selected Options** box, and then click **Set as Excluded**.



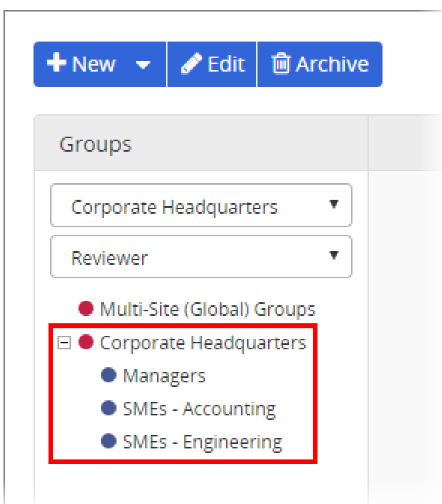
Excluded selections are marked with ⊘.

Editing a User Group

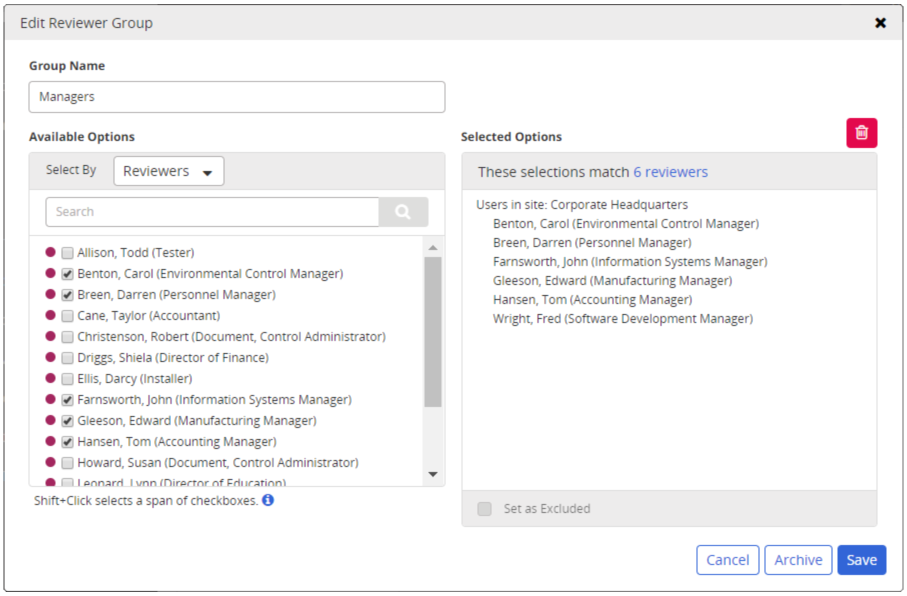
1. Click **System Settings**, click **User Setup**, and then click **Group Manager**.
2. If multiple sites exist, select the site containing the single-site user group or containing at least one of the users in the multisite group.



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.



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



- 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 Adding a User Group for detailed instructions.

6. Click **Save**.

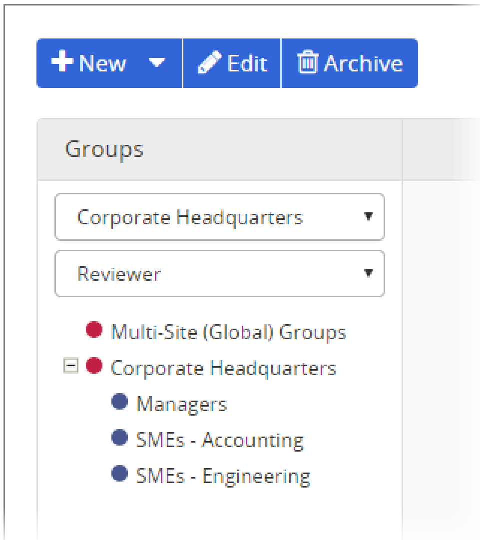
Archiving a User Group

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.

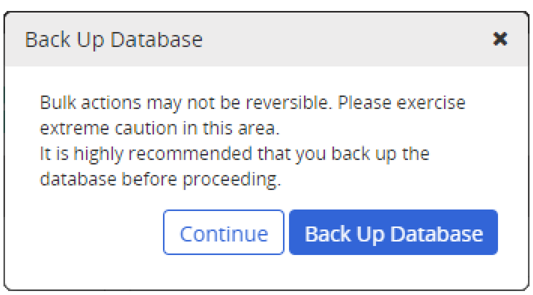
3. For **Choose Group Type**, click **Writer**, **Reviewer**, **Approver**, or **Assignee**.

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

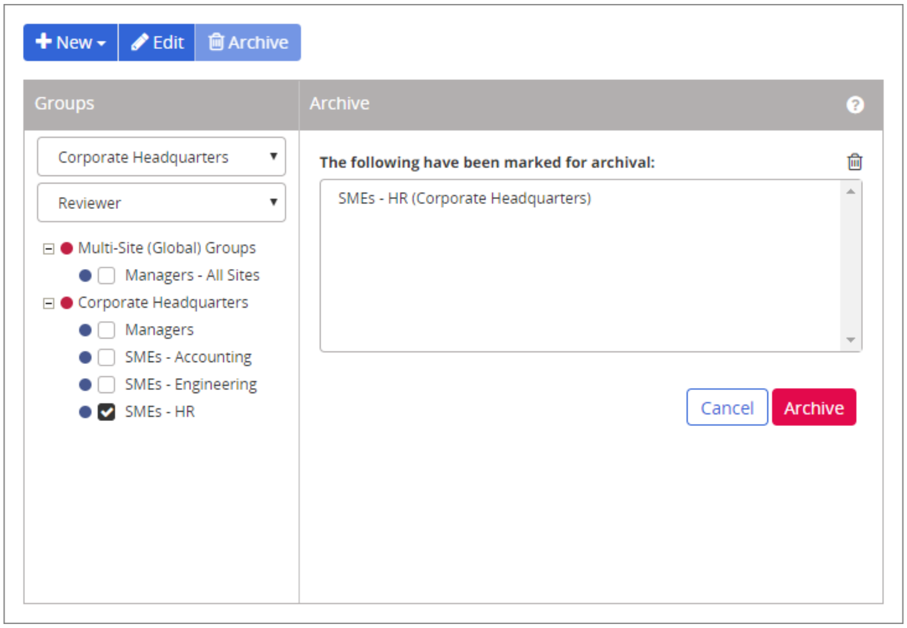


4. Click **Archive**.

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).



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.



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

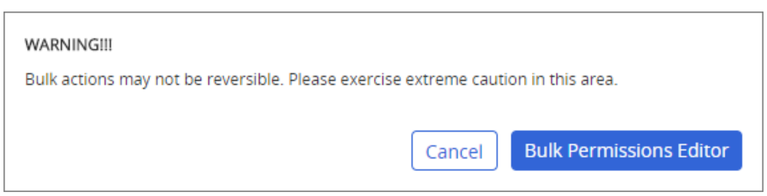
Note: See The Archive for details on restoring a group.

Bulk Permissions Editor

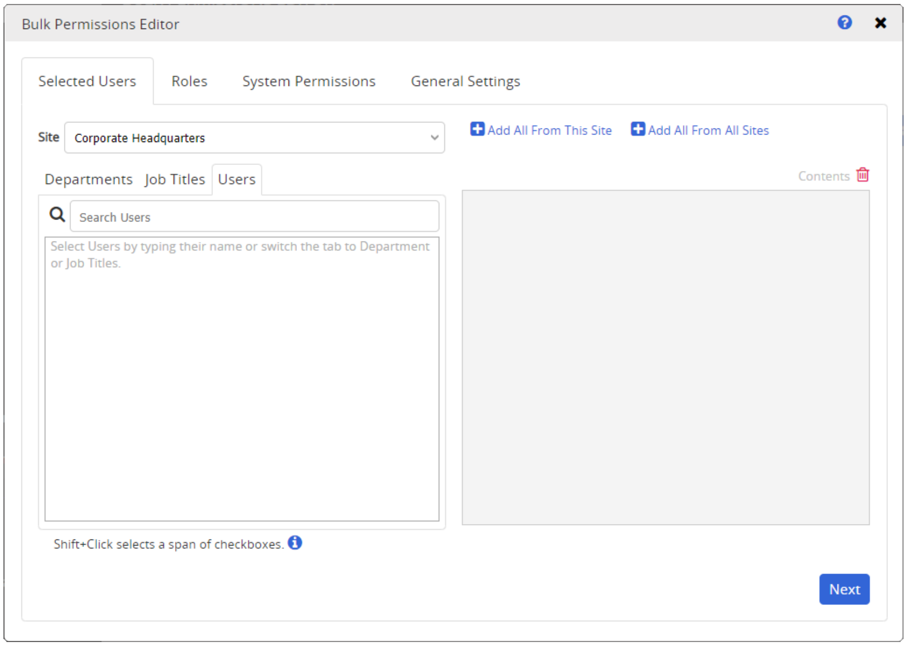
Use the **Bulk Permissions Editor** to assign and remove document roles and system permissions and to change general settings for multiple users at once.

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

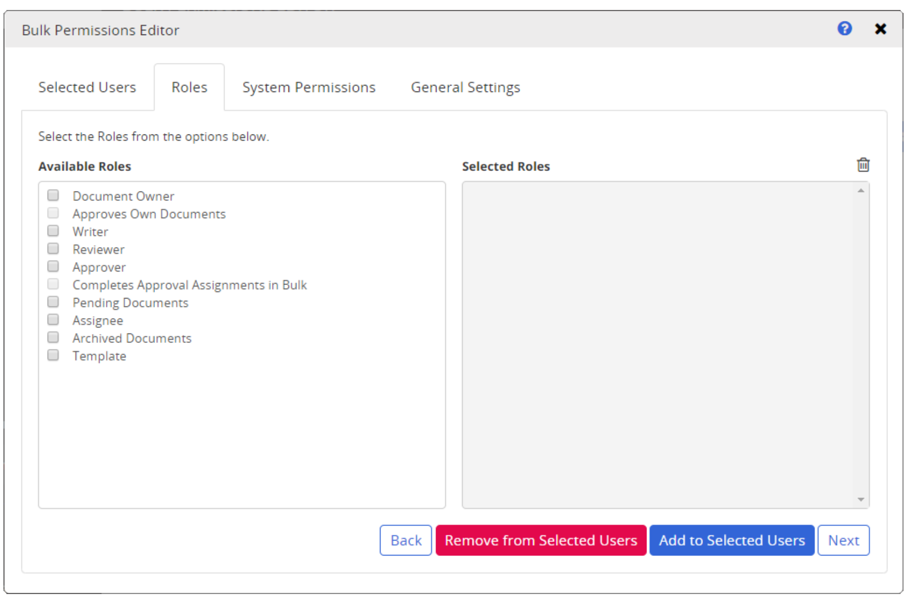
You should now see following warning.



2. Click **Bulk Permissions Editor**.

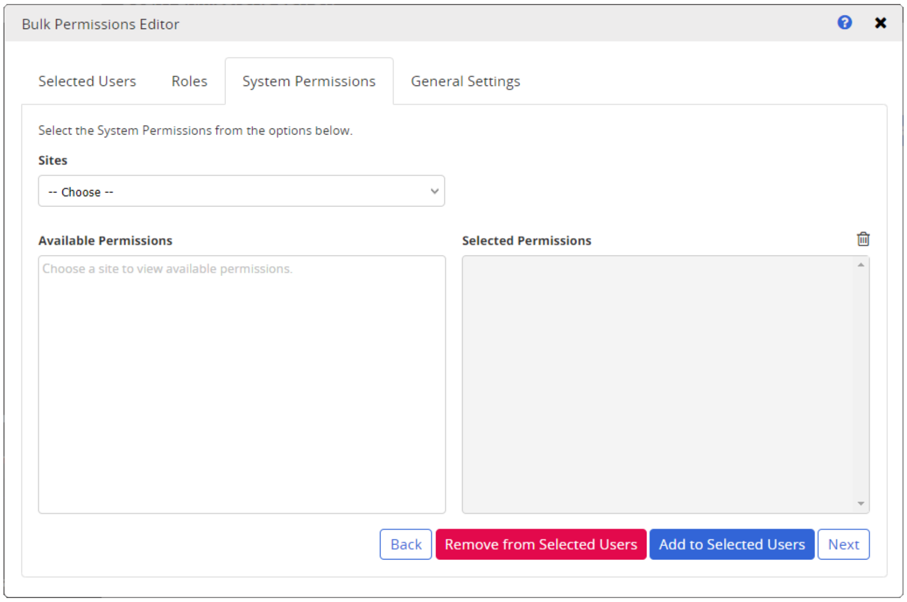


3. Select all the users you want to change in the same way (see [Selecting Users]() below).
4. Do any of the following:
   - Click the **Roles** tab and select roles. Click **Remove from Selected Users** or **Add to Selected Users**, and then click **OK** to close the **Bulk Edit Results** window.

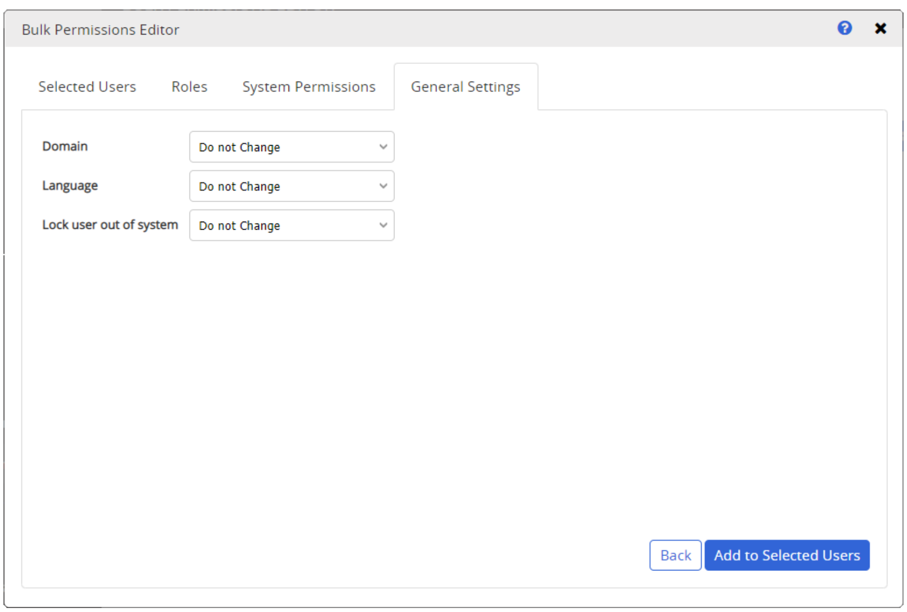


   - Click the **System Permissions** tab, select a site or **All Sites (Global Permissions)**, and then select permissions. Click **Remove from**

Selected Users or **Add to Selected Users**, and then click **OK** to close the **Bulk Edit Results** window.



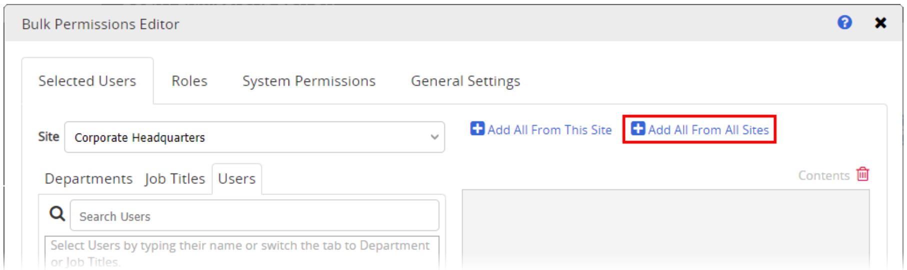
- Click the **General Settings** tab and select settings. Click **Add to Selected Users**, and then click **OK** to close the **Bulk Edit Results** window.



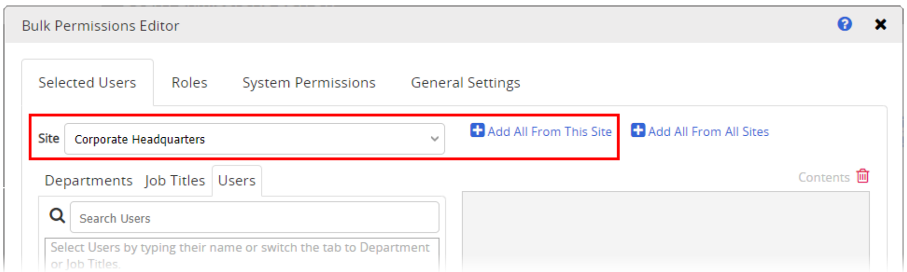
5. Close the **Bulk Permissions Editor** window.

Selecting Users

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

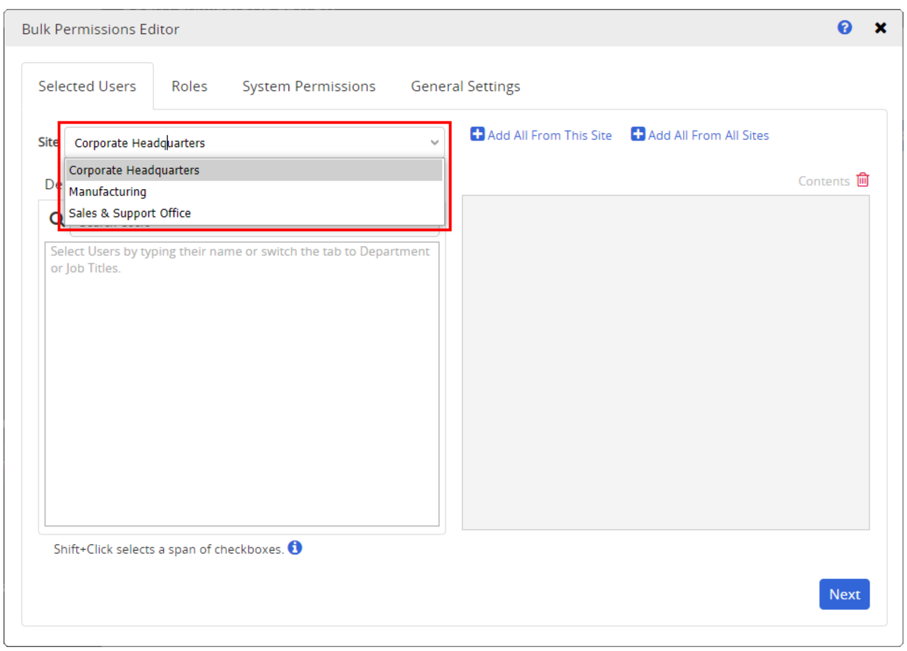


To select all users from a specific site, select the site, and then click **Add All From This Site**.

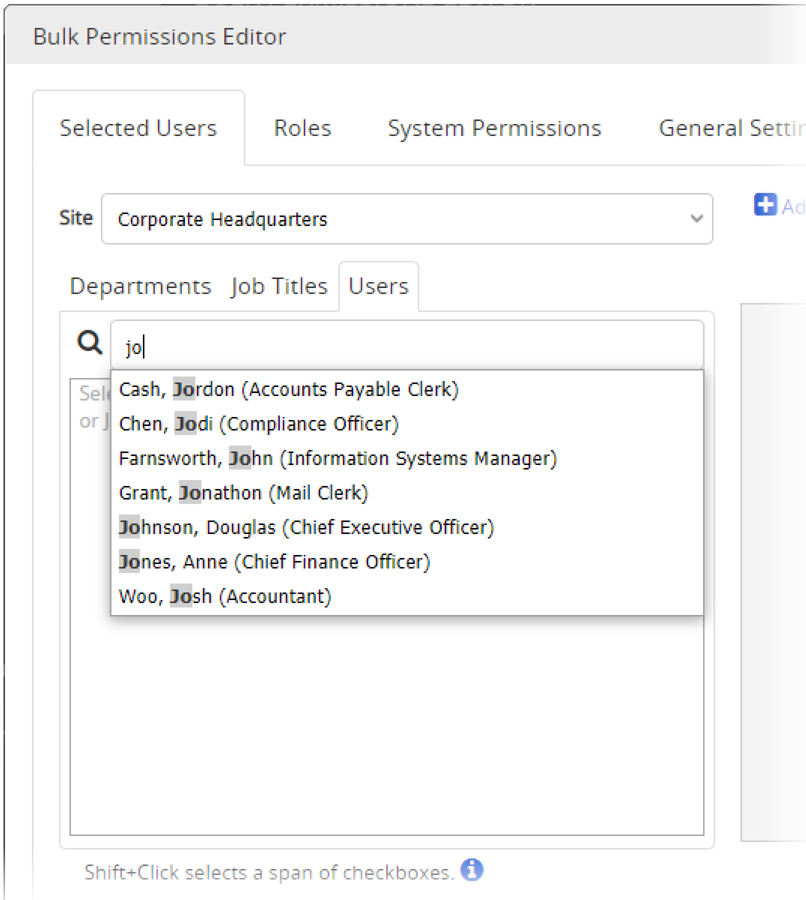


To select users by other criteria, follow the steps below:

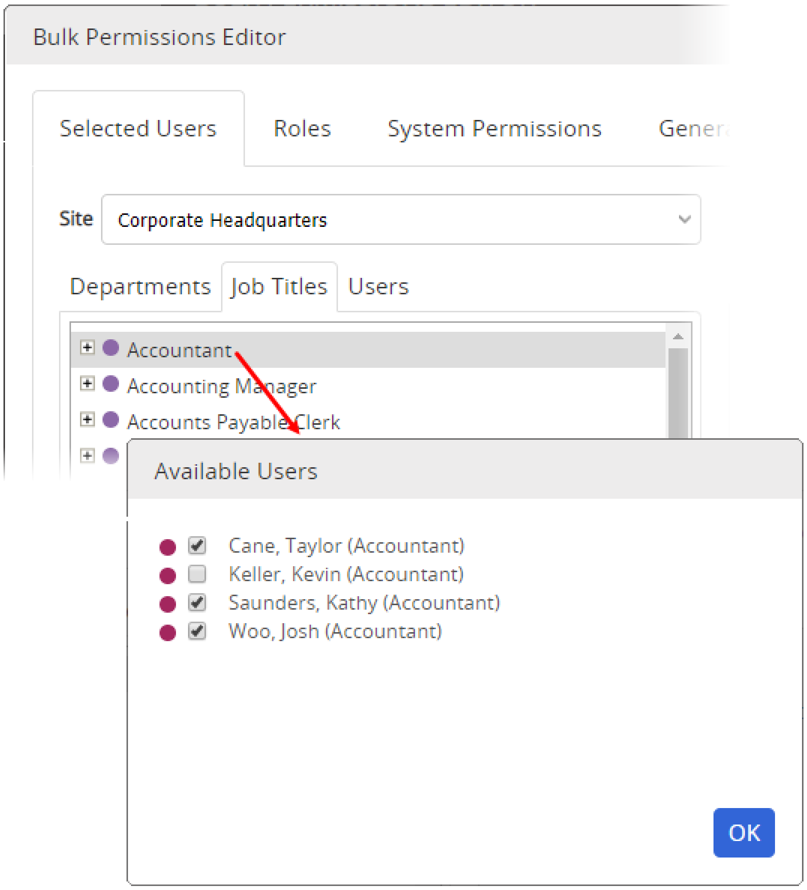
1. If multiple sites exist, select a site containing users you want to edit.



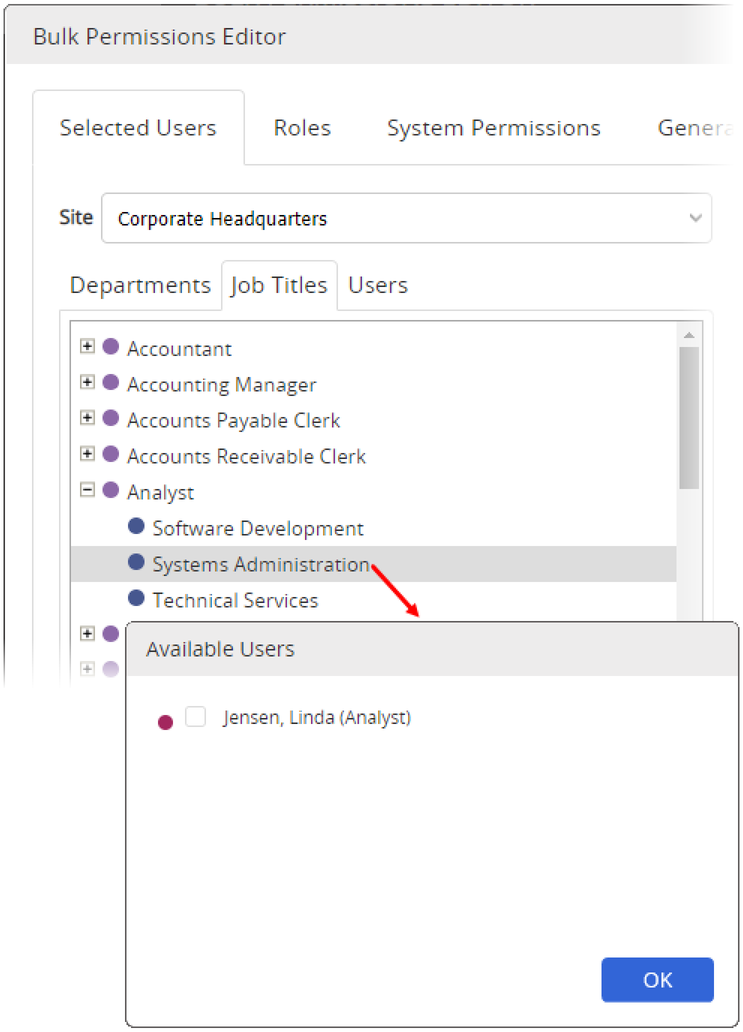
2. Do any of the following to select users:
   - In the **Search Users** box, start typing the user's last or first name. A list appears of users containing the characters you typed that are anywhere in their names. Click a name to add it.



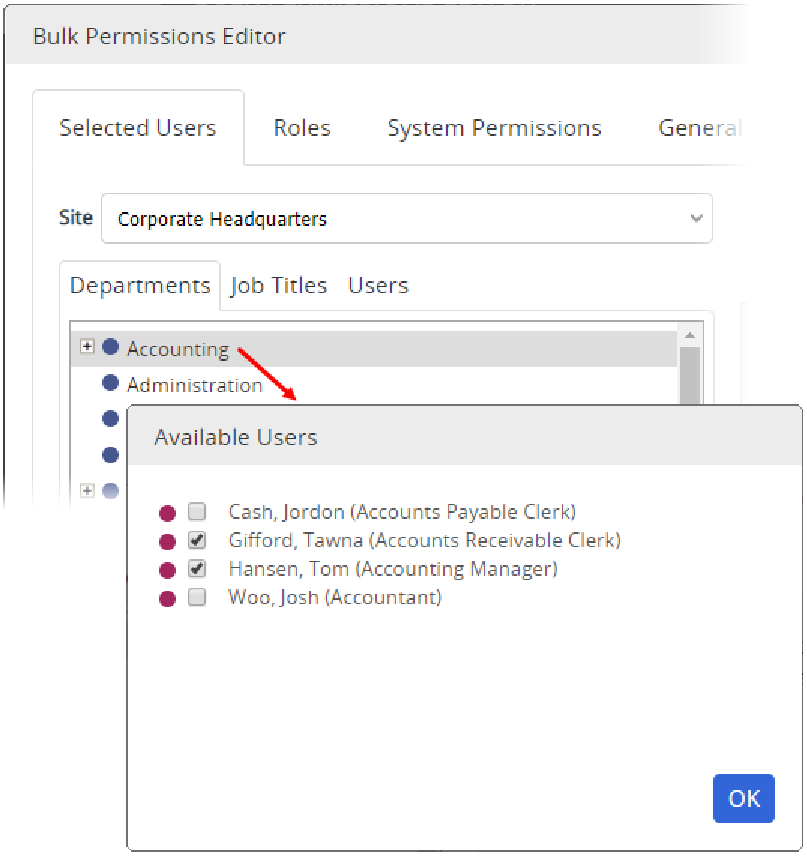
- Click the **Job Titles** tab. If you want to select from all users with a particular job title regardless of which department they are assigned to, click the job title, and then select users.



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



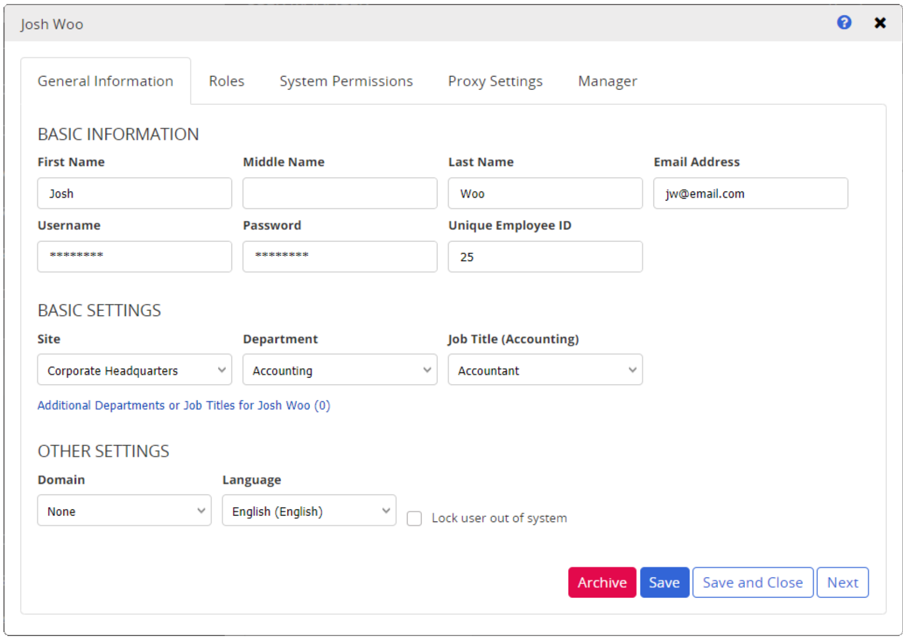
- Click the **Departments** tab, click a department, and then select users.



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.



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 Automating Document Workflow 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 Importing and Syncing Users from Another Database) 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 Reports Supplement)

Tasks by Document - All Tasks (see "Report: Tasks by Document - All Tasks" in the Reports Supplement)

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

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

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

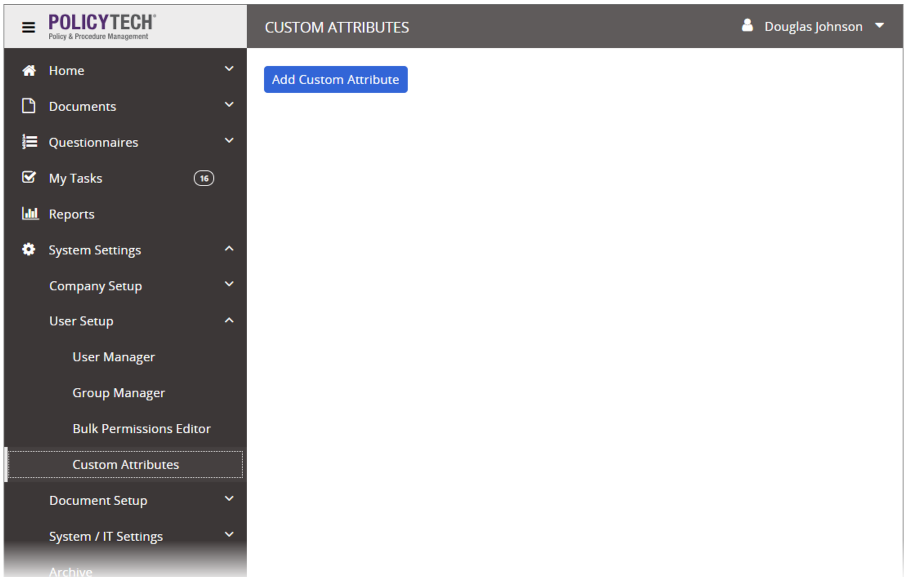
- Assignee [*custom attribute name*]
- Document Owner [*custom attribute name*]

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**.

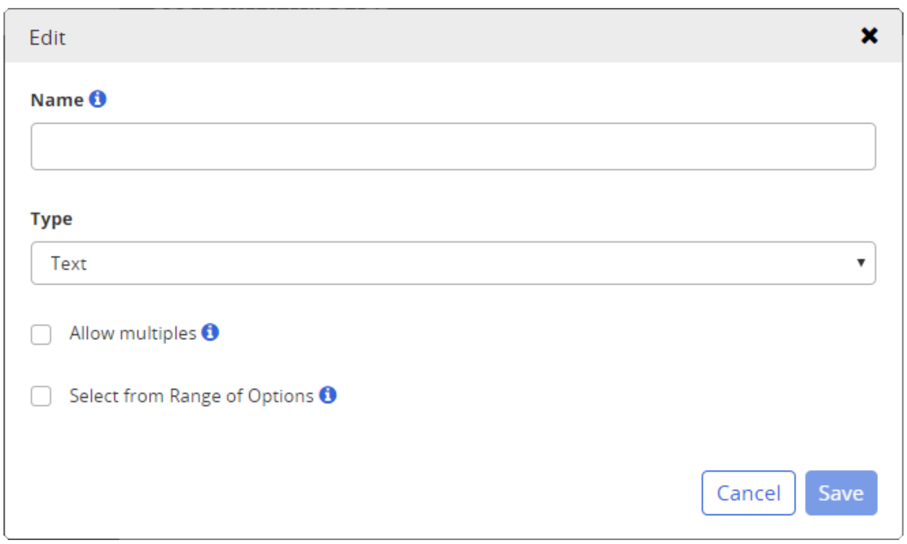
Once you add a custom attribute column to a report (see Working with Data Pane Columns "Working with Data Pane Columns" in the Reports Supplement), you can arrange or group the data pane by that column (see Grouping by Data Column "Grouping by Data Column" in the Reports Supplement).

Adding a Custom Attribute

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



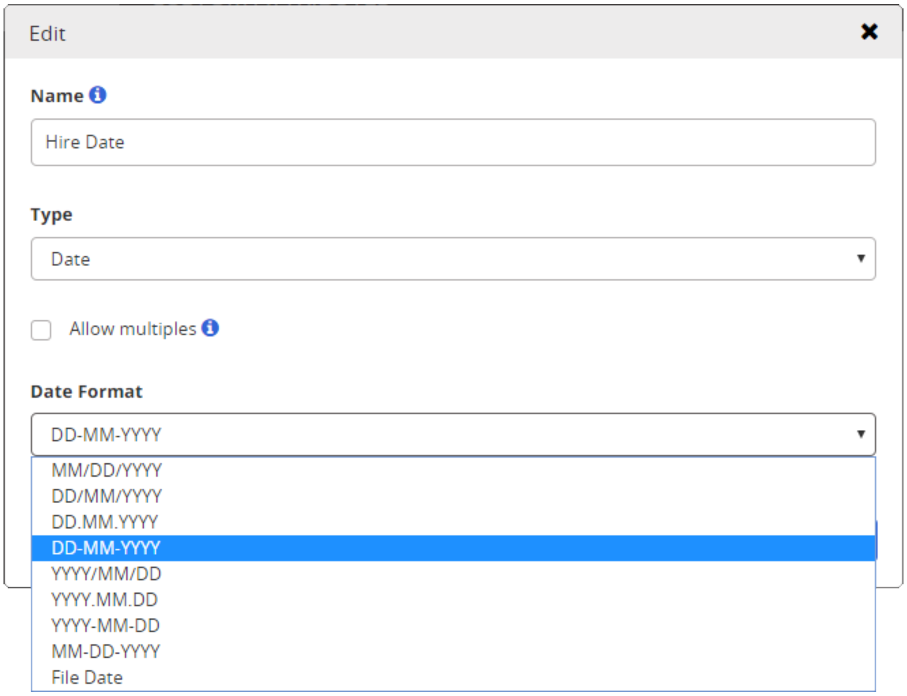
2. Click **Add Custom Attribute**.



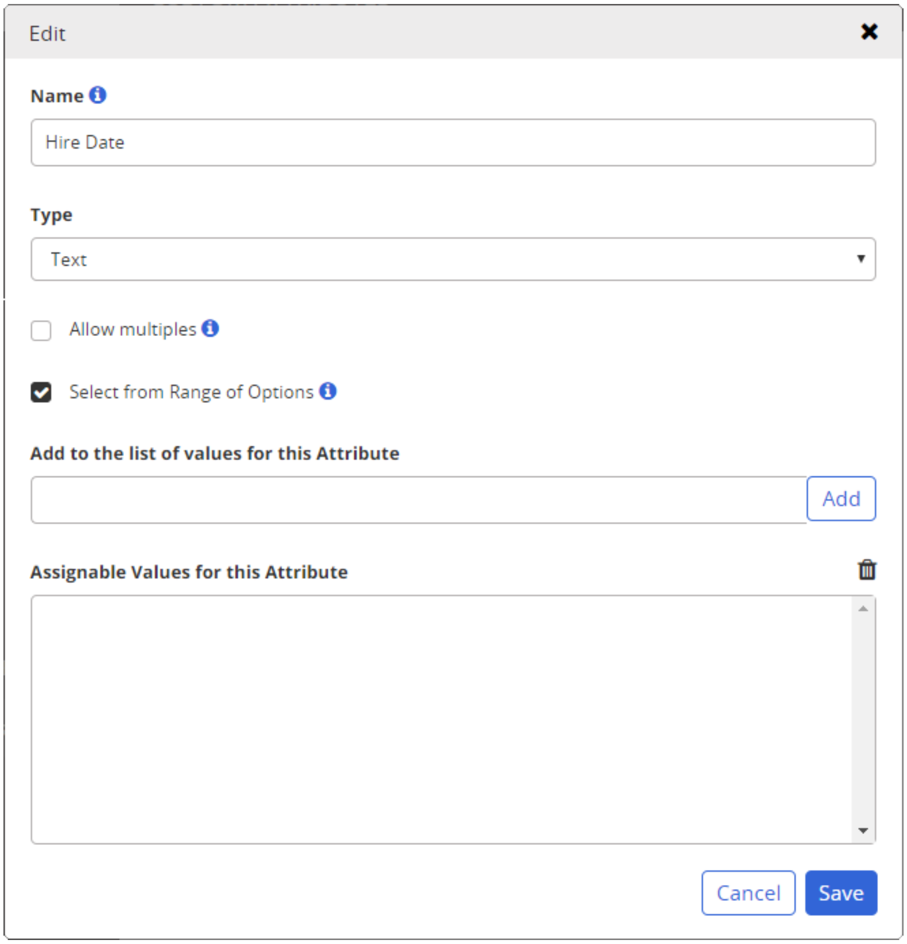
3. Type a name.
4. For **Type**, select **Text** (string of alphanumeric characters), **Whole Number** (integer), or **Date**.

   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.



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**.



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 . 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:

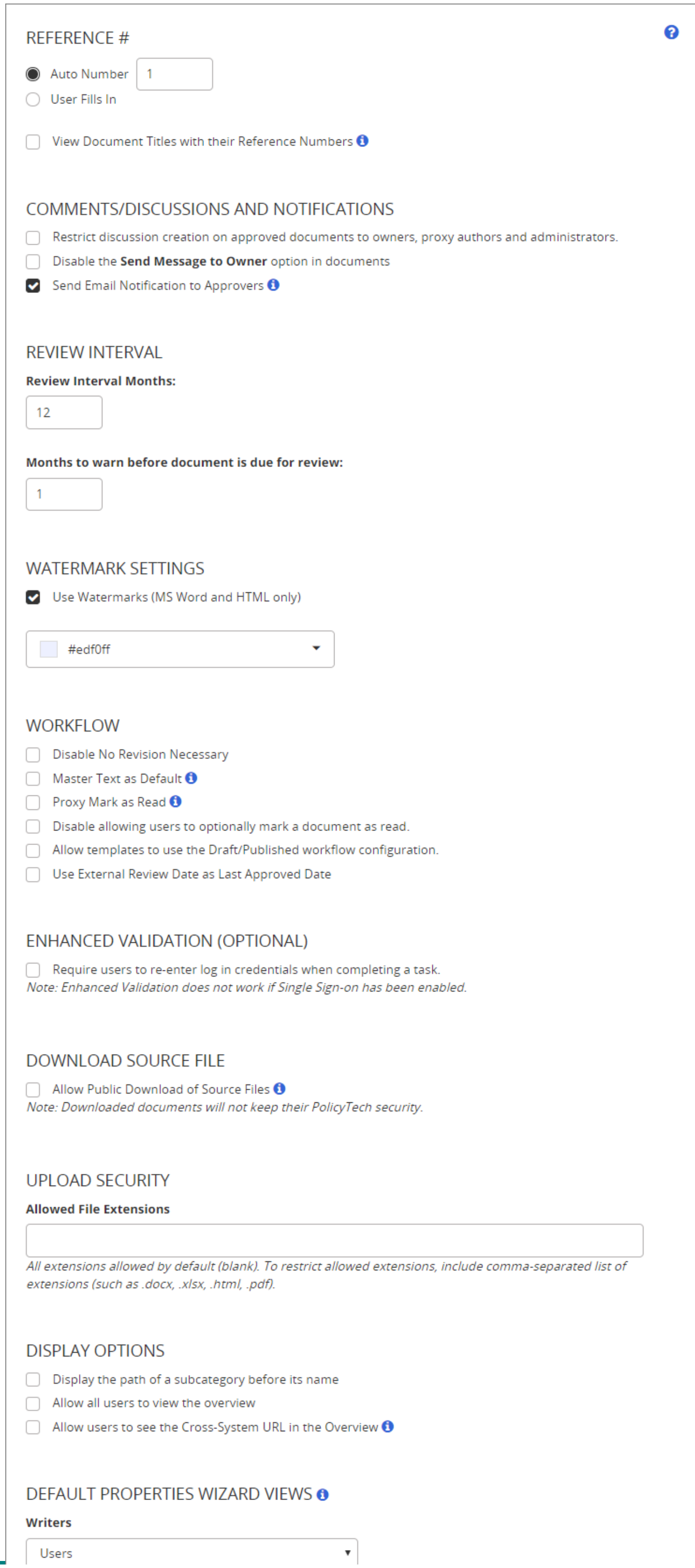
Default Document Properties

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 Creating a Template).

To set default document properties,

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


REFERENCE #
Auto Number
1
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
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
WORKFLOW
Disable No Revision Necessary
Master Text as Default
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
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
DEFAULT PROPERTIES WIZARD VIEWS
Writers
Users


Approvers

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.

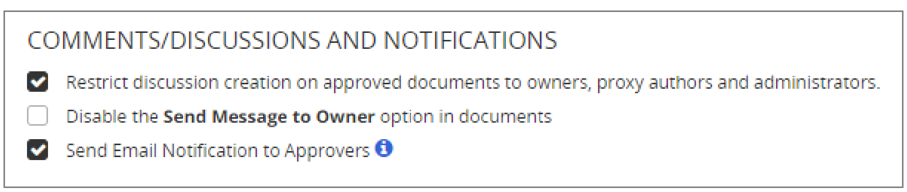
   - Click **User Fills In**.

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

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.

Comments/Discussions and Notifications

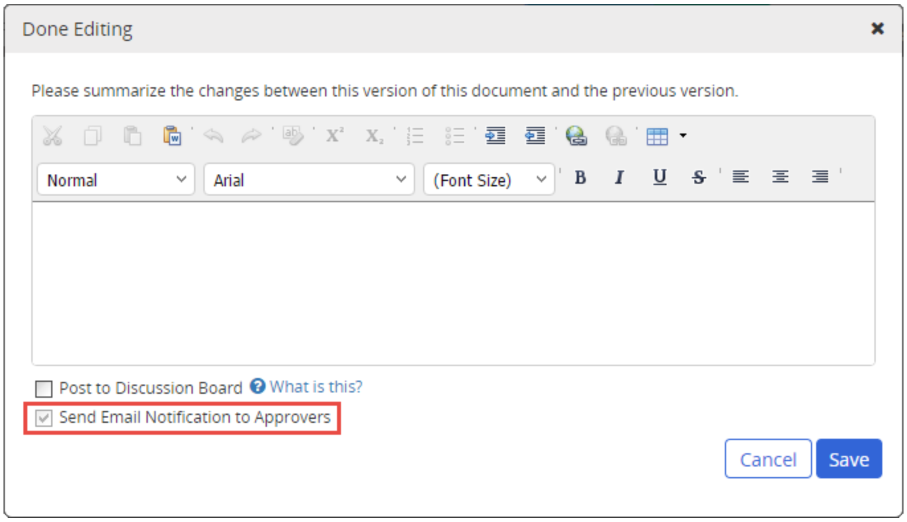
The **Comments/Discussions and Notifications** settings control who can create discussions in approved documents and send messages to owners of approved documents.



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.

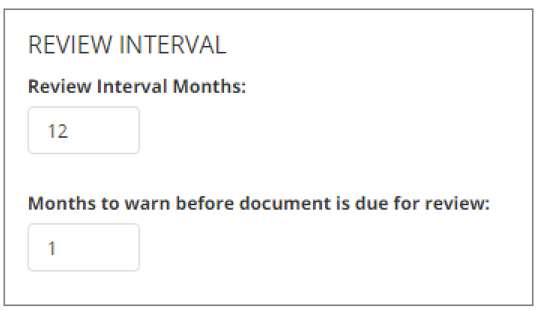
Send Email Notification to Approvers. This option applies when an administrator edits an approved document in its current state. When an administrator is done editing, the window shown below appears for the administrator to describe the changes made. If you select **Send Email Notification to Approvers**,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



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**.



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.

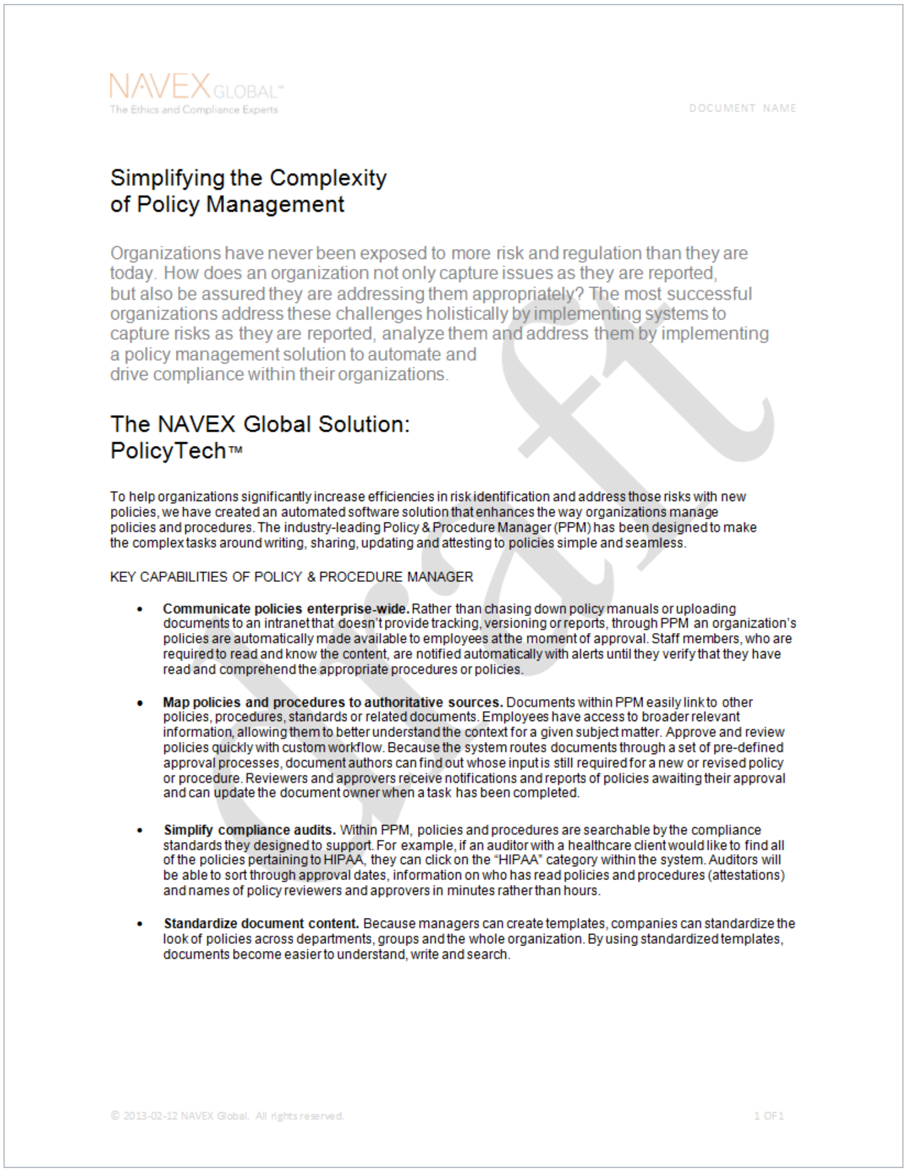
Watermark Settings

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.



NAVEX GLOBAL™
The Ethics and Compliance Experts

DOCUMENT NAME

Simplifying the Complexity
of Policy Management

Organizations have never been exposed to more risk and regulation than they are today. How does an organization not only capture issues as they are reported, but also be assured they are addressing them appropriately? The most successful organizations address these challenges holistically by implementing systems to capture risks as they are reported, analyze them and address them by implementing a policy management solution to automate and drive compliance within their organizations.

The NAVEX Global Solution:
PolicyTech™

To help organizations significantly increase efficiencies in risk identification and address those risks with new policies, we have created an automated software solution that enhances the way organizations manage policies and procedures. The industry-leading Policy & Procedure Manager (PPM) has been designed to make the complex tasks around writing, sharing, updating and attesting to policies simple and seamless.

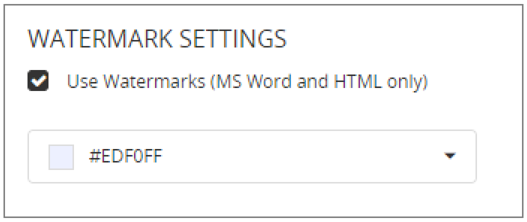
KEY CAPABILITIES OF POLICY & PROCEDURE MANAGER

- **Communicate policies enterprise-wide.** Rather than chasing down policy manuals or uploading documents to an intranet that doesn't provide tracking, versioning or reports, through PPM an organization's policies are automatically made available to employees at the moment of approval. Staff members, who are required to read and know the content, are notified automatically with alerts until they verify that they have read and comprehend the appropriate procedures or policies.
- **Map policies and procedures to authoritative sources.** Documents within PPM easily link to other policies, procedures, standards or related documents. Employees have access to broader relevant information, allowing them to better understand the context for a given subject matter. Approve and review policies quickly with custom workflow. Because the system routes documents through a set of pre-defined approval processes, document authors can find out whose input is still required for a new or revised policy or procedure. Reviewers and approvers receive notifications and reports of policies awaiting their approval and can update the document owner when a task has been completed.
- **Simplify compliance audits.** Within PPM, policies and procedures are searchable by the compliance standards they designed to support. For example, if an auditor with a healthcare client would like to find all of the policies pertaining to HIPAA, they can click on the "HIPAA" category within the system. Auditors will be able to sort through approval dates, information on who has read policies and procedures (attestations) and names of policy reviewers and approvers in minutes rather than hours.
- **Standardize document content.** Because managers can create templates, companies can standardize the look of policies across departments, groups and the whole organization. By using standardized templates, documents become easier to understand, write and search.

© 2013-02-12 NAVEX Global. All rights reserved.

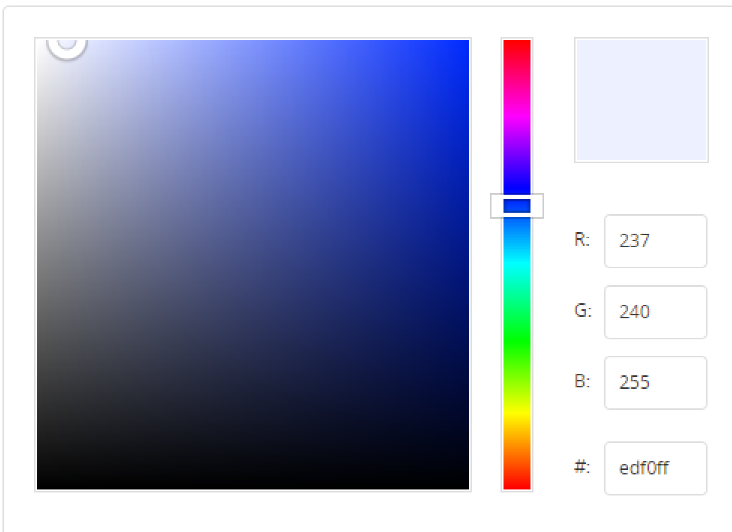
1 OF 1

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

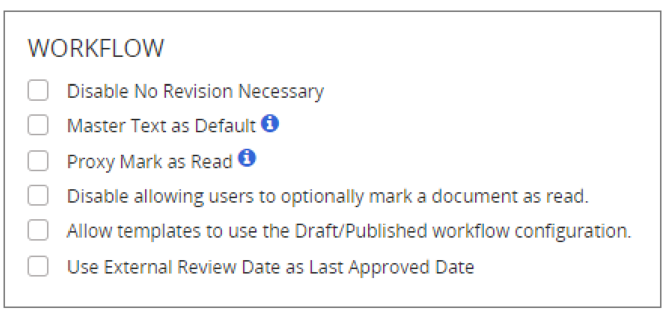


To change the watermark color, do one of the following:

- 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



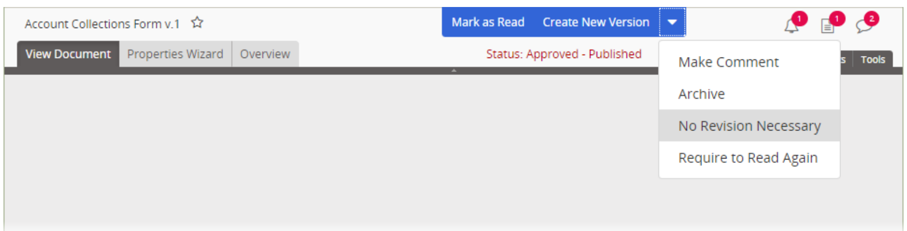
Disable No Revision Necessary

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.

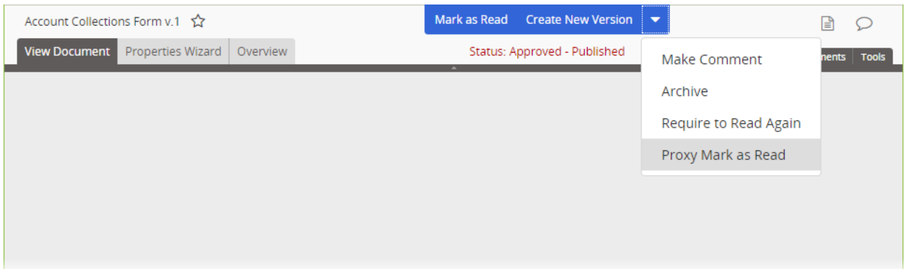
When a new version of a master document or questionnaire is approved, new versions of the localized copies are automatically put in draft status. By default, the contents in the **Edit Document** and/or **Edit Questionnaire** tabs of a copy's new version are the same as the copy's previous version contents.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



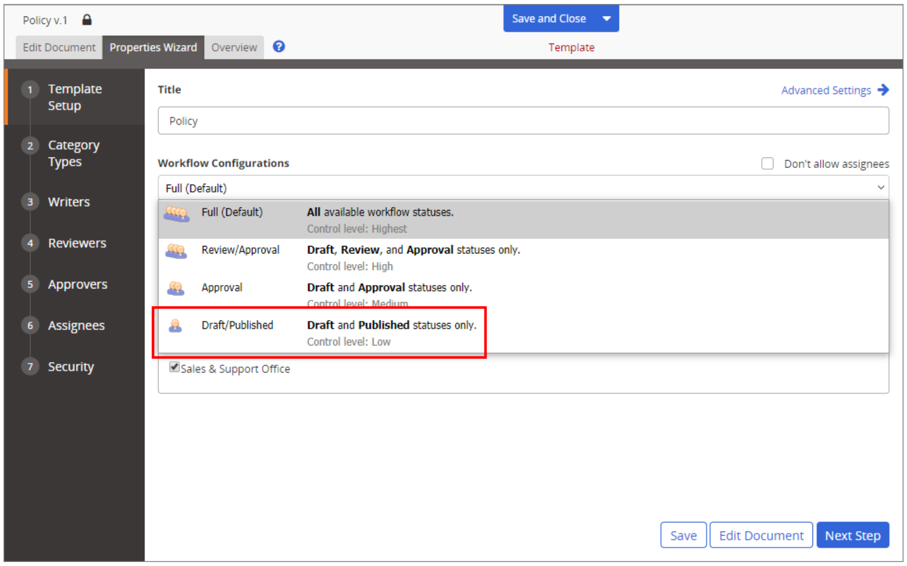
This enables document owners, administrators, and managers to mark a document as read on behalf of designated assignees (see "Changing Assignee Task Status as Proxy" in the User's Guide).

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**.



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 User's Guide 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.

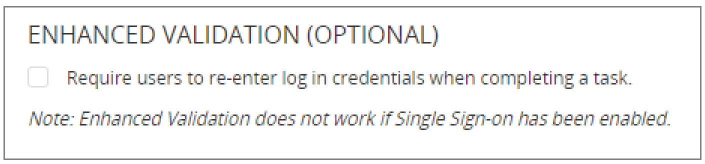
Enhanced Validation (Electronic Signature)

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.

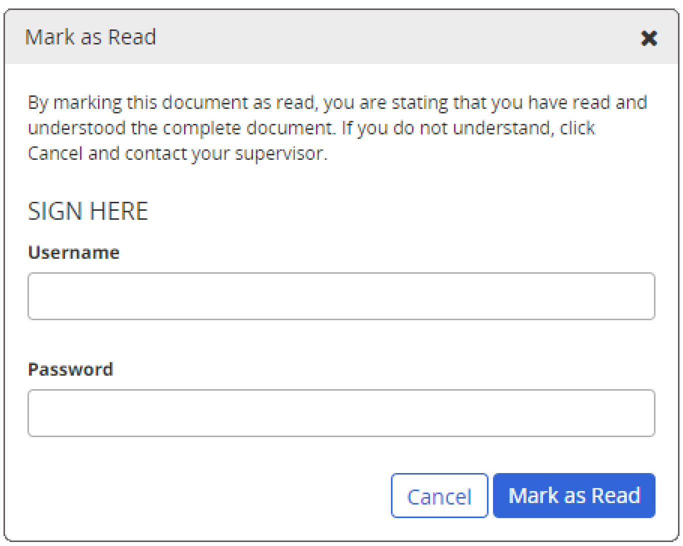
Important:

- **Enhanced Validation** can also be enabled or disabled on document templates and individual documents. See Template Setting: Enhanced Validation and "Optional Settings" in the User's Guide. 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.

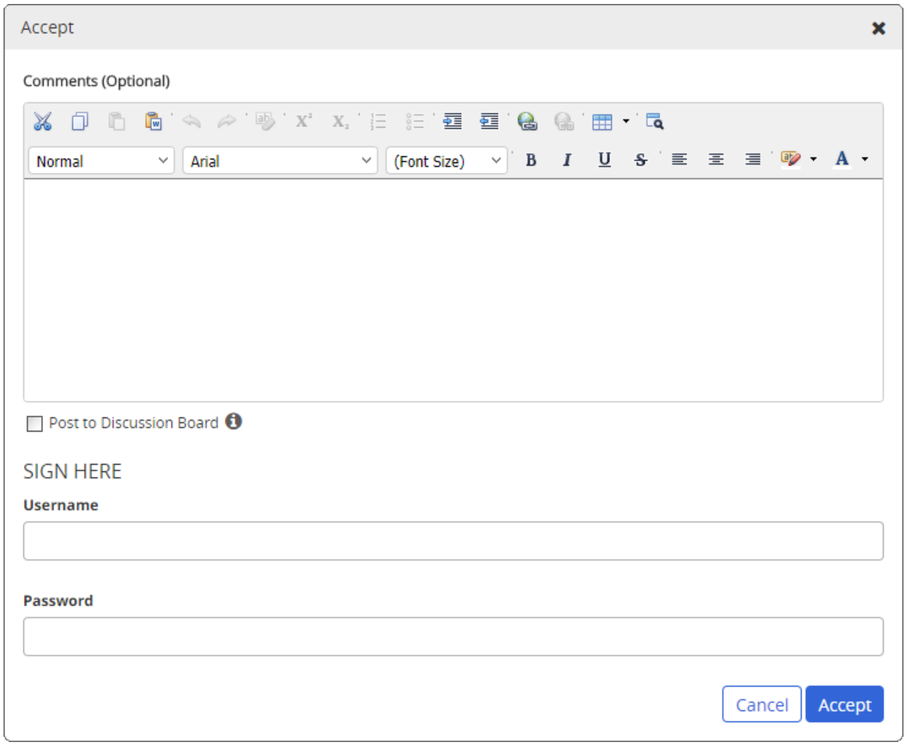
Select **Require users to re-enter log in credentials when completing a task** to turn on enhanced validation.



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



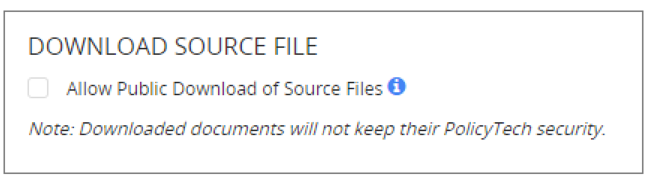
The screenshot below shows enhanced validation when accepting a document in review or approval.



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 User's Guide)
- Import Documents (see "Importing Documents" in the User's Guide)

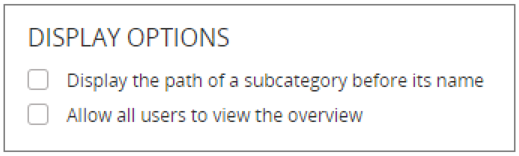
To limit which file types can be uploaded, add a comma delimited list of allowed file extensions, such as the following:

.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.

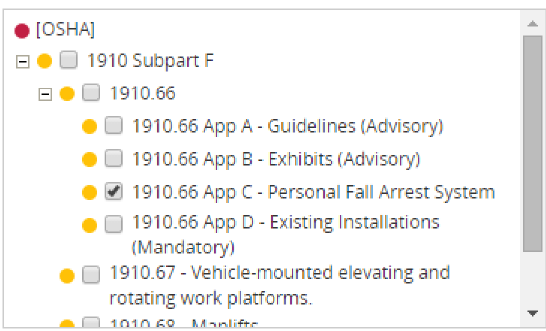
Display Options



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.

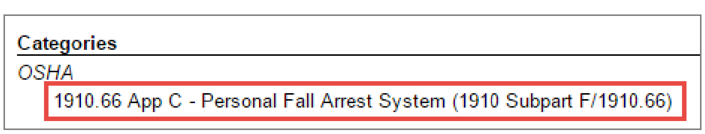
For example, imagine that the subcategory **1910.66 App C - Personal Fall Arrest System** is assigned to a document from the following category-subcategory structure:



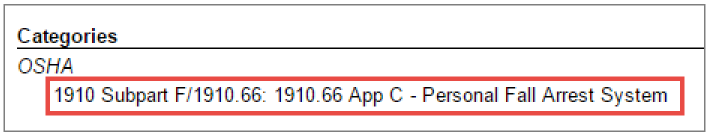
Notice that the top-level category name is **OSHA** and that the selected subcategory is under the subcategory **1910.66**, which in turn is under the subcategory **1910 Subpart F**. This subcategory structure can be expressed as a path, similar to a file structure path, with slashes separating subcategory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



Select **Display the path of a subcategory before its name** if you want subcategory paths to look like the one below.



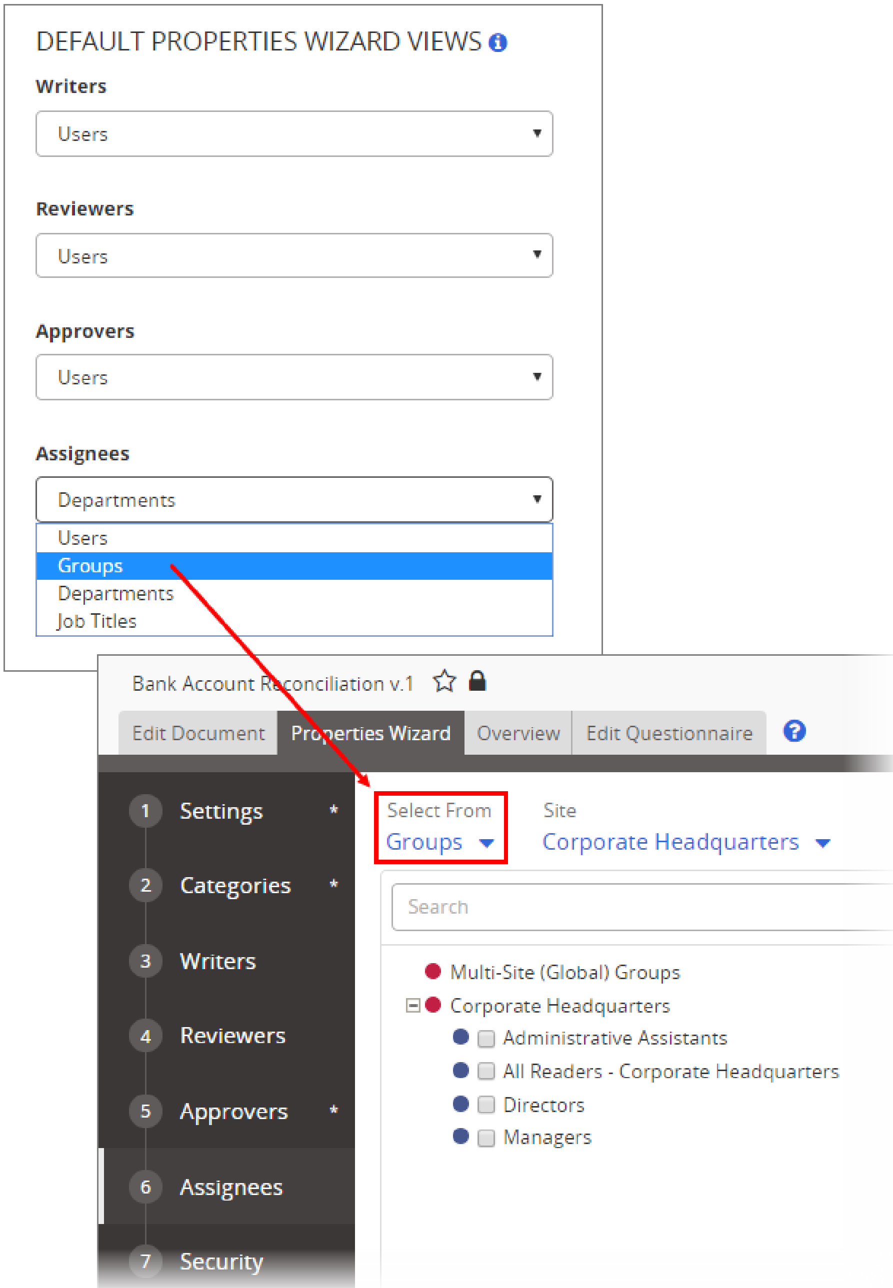
Allow All Users to View the Overview

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**.



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

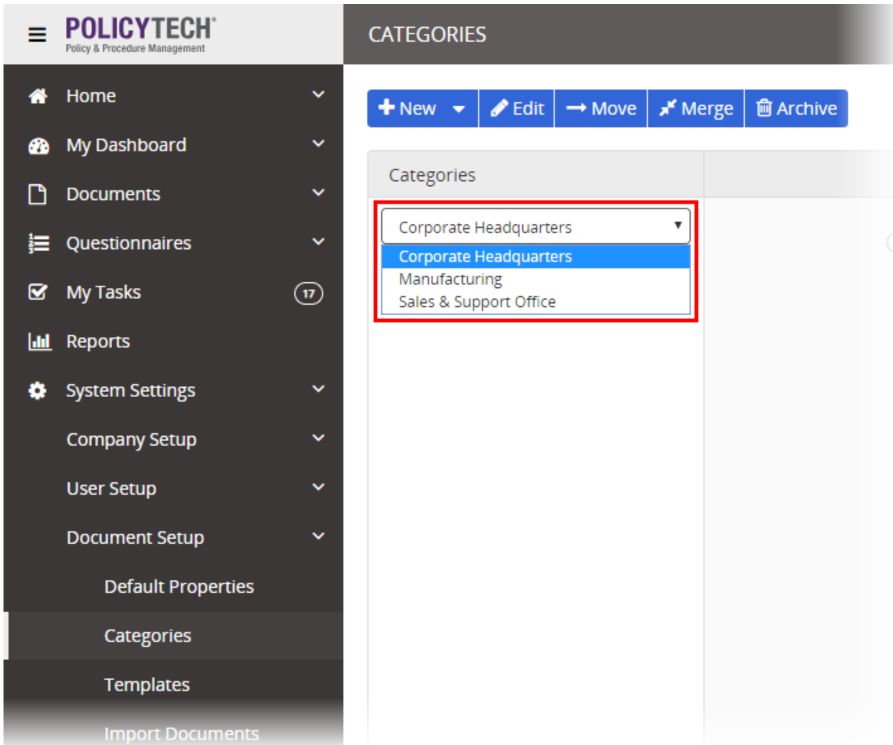
Adding a Category

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.

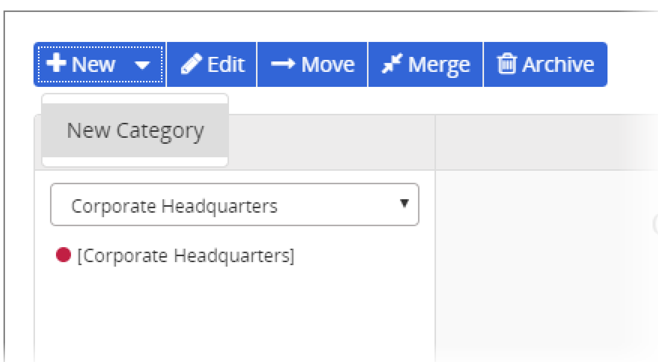
To add a top-level category,

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.

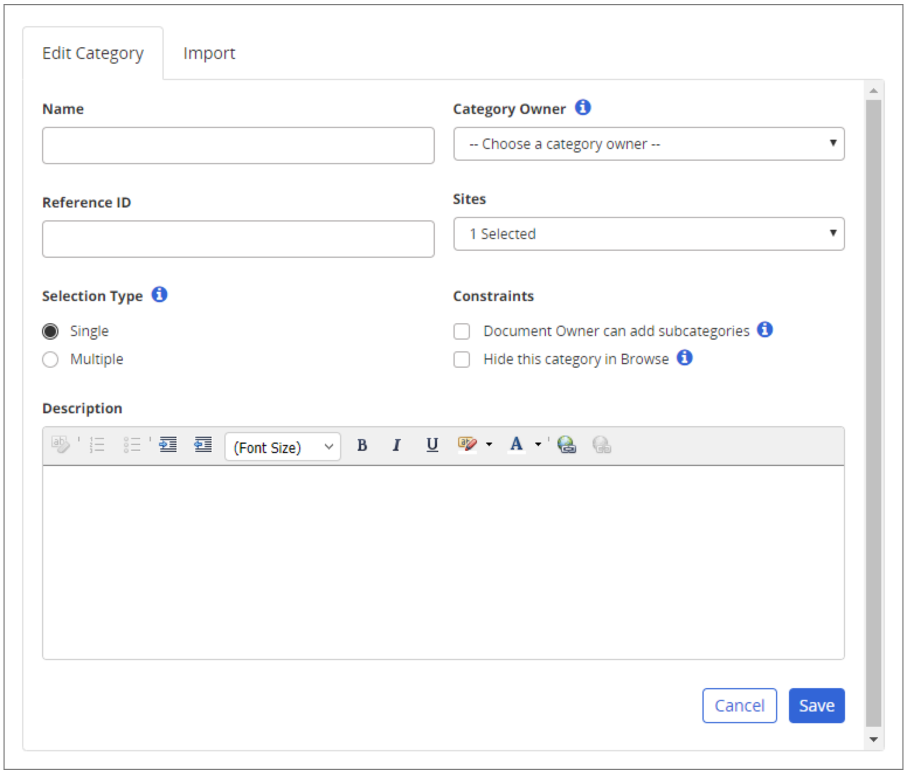
Note: You can assign the category to additional sites later in the process.



3. Click **New**, and then click **New Category**.



4. In the **Edit Category** tab, define the new category (see Category Properties below for details).



5. Click **Save**.
6. Create subcategories under this new category either by adding them manually (see Adding Subcategories Manually) or importing them (see Importing Subcategories).

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 Assigning System Permissions 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**.

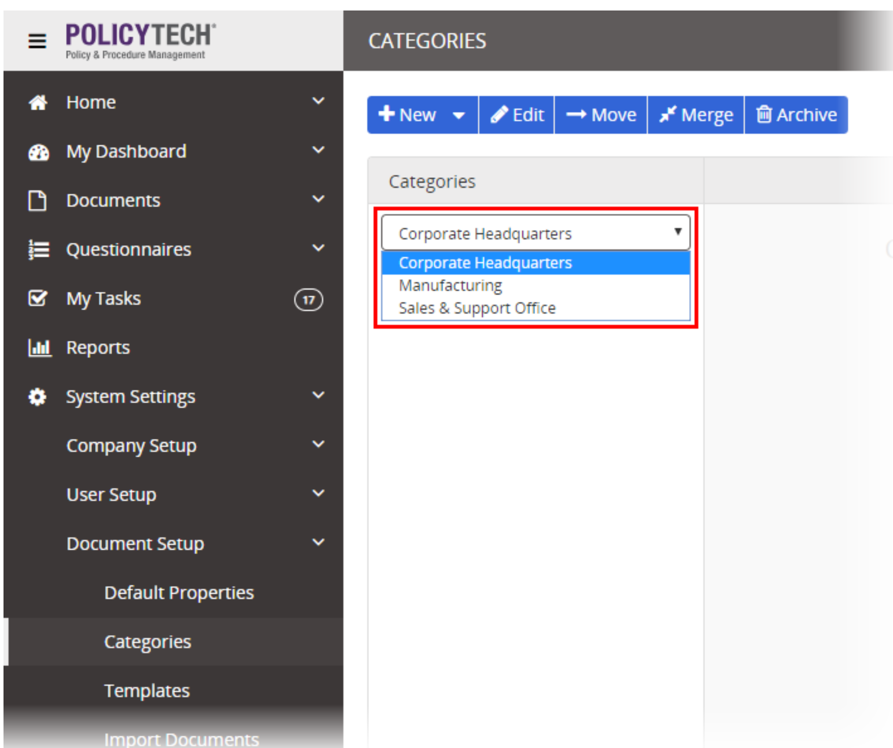
(Optional) Description. Add a description to explain what the category is for and the type of subcategories it should contain.

Adding Subcategories Manually

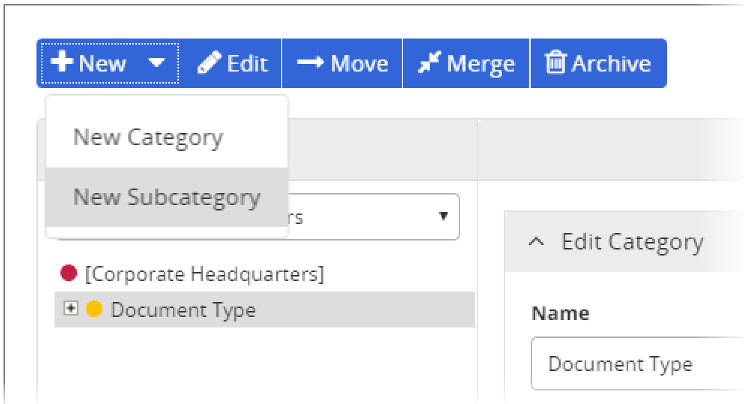
The instructions below are for adding each subcategory manually. If you want to import subcategory information, see Importing Subcategories.

To add a subcategory,

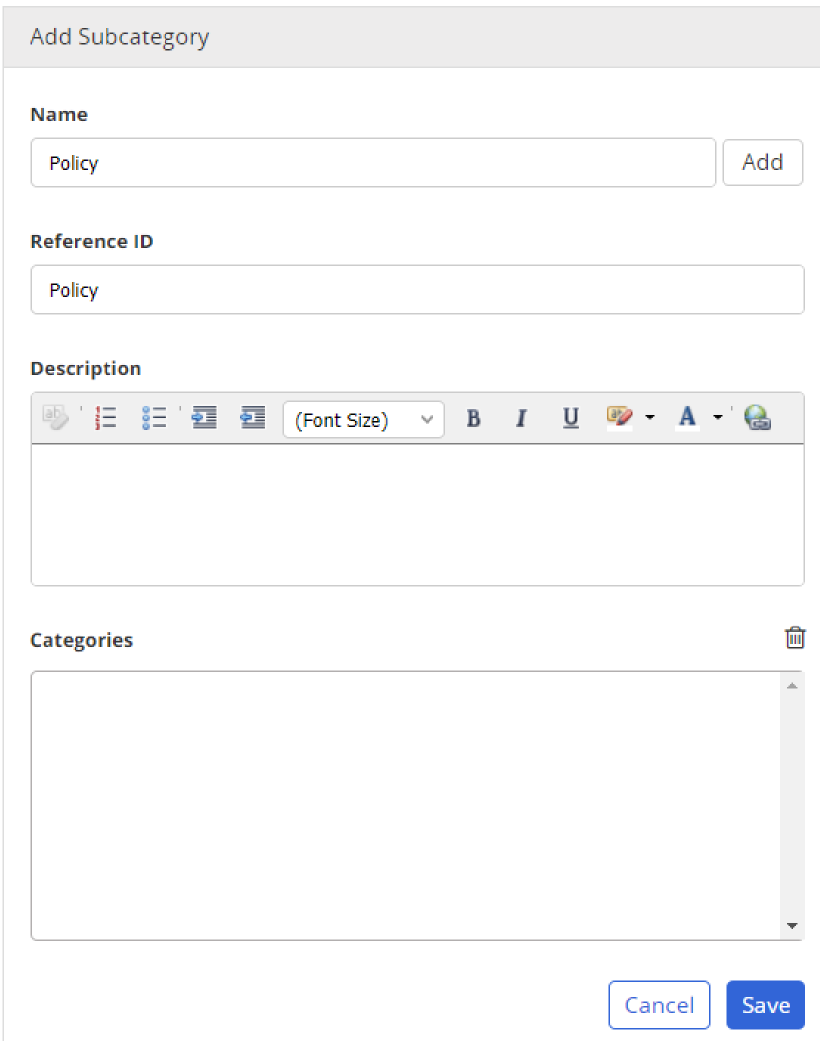
1. Click **System Settings**, click **Document Setup**, and then click **Categories**.
2. If multiple sites exist, select a site containing the category you want to add subcategories to.



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**.



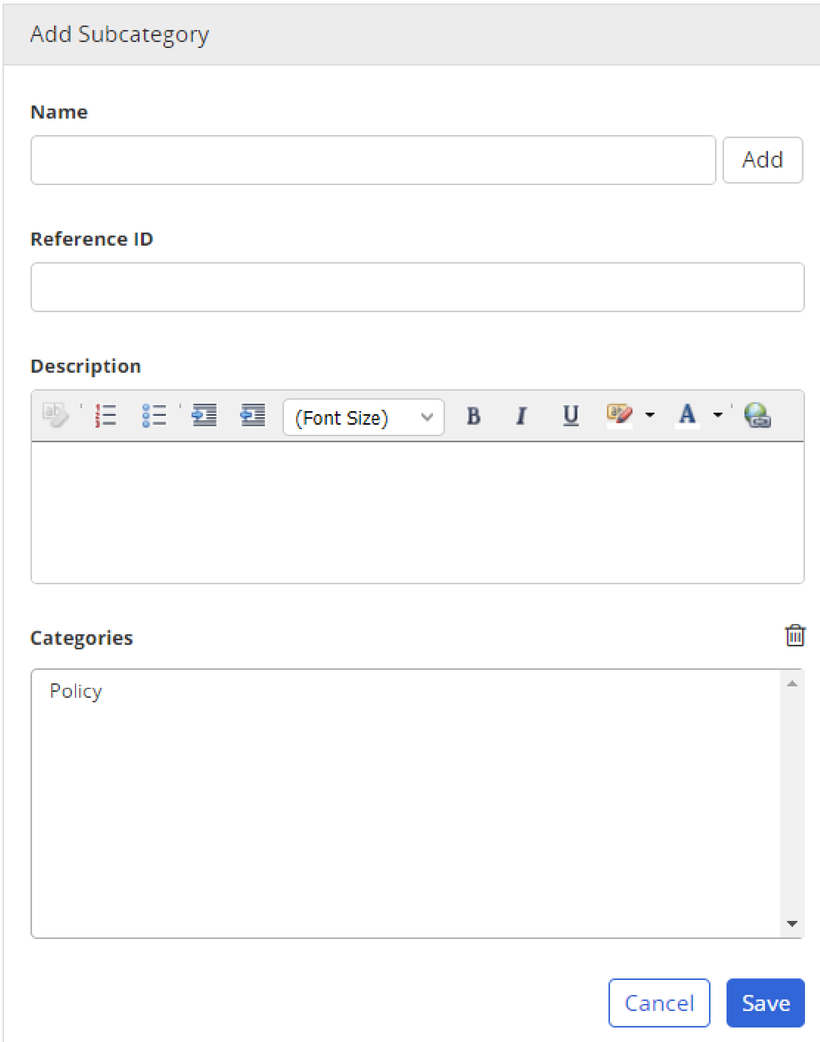
5. Type a subcategory name.



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.

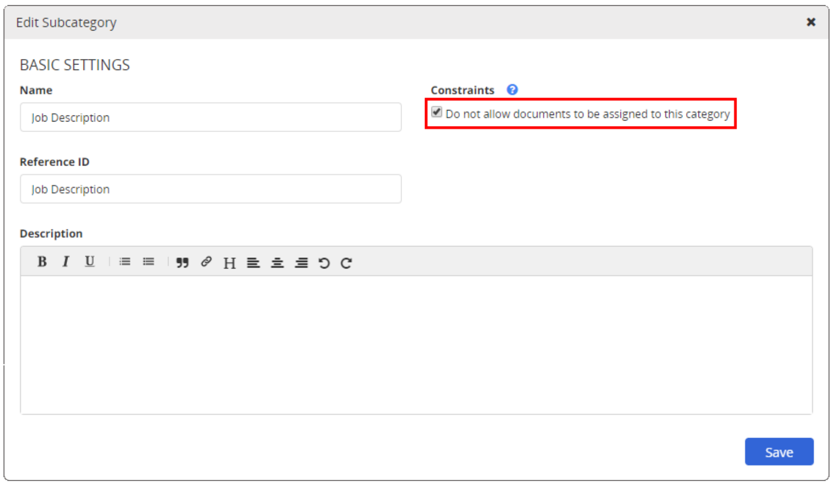


9. (Optional) To create additional subcategories under the same category or subcategory, repeat steps 5 through 8.

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 .

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**.



Importing Subcategories

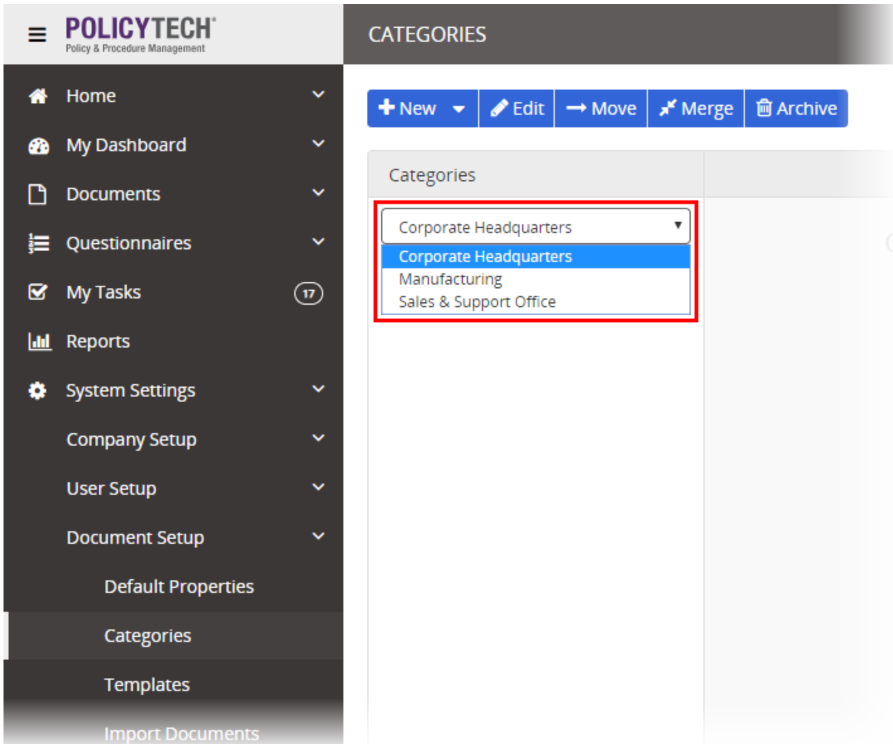
You can import multiple levels of subcategories at once using an Excel spreadsheet.

Important:

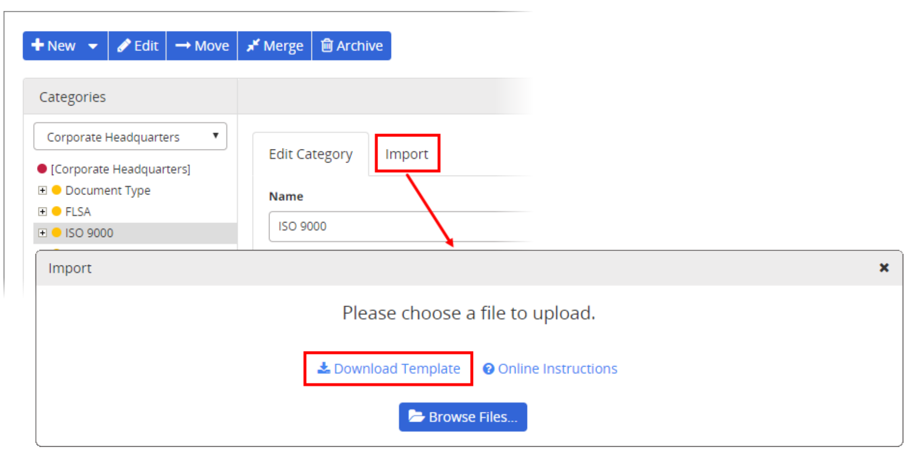
- You must create and save the top-level category (see Adding a Category) before importing its subcategories.
- The subcategory import template is an Excel spreadsheet in .xlsx format. You must have Excel 2007 or later (or another program that can open and save spreadsheets in .xlsx format) on your computer to prepare the import spreadsheet.

1. Click **System Settings**, click **Document Setup**, and then click **Categories**.

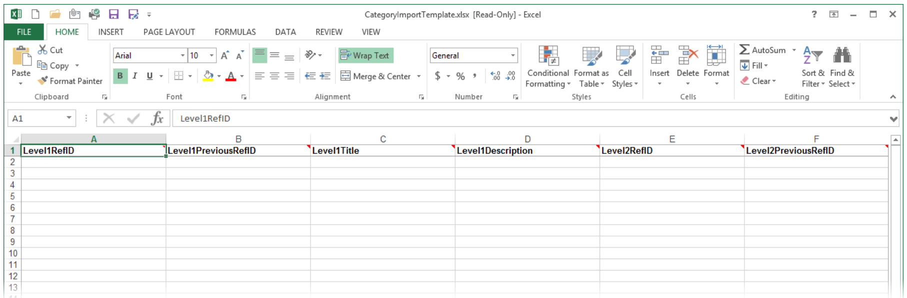
2. If multiple sites exist, select the site containing the category you want to add subcategories to.



3. Click a category (the target category for the subcategory import).
4. Click the **Import** tab, and then click **Download Template**.



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.

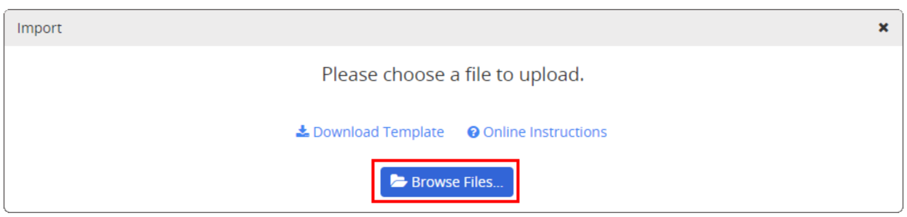


7. Prepare the import spreadsheet (see Preparing the Import Spreadsheet below for details).
8. Save the spreadsheet in .xlsx (Excel 2007 or later) format.

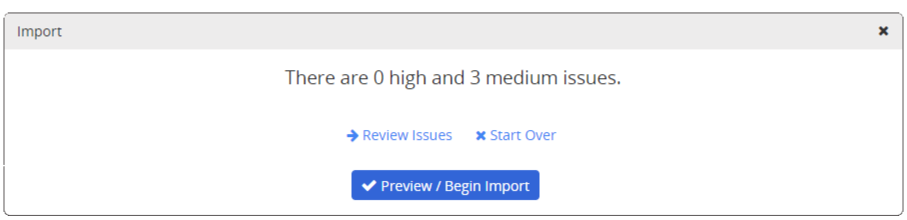
Important: The older .xls (Excel 97-2003) format is not supported.

9. Back in PolicyTech, click **Browse Files**, find and select the import spreadsheet file, and then click **Open**.

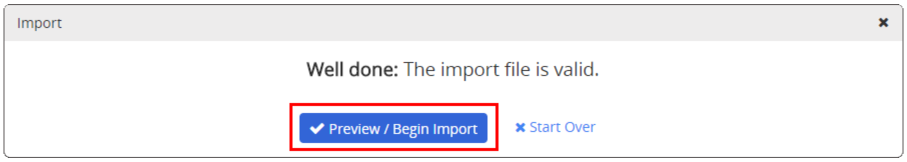
Note: If the **Import** tab for the top-level category is no longer displayed, click **System Settings**, click **Document Setup**, click **Categories**, click the category, and then click the **Import** tab.



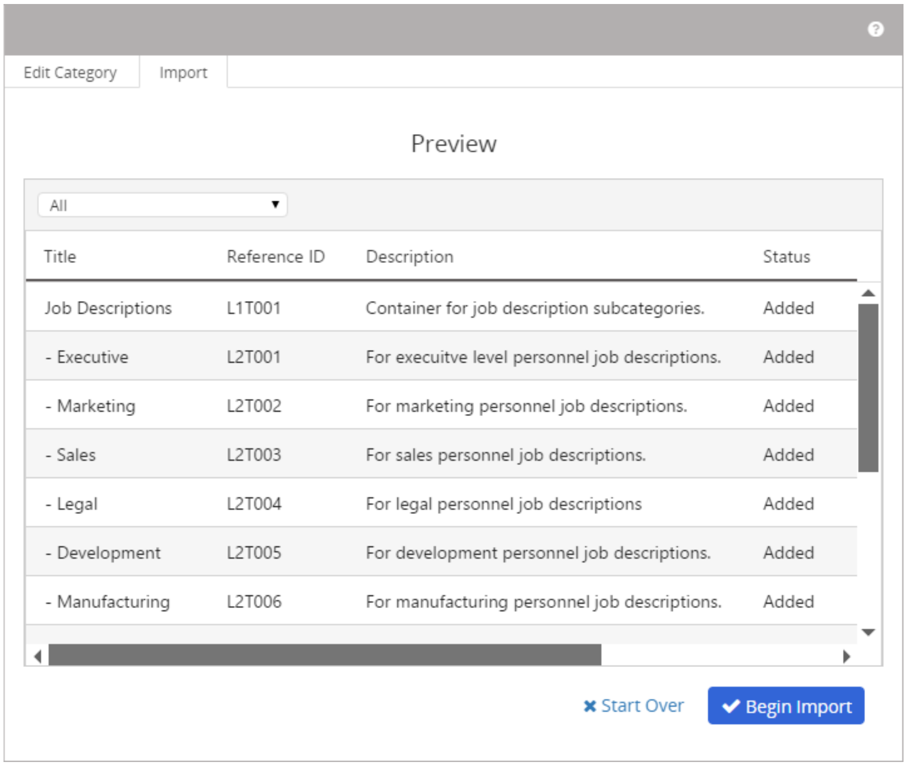
After uploading and analyzing the file, PolicyTech displays the number of issues found.



10. (Conditional) If there are issues, click **Review Issues**, and then click **Open**. See Handling Import Issues 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**.



The preview lists the detail and status (Added or Changed) of the categories from the uploaded import file.



Title	Reference ID	Description	Status
Job Descriptions	L1T001	Container for job description subcategories.	Added
- Executive	L2T001	For executiive 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

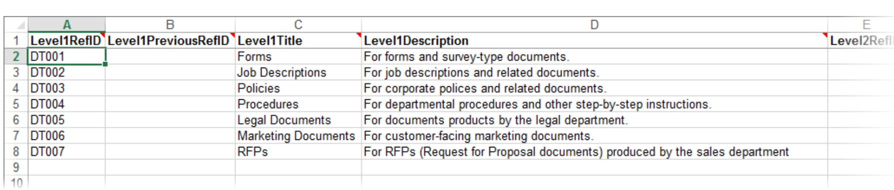
12. Click **Begin Import**.

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.



	A	B	C	D	E
1	Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2RefID
2	DT001		Forms	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		Legal Documents	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.

Level1RefID	Level1PreviousRefID	Level1Title	Level1Description
DT001	Forms	Forms	For forms and survey-type documents.
DT002	Job Descriptions	Job Descriptions	For job descriptions and related documents.
DT003	Policies	Policies	For corporate polices and related documents.
DT004	Procedures	Procedures	For departmental procedures and other step-by-step instructions.
DT005	Legal Documents	Legal Documents	For documents products by the legal department.
DT006	Marketing Documents	Marketing Documents	For customer-facing marketing documents.
DT007	RFPs	RFPs	For RFPs (Request for Proposal documents) produced by the sales department

- 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.

Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2RefID	Level2PreviousRefID	Level2Title	Level2Description
L1T001		Job Descriptions	Container for job description subcategories.				
				L2T001		Executive	For execuitve level personnel job descriptions.
				L2T002		Marketing	For marketing personnel job descriptions.
				L2T003		Sales	For sales personnel job descriptions.
				L2T004		Legal	For legal personnel job descriptions
				L2T005		Development	For development personnel job descriptions.
				L2T006		Manufacturing	For manufacturing personnel job descriptions.
				L2T007		Human Resources	For human resources personnel job descriptions.
L1T002		Policies	Container for policy subcategories				
				L2T101		Security	For policy documents dealing with security topics.
				L2T102		Human Interaction	For policy documents dealing with human interaction topics.
				L2T103		Environment	For policy documents dealing with environmental topics.
				L2T104		Safety	For policy documents dealing with safety topics.
				L2T105		Payroll	For policy documents dealing with payroll topics.

- 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.

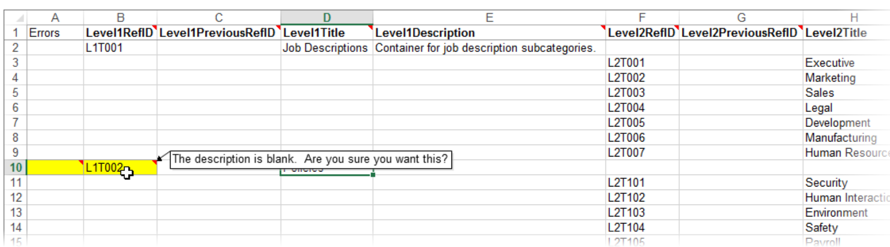
Handling Import Issues

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.

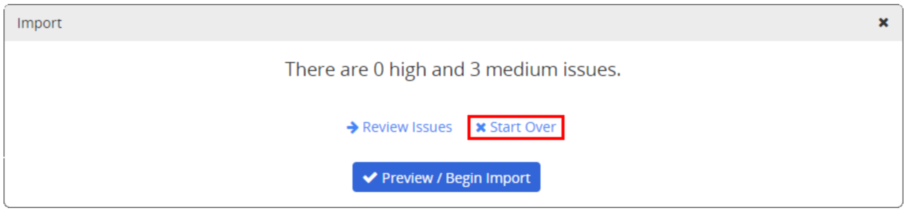
Important: Be sure to scan the entire row for colored cells as there may be multiple issues with the same subcategory.



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**.



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

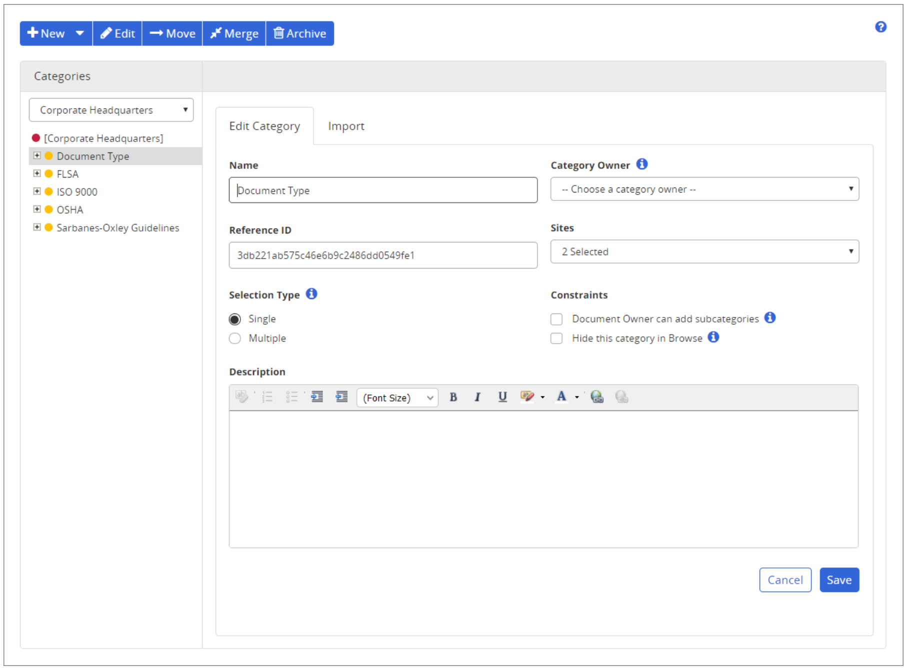
To make changes to an existing category,

1. Click **System Settings**, click **Document Setup**, and then click **Categories**.

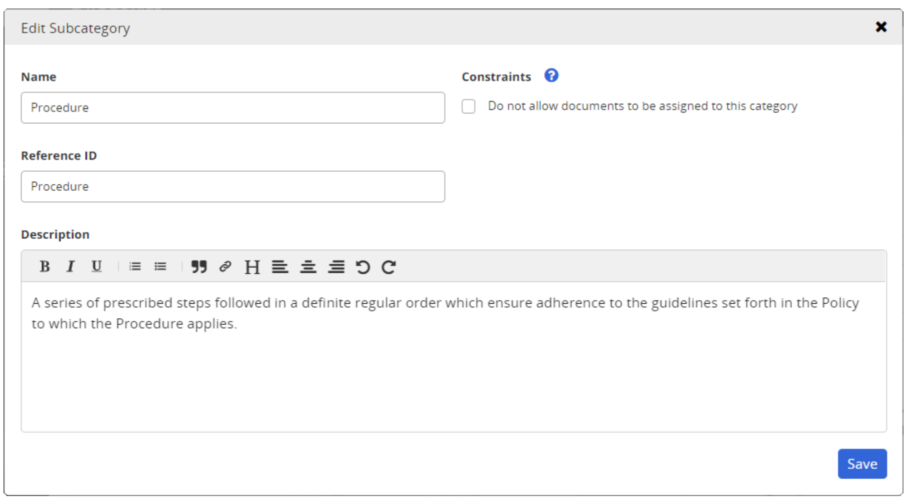
2. If multiple sites exist, select the site containing the category or subcategory you want to edit.

3. Do one of the following:

   - To edit a top-level category, click it to show the **Edit Category** tab.



- To edit a subcategory, click ⊞ to expand the top-level category, and then click the subcategory to show its details.

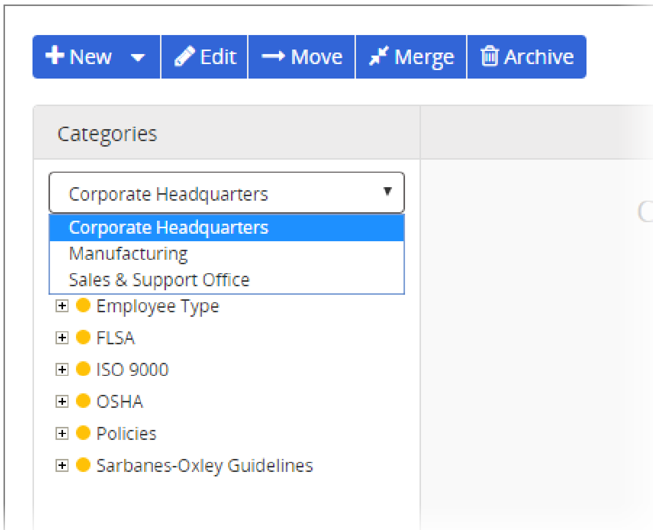


4. Make changes to the category or subcategory properties. (See Adding a Category or Adding Subcategories Manually for details on the properties.)
5. Click **Save**.

Moving a Category or Subcategory

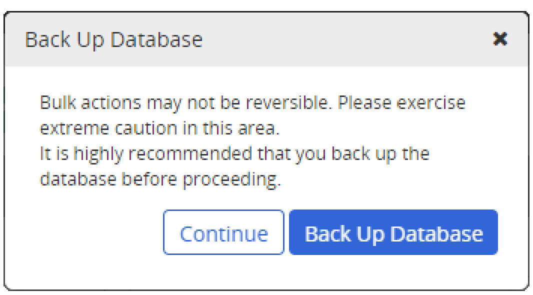
Important: Before you can move a category or subcategory, it must not be assigned in any templates. If you need to remove any category or subcategory assignments, see Finding Category Assignments.

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**.

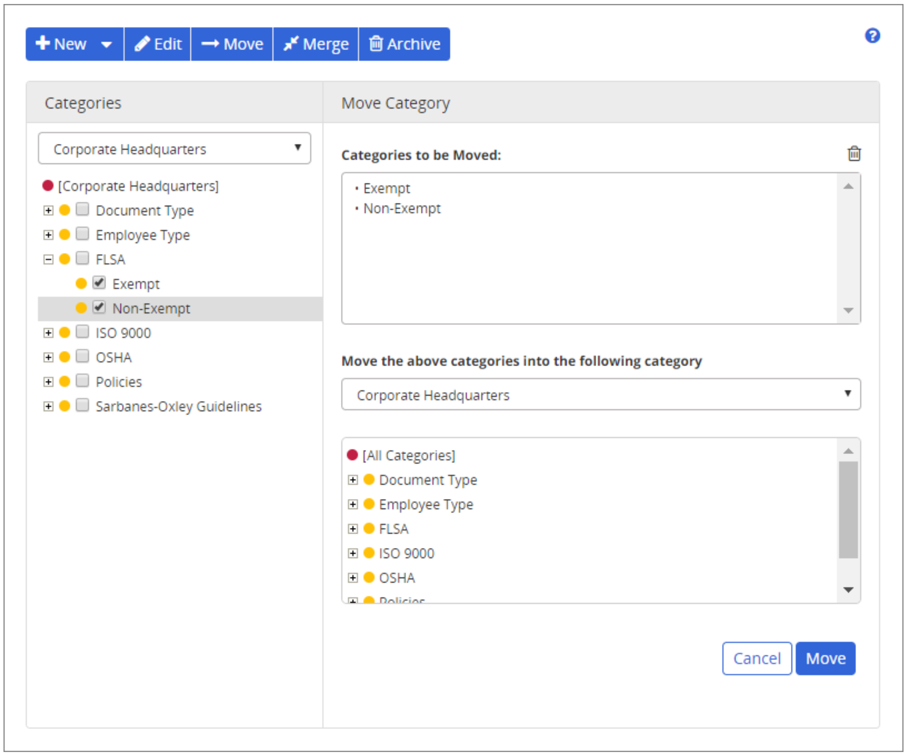
You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).



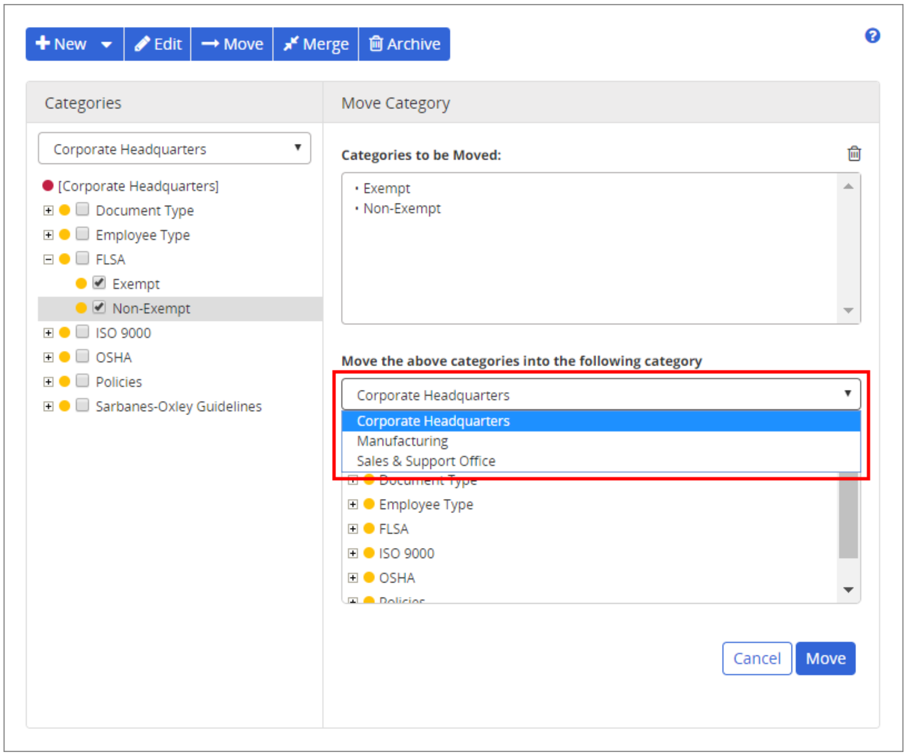
4. Do one of the following:
   - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
   - If you're prompted to back up your database, click **Back Up Database**, click **OK**, and then. when the backup is finished, click **Close**. Because

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.



6. If multiple sites exist, select the target site.



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**.

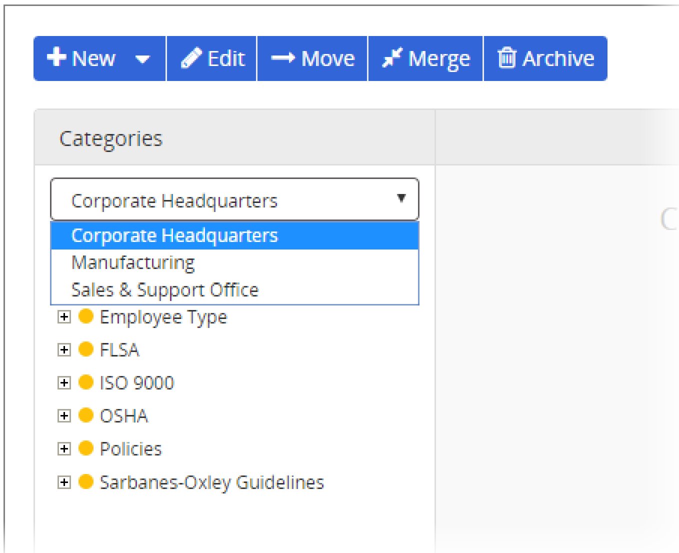
Note: If the move was not successful, follow the instructions in the Finding Category Assignments section, and then try to move the categories again.

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.

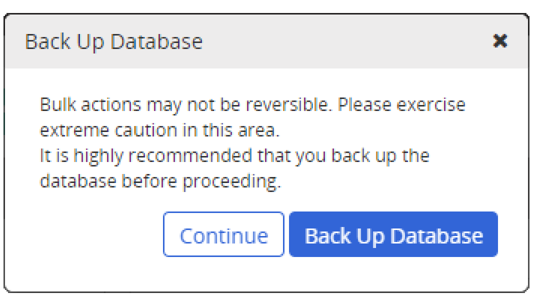
Important: A category/subcategory that is merged into another is not placed in the **Archive** and can only be restored by restoring a backup database. If your PolicyTech system is hosted, periodic backups are created automatically. If your PolicyTech is installed on your organization's premises, be 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**.

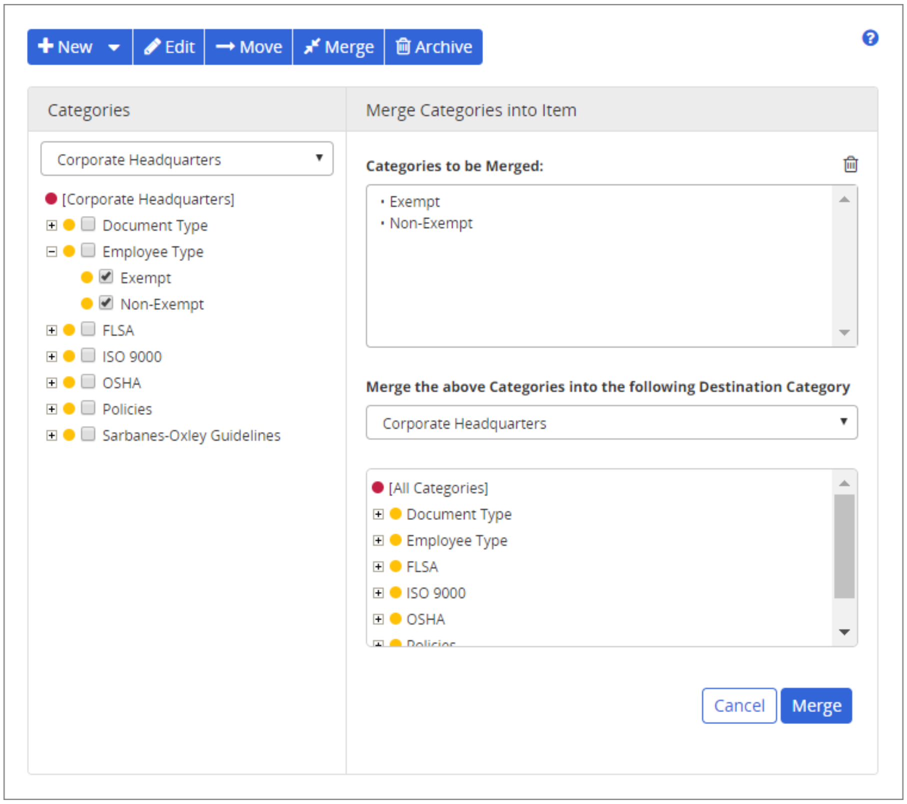
You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).



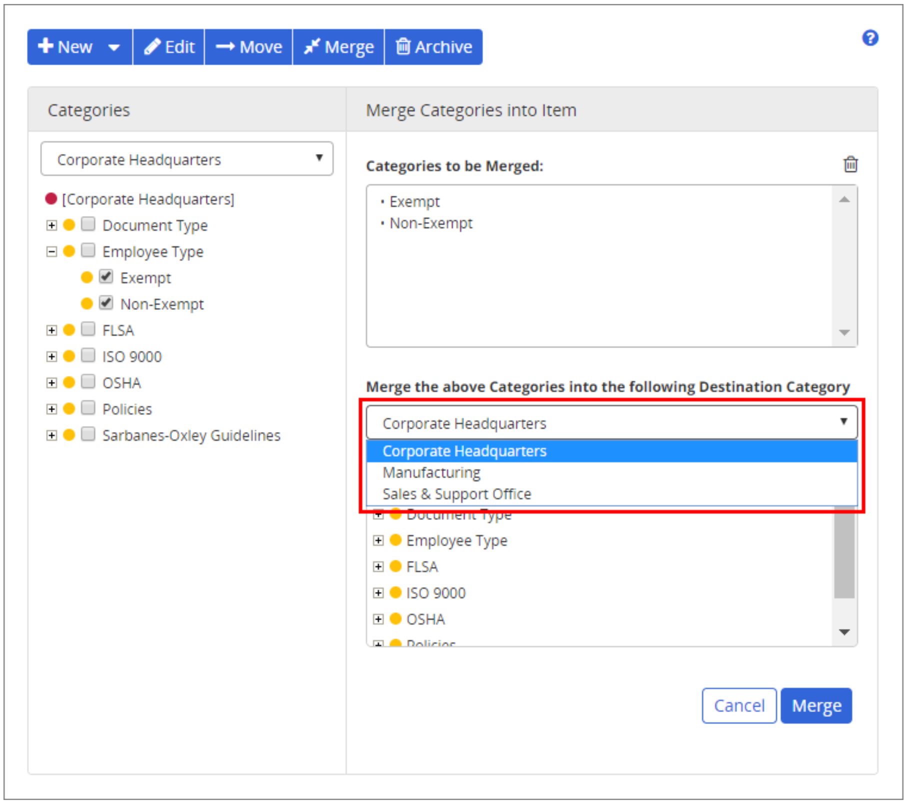
4. Do one of the following:

- 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.



6. If multiple sites exist, select the target site.



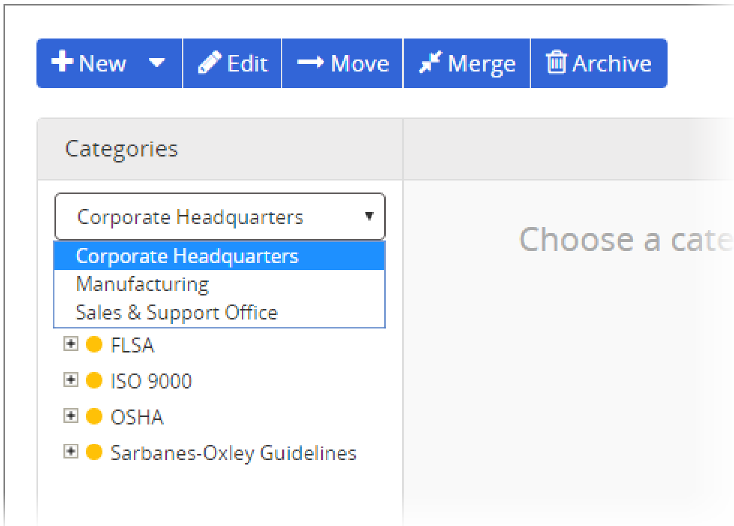
7. Click the category or subcategory you want the selected categories to be merged into.
8. Click **Merge**, and then click **OK**.

Note: If the merge was not successful, follow the instructions in the Finding Category Assignments section, and then try to merge the categories again.

Archiving Categories or Subcategories

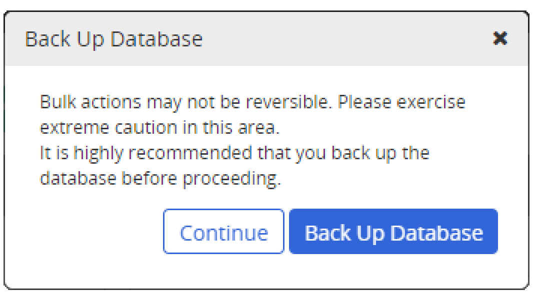
Important: You cannot archive a category or subcategory while it is assigned to any template, document, or questionnaire. You can remove category/subcategory assignments from templates and active documents/questionnaires. However, if a document/questionnaire has been archived, you cannot change any of its properties, and you will need to use **Merge** instead of **Archive** (see Merging Categories or Subcategories).

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.



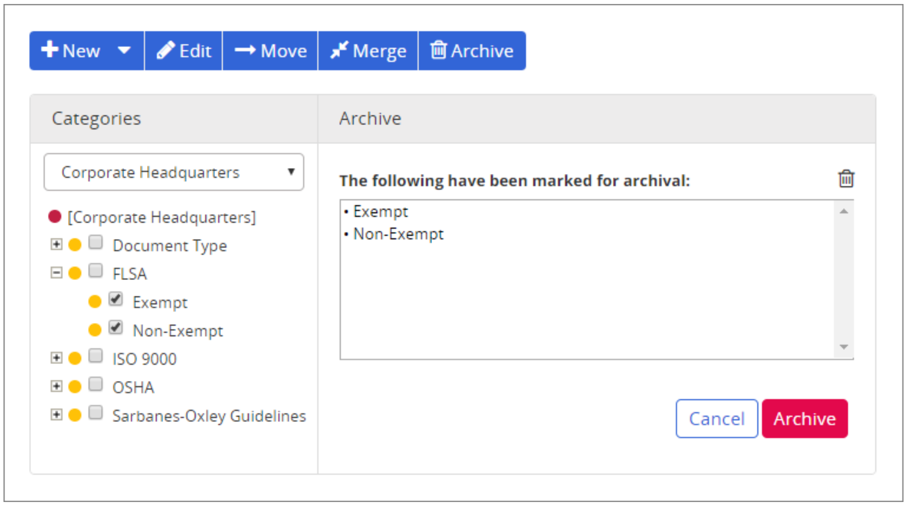
3. Click **Archive**.

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).



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.



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

Note: If the deletion was not successful, follow the instructions in the Finding Category Assignments 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,

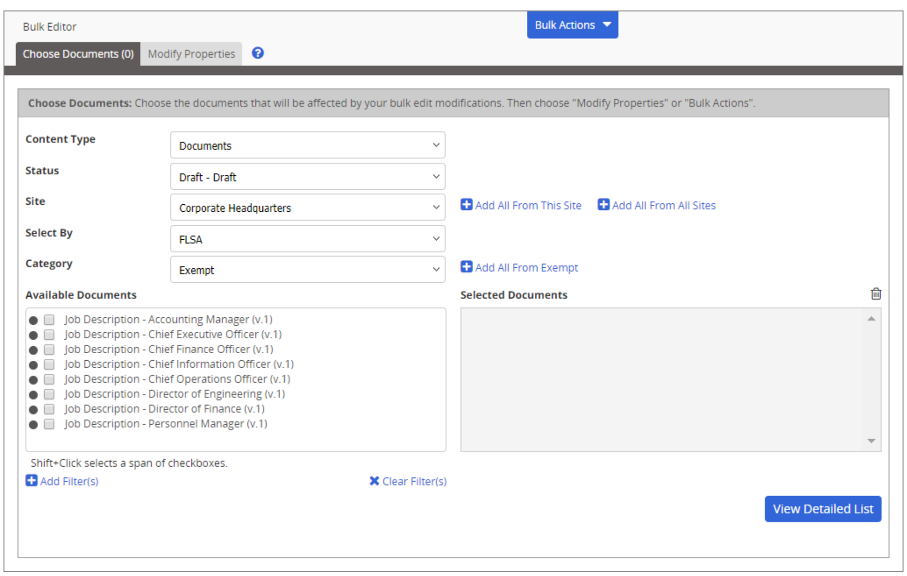
1. Click **System Settings**, click **Document Setup**, and then click **Templates**.
2. Click the first template in the list to open it.
3. On the **Properties Wizard** tab, click **Category Types** to display the list of all top-level categories.
4. Find the top-level category that contains or is the 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**.

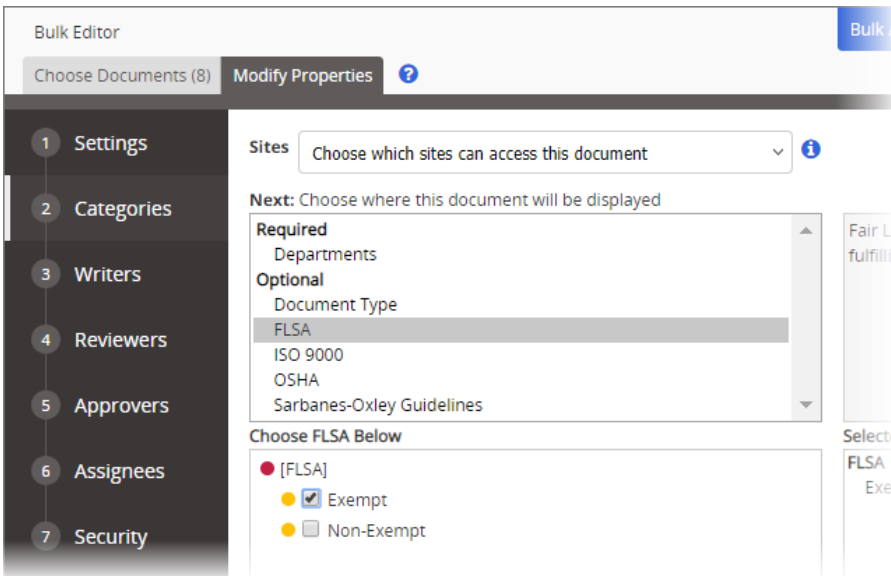
You should now see one of two warnings, depending on whether your PolicyTech system is hosted by NAVEX Global or installed on your organization's premises.

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*]**.

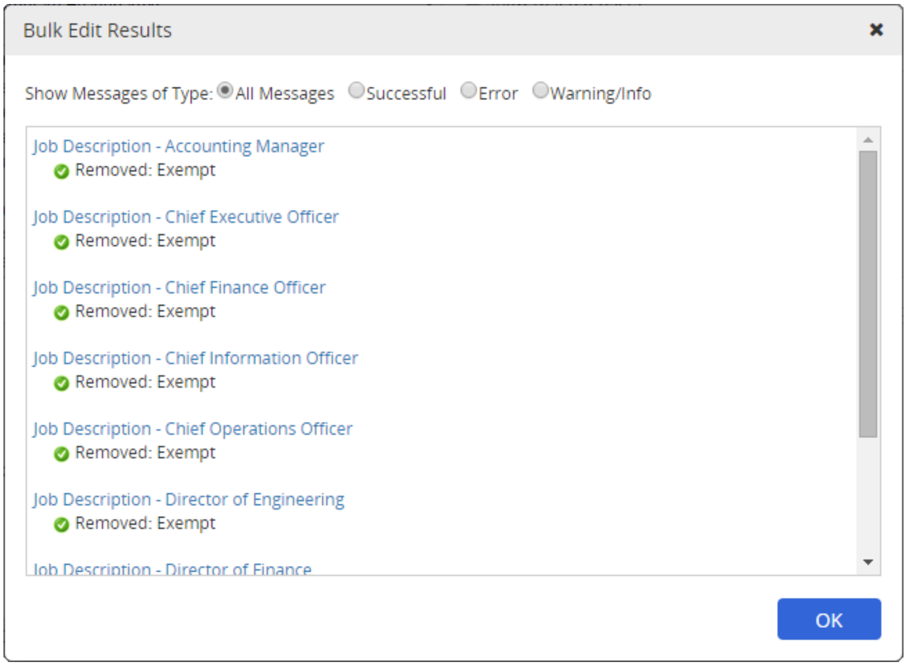


9. Click the **Modify Properties** tab.
10. Click **Categories**.
11. In the **Categories** box, click the top-level category that contains the category you want to unassign.
12. In the **Choose** box, select the category you want to unassign.

> **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.



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 Module Manager 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

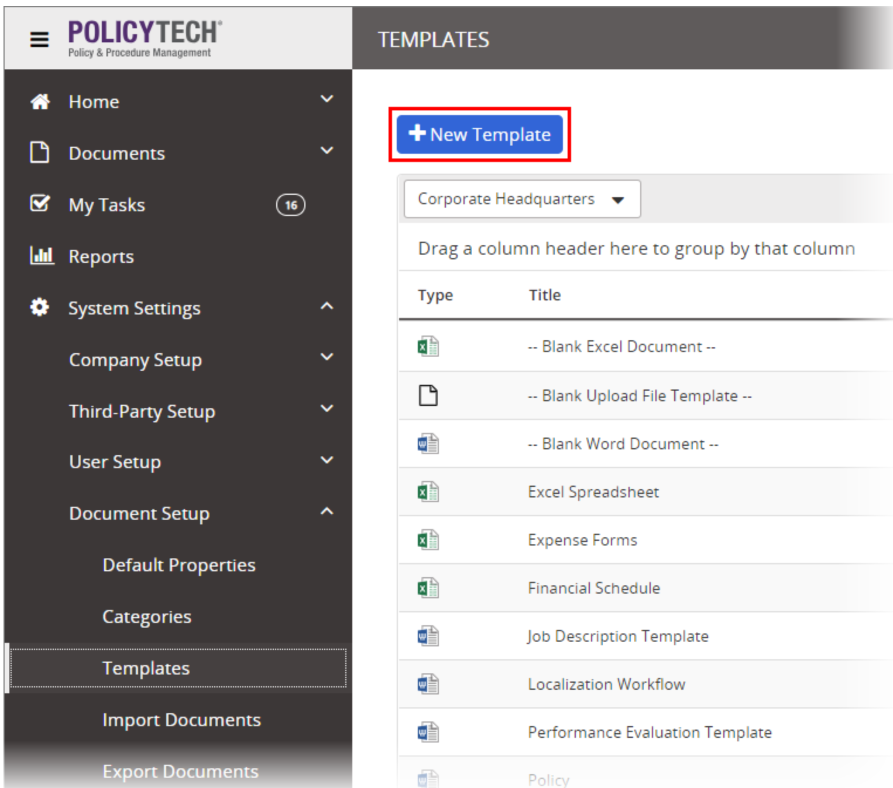
Editing a Template

Deleting a Template

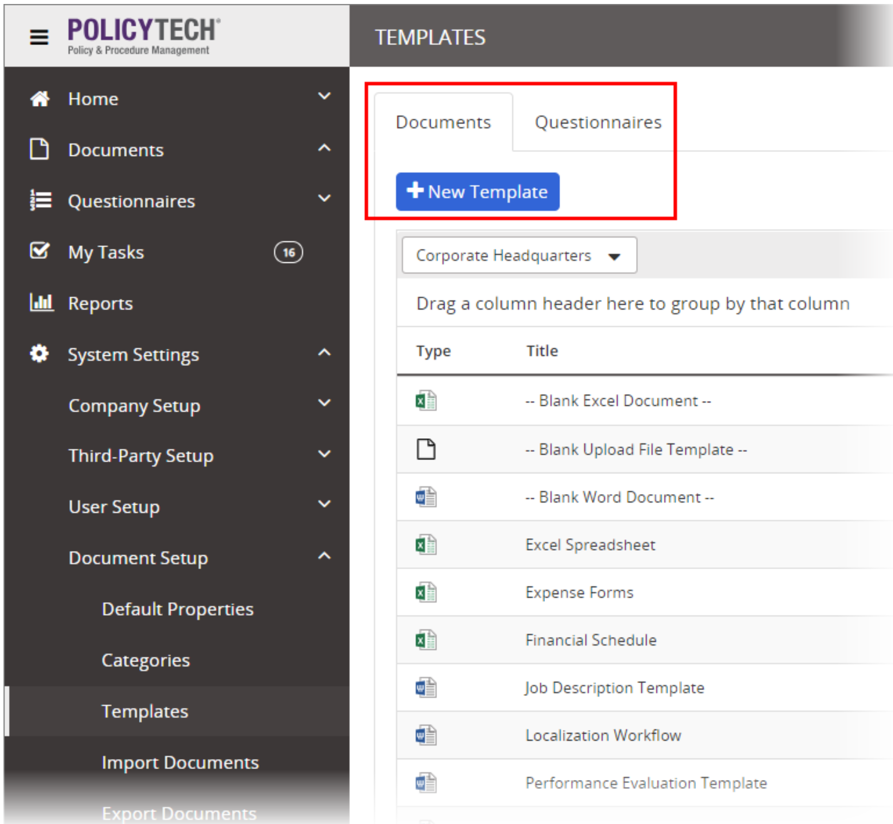
Creating a Template

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**.

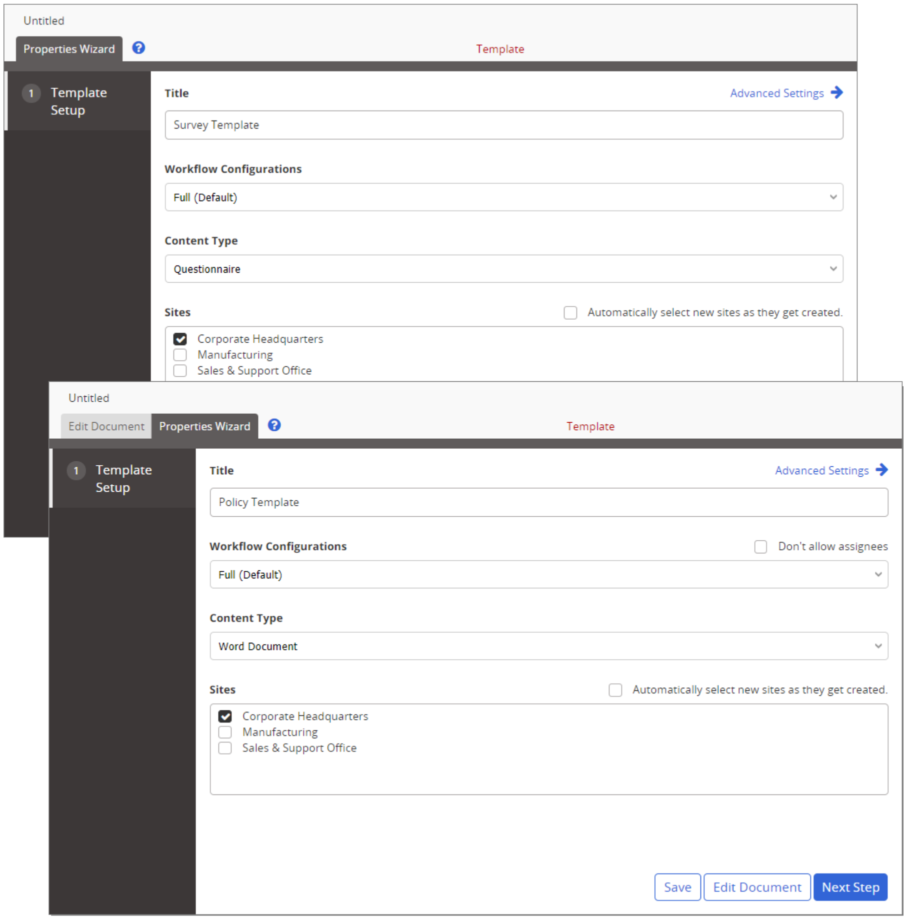


   - If both the **Document Module** and the **Questionnaire Module** are currently enabled, click the **Documents** tab or **Questionnaires** tab, and then click **New Template**.



3. Type a title.

Questionnaire template

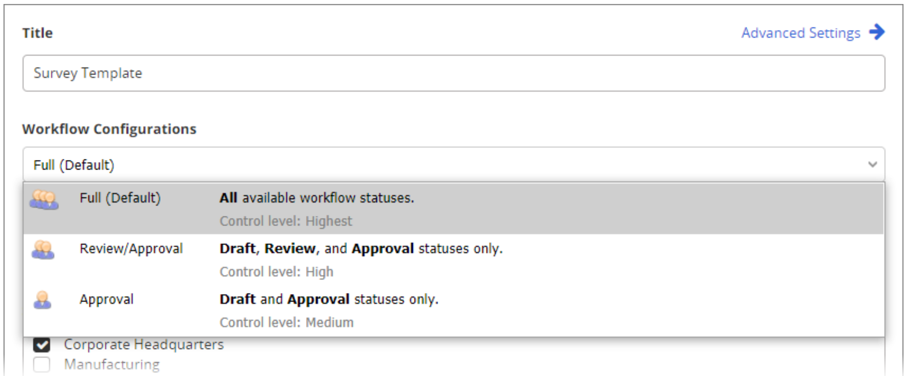


Document template

4. For **Workflow Configurations**, select one of the following options:

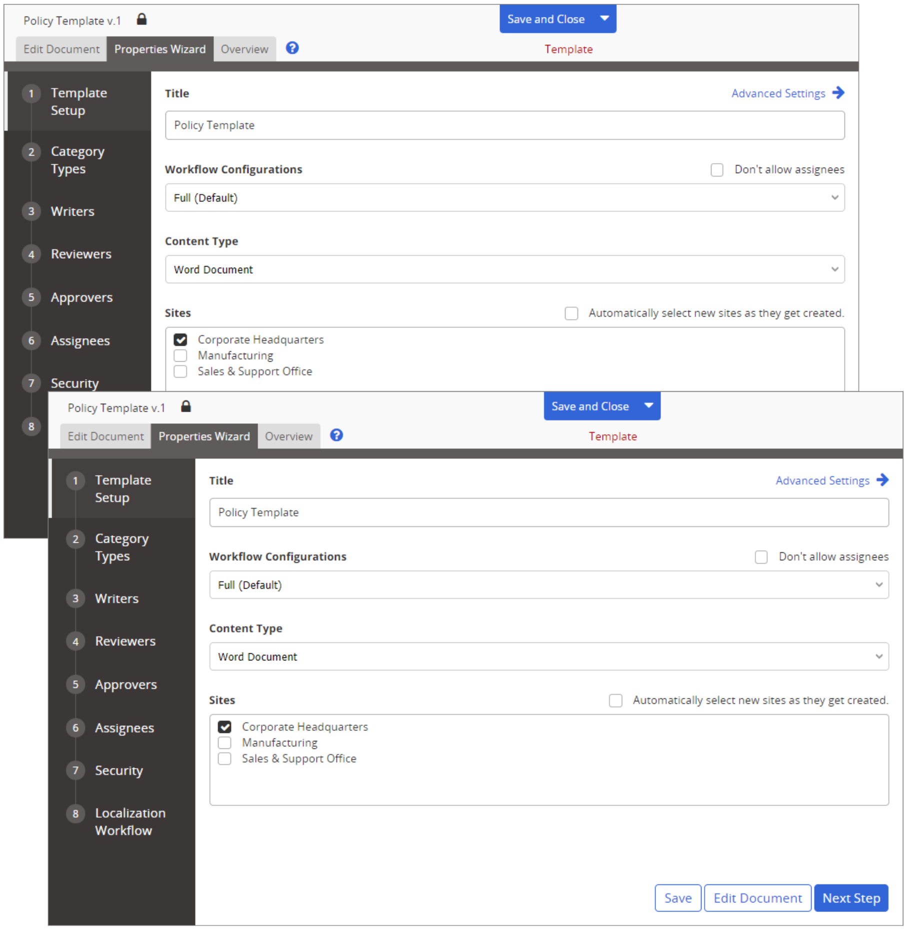
   - **Full (Default):** Includes all available workflow steps (statuses)—Draft, Collaboration (for assigning writers), Review, and Approval—leading up to a document/questionnaire being published.
   - **Review/Approval:** Eliminates the Collaboration step for documents/questionnaires based on this template.
   - **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.

Questionnaire template



Document template

10. (Optional) See [Assigning Template Properties]() 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 [Adding Content to a Word Template]() or [Adding Content to an Excel Template]()).
    - **HTML Document:** add, format, and edit the content (see [Adding Content to an HTML Template]()).
    - **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.

Template Setup: Set the template's required properties (**Title**, **Content Type**, **Sites**) and other optional properties.

Category Types: Assign departments and categories for any documents/questionnaires created from this template.

Writers: Assign the writers who may collaborate on writing any document/questionnaire created from this template.

Reviewers: Assign the users who may review any document/questionnaire created from this template.

Approvers: Assign the users who may approve any document/questionnaire created from this template.

Assignees: 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.

Security: Set the default security level for any document created from this template.

Template Setup

See Creating a Template 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

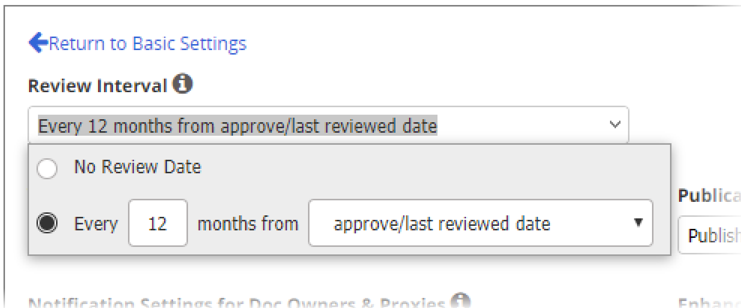
Mark as Read Text (document templates only)

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 Default Document Properties.

1. For **Review Interval**, do one of the following:



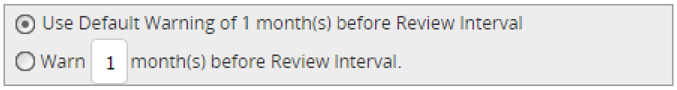
   - Click **Every [number] months from [selected event or specified date]**, and then change the number of months. Click the last box, and then click one of the following:
     - **approve/last reviewed date:** Sets the review date the number of specified months after the document or questionnaire is approved 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.



- Click **Use Default Warning of [n] month(s) before Review Interval**.

2. Click anywhere outside the **Warning Period** menu to close it.

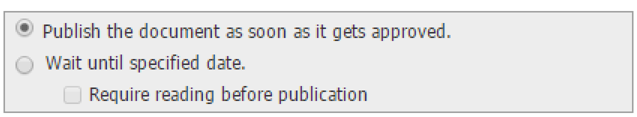
Publication Date

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.



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 Default Document Properties: Enhanced Validation (Electronic Signature) and "Advanced Settings" in the User's Guide.

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 Setting Up Document Access 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 Step 7 - Security for details).

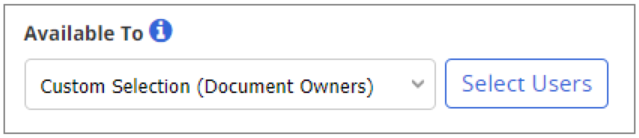
Available To has two possible settings:

- **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**.

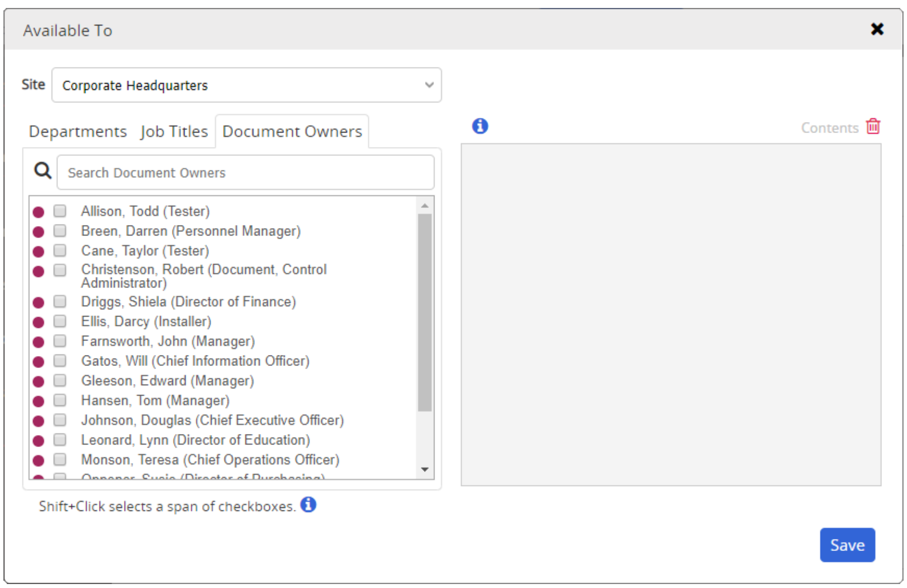


2. If multiple sites exist, select the site containing the document owners you want to give access to this template.

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.

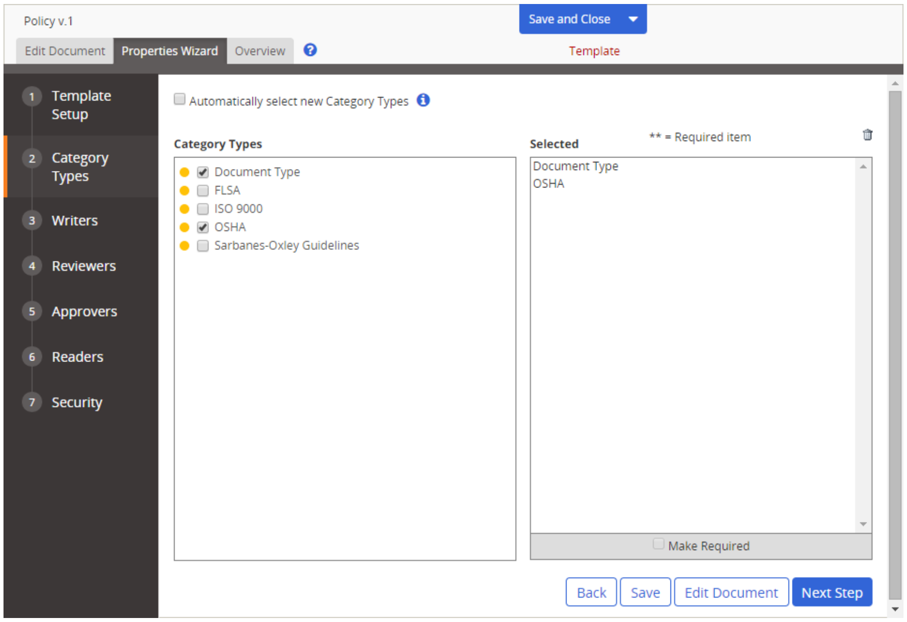
Category Types (Template)

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.

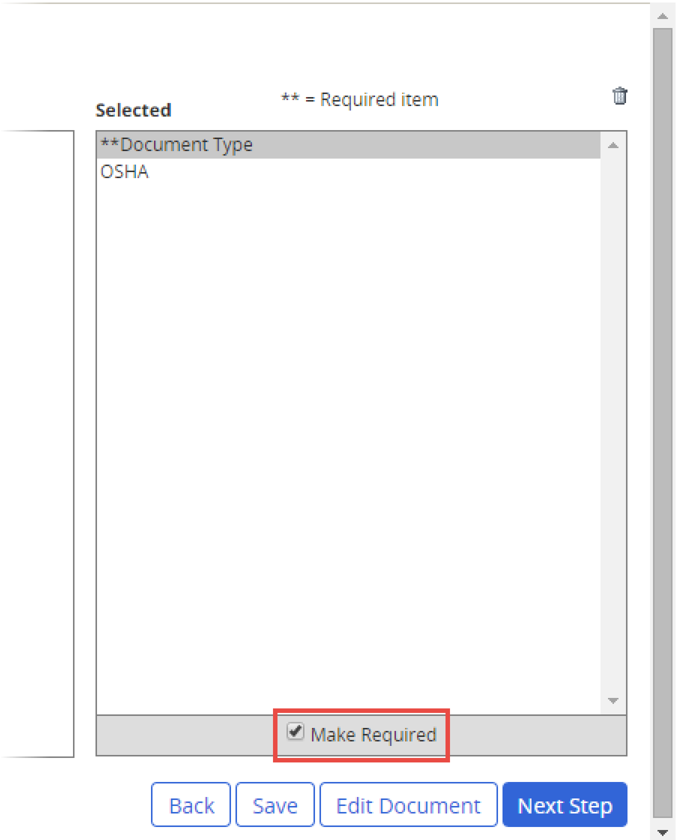
1. In the **Category Types** step, select top-level categories.

Notes:

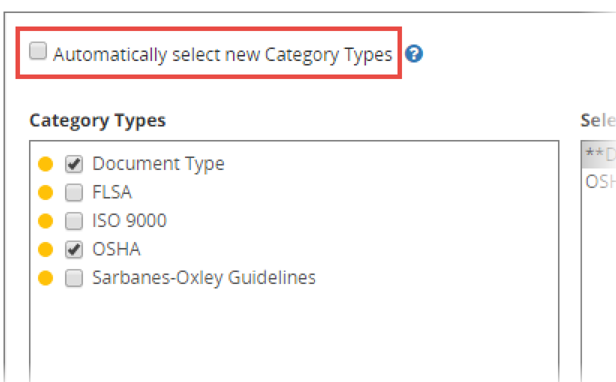
- You can only select a top-level category, from which the document owner using the template can select one or more subcategories.
- To remove a category type from the **Selected** box, click it, and then click .



2. (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.



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.



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 a Template.)
- To work on the template's document content, click **Edit Document** (see Adding Document Content to a Template).

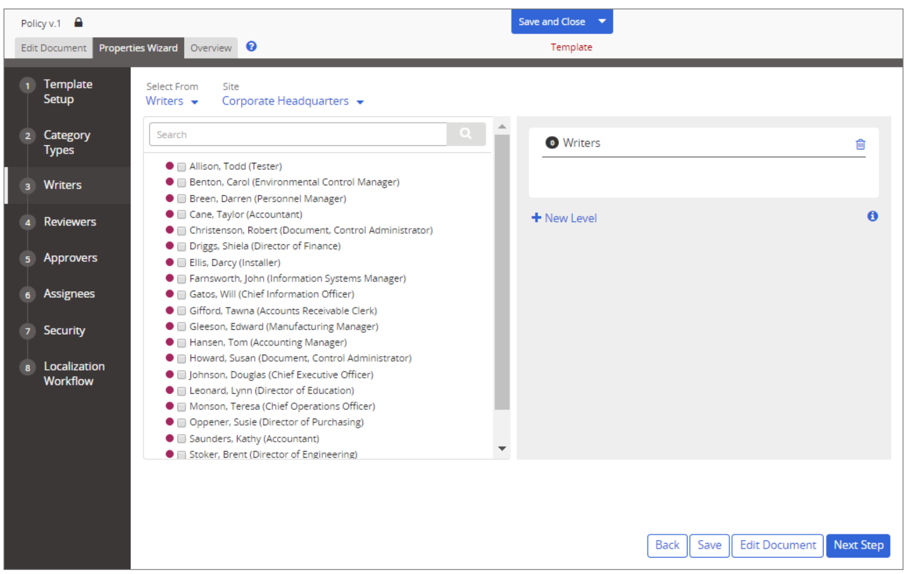
Writers (Template)

Important: This step is completely optional.

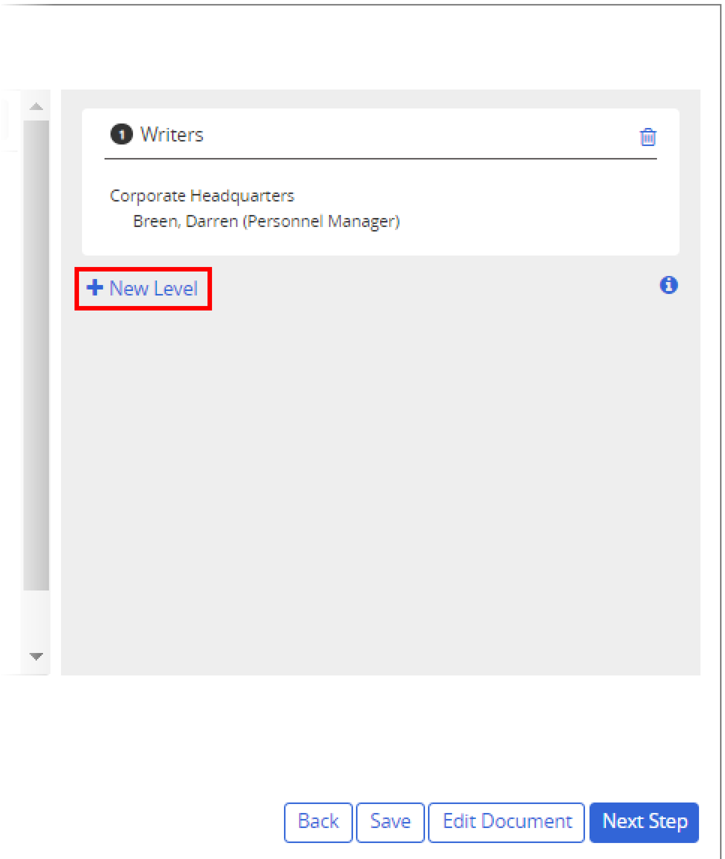
Use this step to assign optional or required writers to the template.

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 Other Ways to Select Writers, Reviewers, and Approvers).

Note: To remove a writer from the **Selected Users** box, click the writer's name, and then click .



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 Working with Levels (Template) for details.



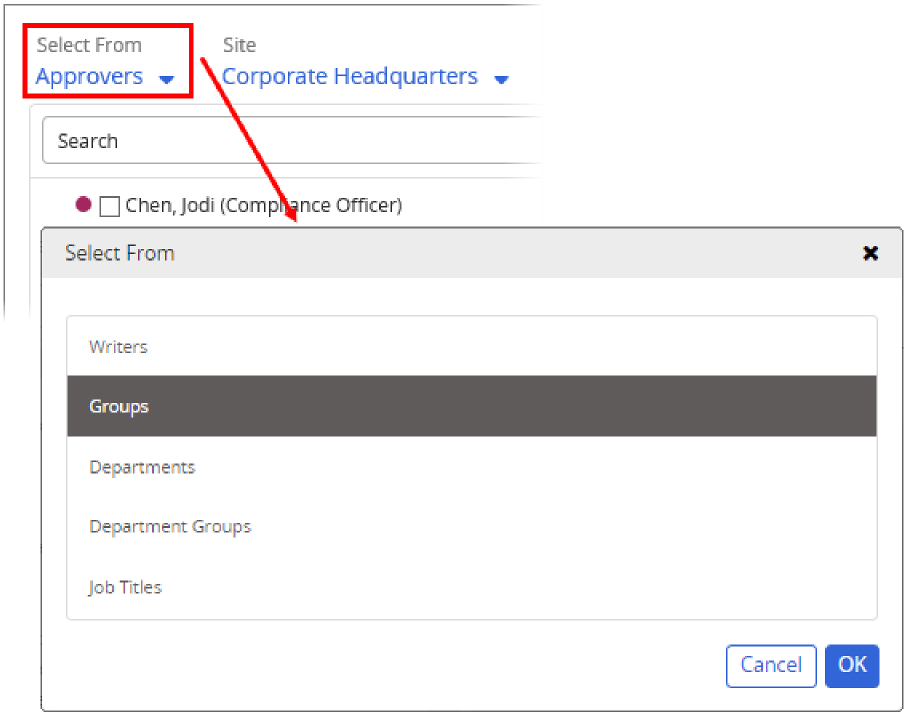
6. Do one of the following:

   - 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 Editing a Template.)
   - To work on the template's document content, click **Edit Document** (see Adding Document Content to a Template).

Other Ways to select Writers, Reviewers, and Approvers (Template)

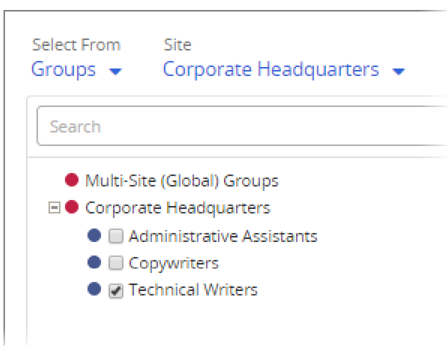
The default writer, reviewer, or approver selection method is to select individual users with that role. You can also select groups, departments, and job titles.

1. For **Select From**, select **Groups** (user groups), **Departments**, **Department Groups**, or **Job Titles**, and then click **OK**.

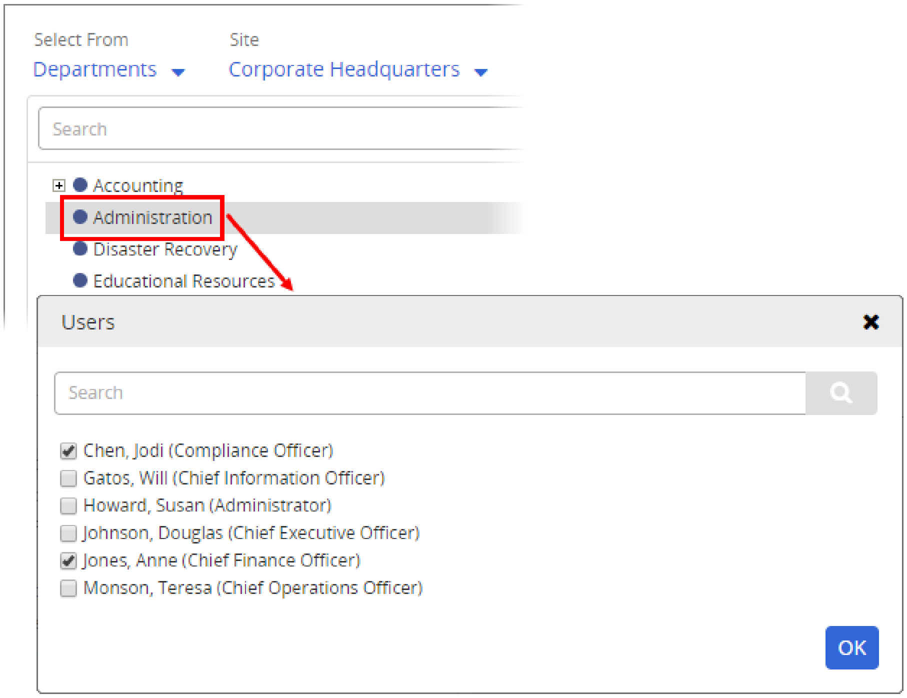


2. Do one of the following:

   - 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**.



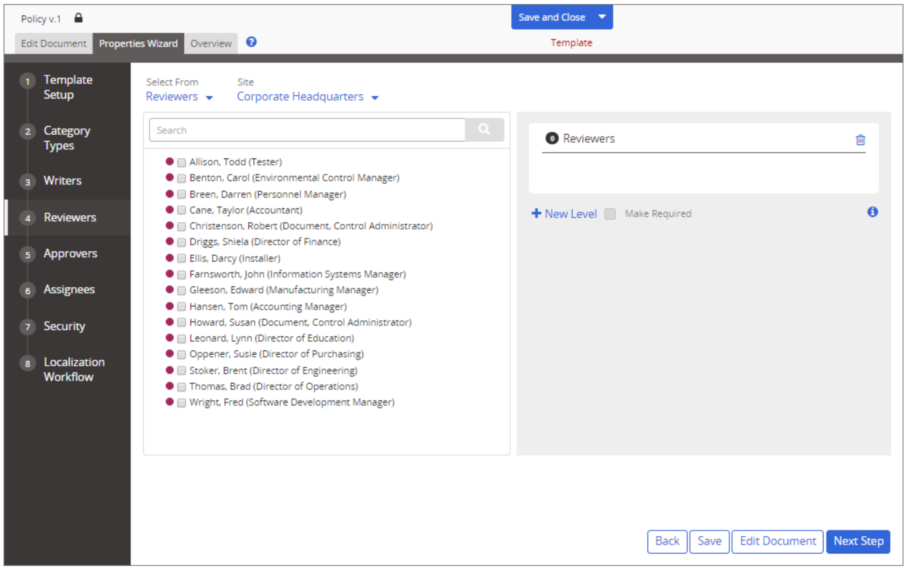
Reviewers (Template)

Important: This step is completely optional.

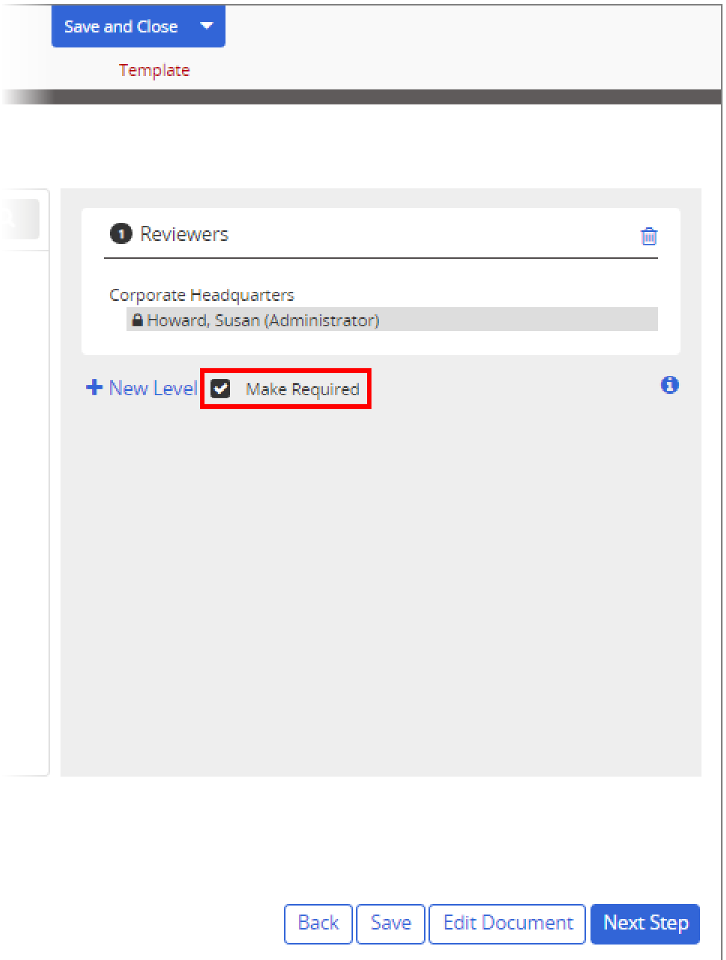
Use this step to assign optional or required reviewers to the template.

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 Other Ways to Select Writers, Reviewers, and Approvers).

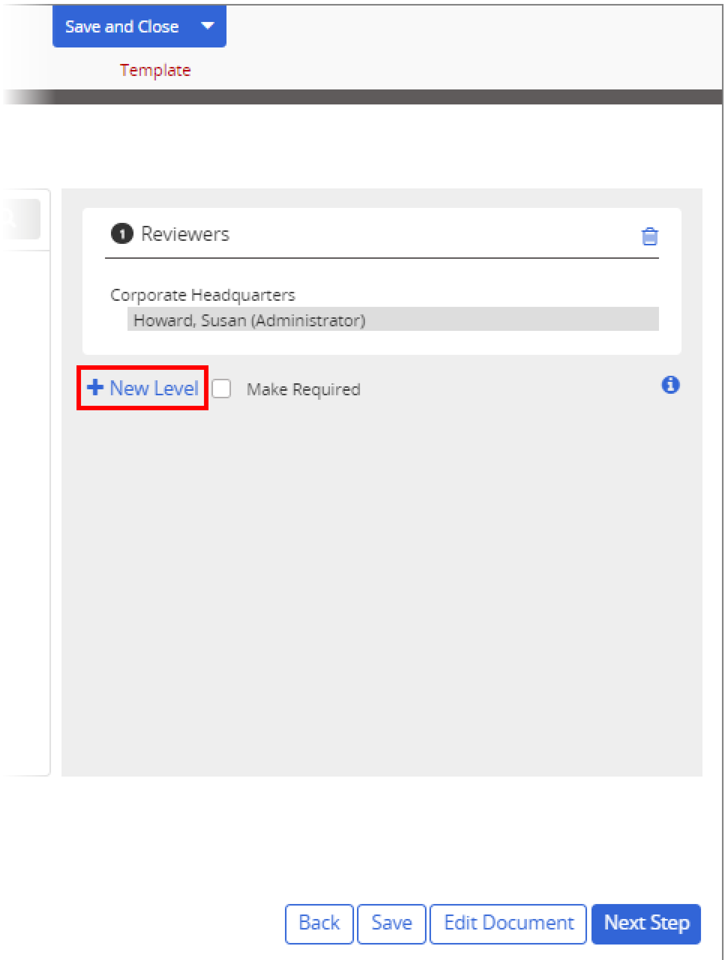
Note: To remove a reviewer from the **Selected Users** box, click the reviewer's name, and then click .



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 Working with Levels (Template) for details.



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 Editing a Template.)
   - To work on the template's document content, click **Edit Document** (see Adding Document Content to a Template).

Approvers (Template)

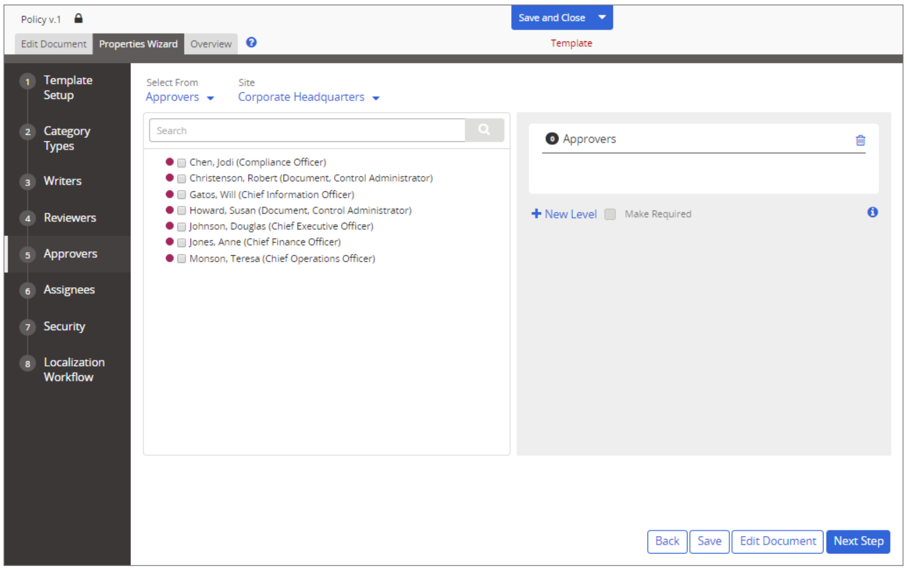
Important: This step is completely optional.

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.

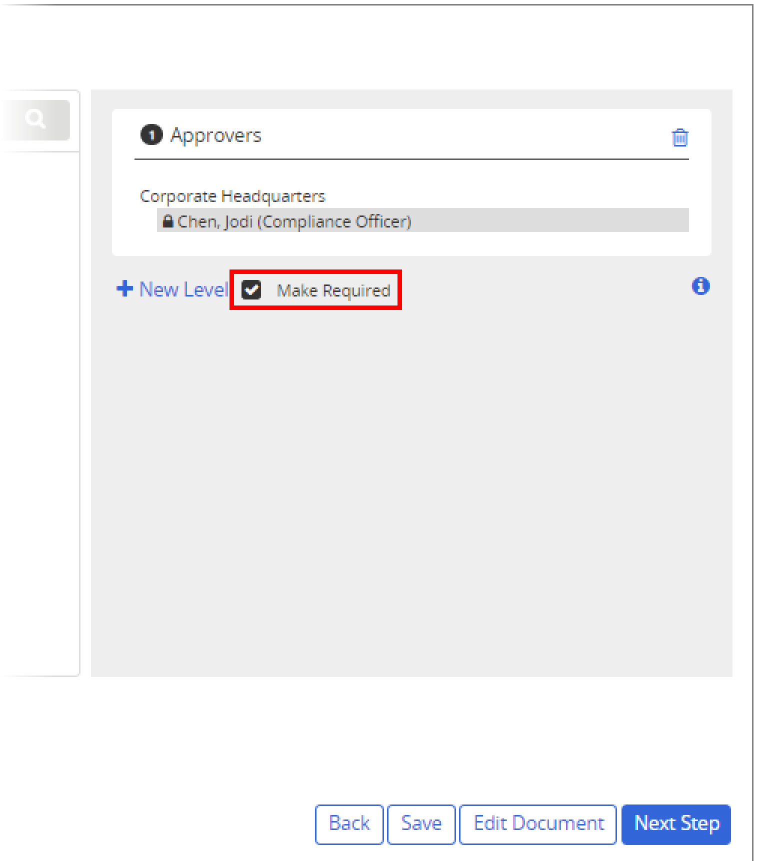
2. Select one or more approvers (to select approvers by approver group, job title or department, see Other Ways to Select Writers, Reviewers, and Approvers).

Note: To remove an approver from the **Selected Users** box, click the approver's name, and then click .

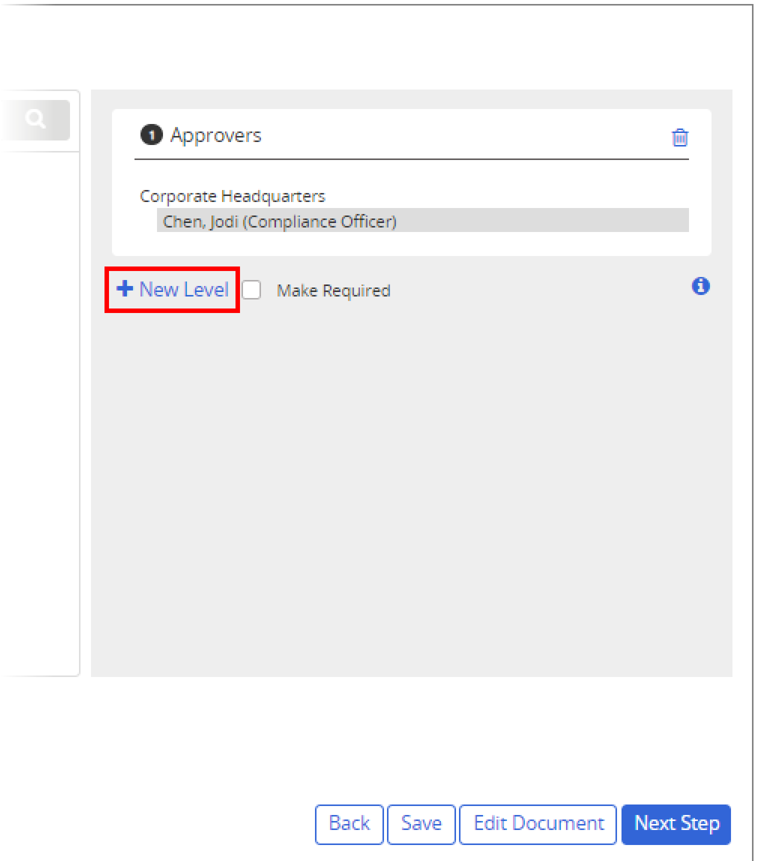


3. (Optional) When you're finished adding approvers from the current site, repeat steps 1 and 2 to assign approvers from other sites.

4. (Optional) To make an approver a required assignee, in the **Selected Users** box, click the approver's name, and then click **Make Required**.



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 Working with Levels (Template) for details.



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 Editing a Template.)
   - To work on the template's document content, click **Edit Document** (see Adding Document Content to a Template).

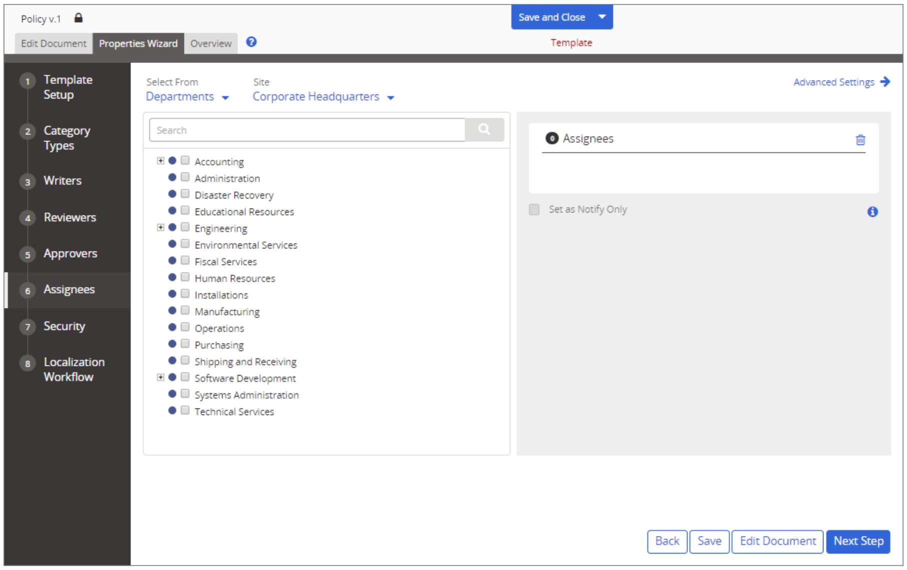
Assignees (Template)

Important: This step is completely optional.

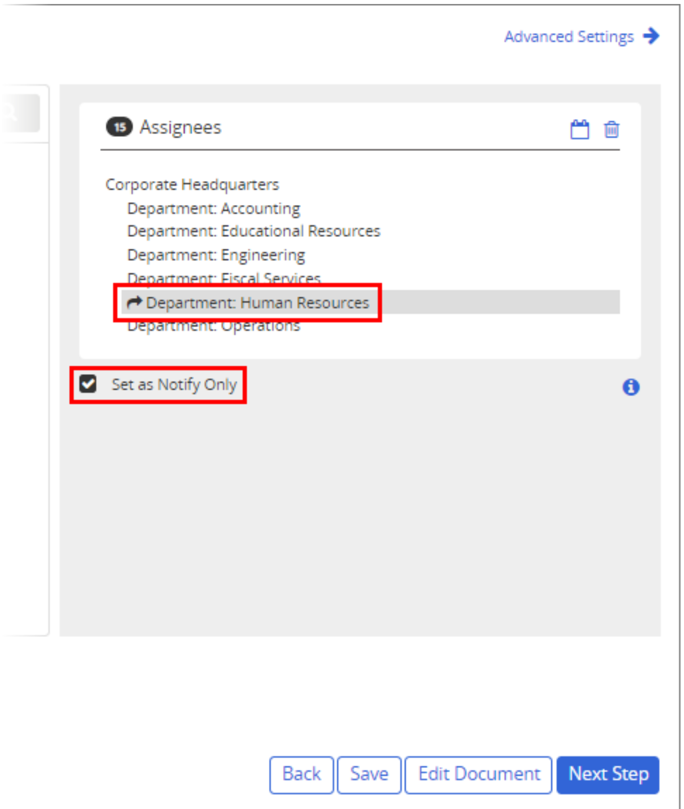
Use this step to designate assignees for the template.

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 Other Ways to Select Assignees below).

Note: To remove a department from the **Selected Users** box, click the department name, and then click .



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 .



4. (Optional) When you're finished adding assignees from the current site, repeat steps 1 through 3 to select assignees from other sites.
5. (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.)

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 Editing a Template.)
- To work on the template's document content, click **Edit Document** (see Adding Document Content to a Template).

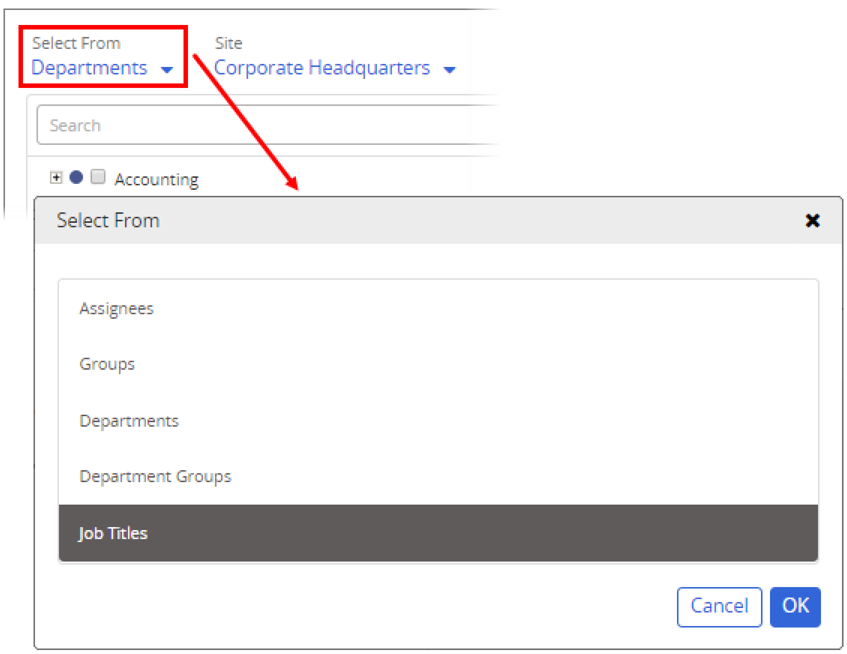
Other Ways to Select Assignees

The default assignee selection method is by individual department. You can also select by job title, by assignee group, or by individual assignees.

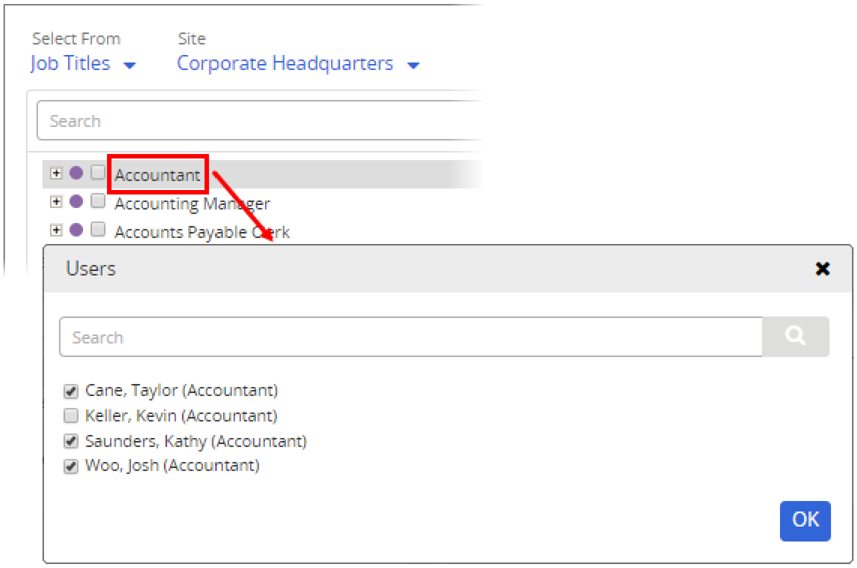
Job Titles

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.



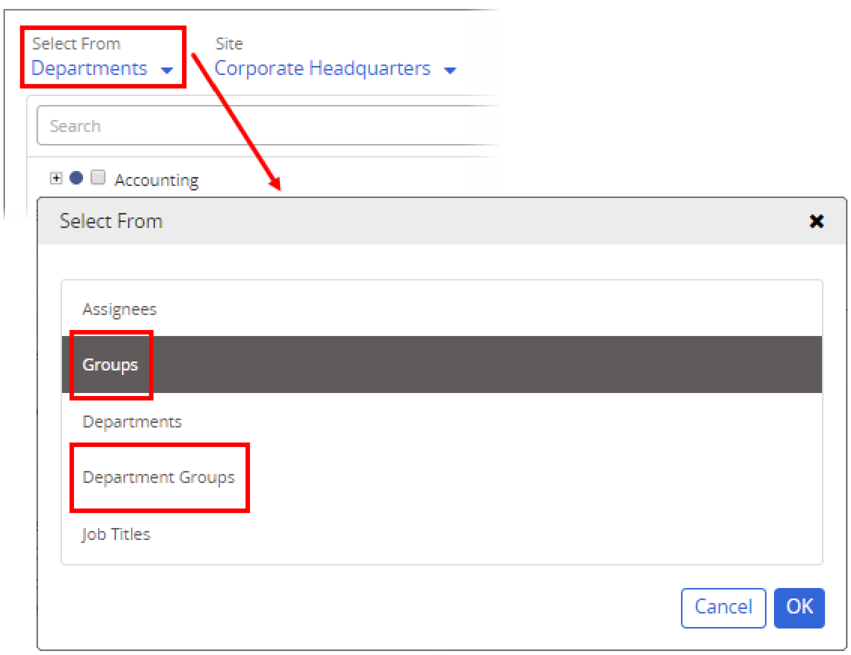
2. Do either or both of the following:
   - Select a job title to add all assignees with that job title.
   - Click a job title, select one or more listed assignees, and then click **OK**.



Assignee Groups or Department Groups

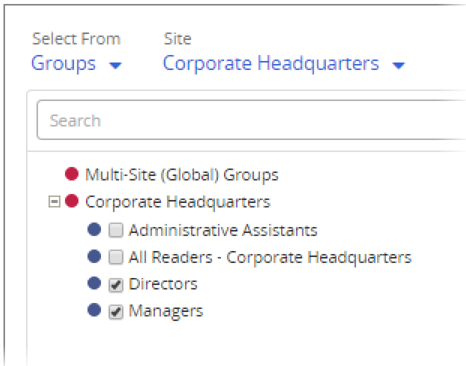
1. For **Select From**, select **Groups** or **Department Groups**, and then click **OK**.

Note: A group is a combination of assignees from a single site or from multiple sites.



2. Select one or more groups.

Note: To select individual assignees from a group, click the group name, and then select assignees.

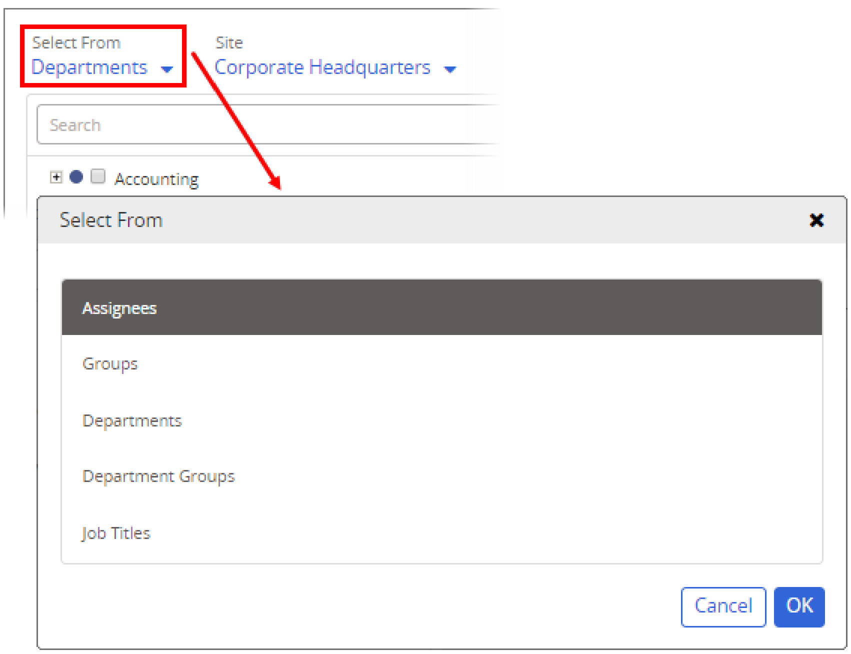


Assignees

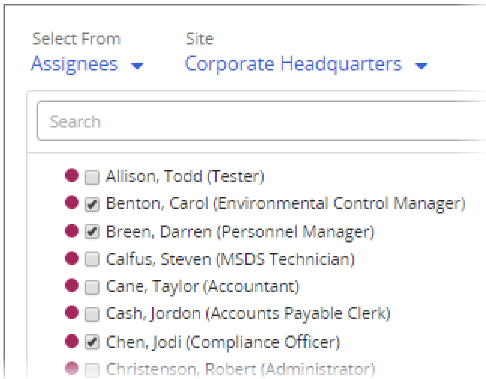
1. For **Select From**, select **Assignees**, and then click **OK**.

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.



2. Select assignees.

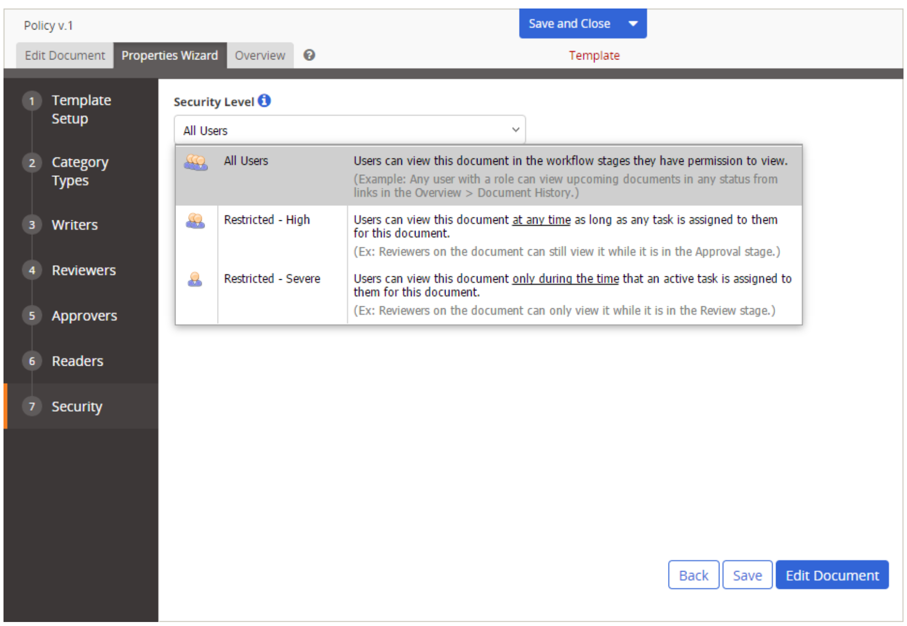


Security (Template)

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 .

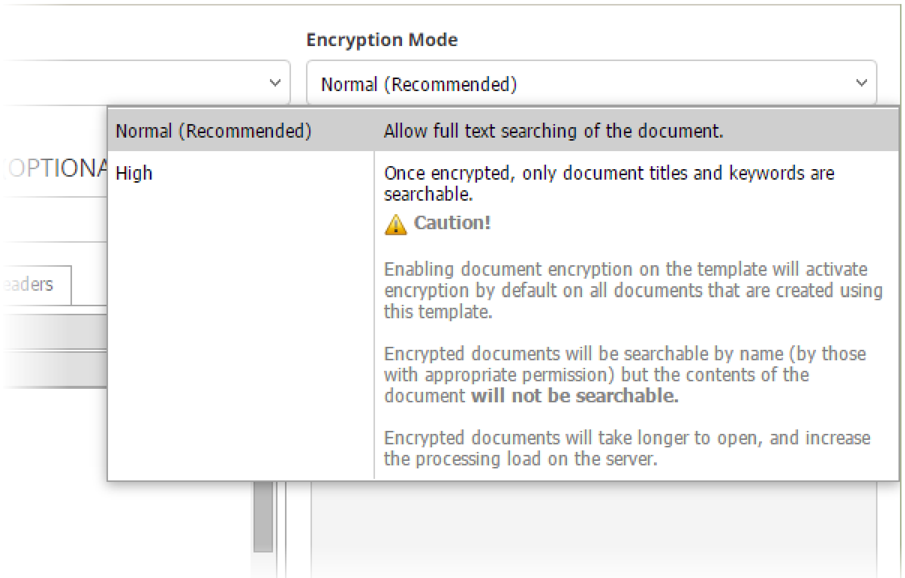


2. Do one of the following:

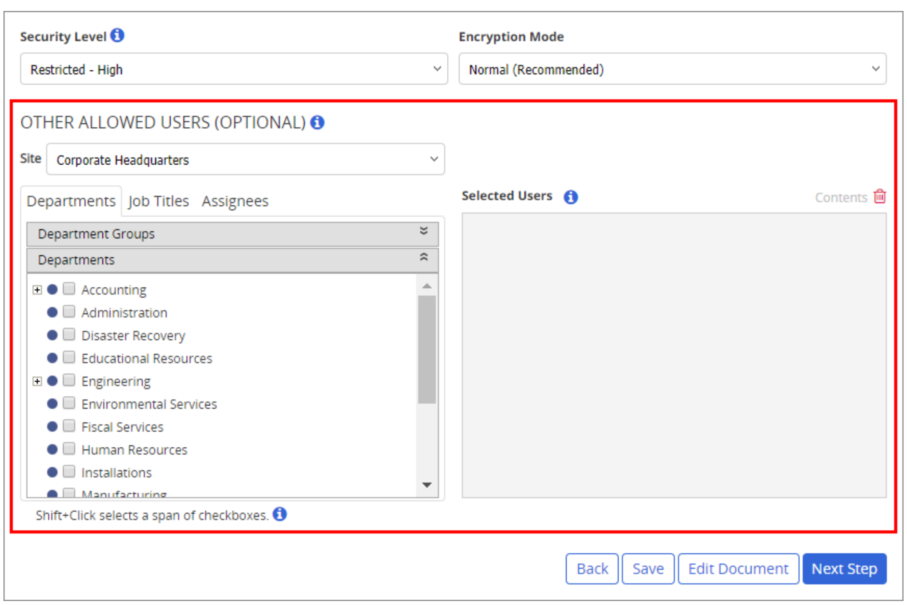
   - If you selected the **All Users** security level (the default setting), you are done with security options. Go to step 5 below.

   - If you selected **Restricted - High** or **Restricted - Severe**, continue with step 3.

3. (Optional) For **Encryption Mode**, click **Normal (Recommended)** or **High**. See Encryption Modes below .



4. (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 Other Allowed Users below for details on what permissions will be granted.



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 Adding Document Content to a Template).

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:

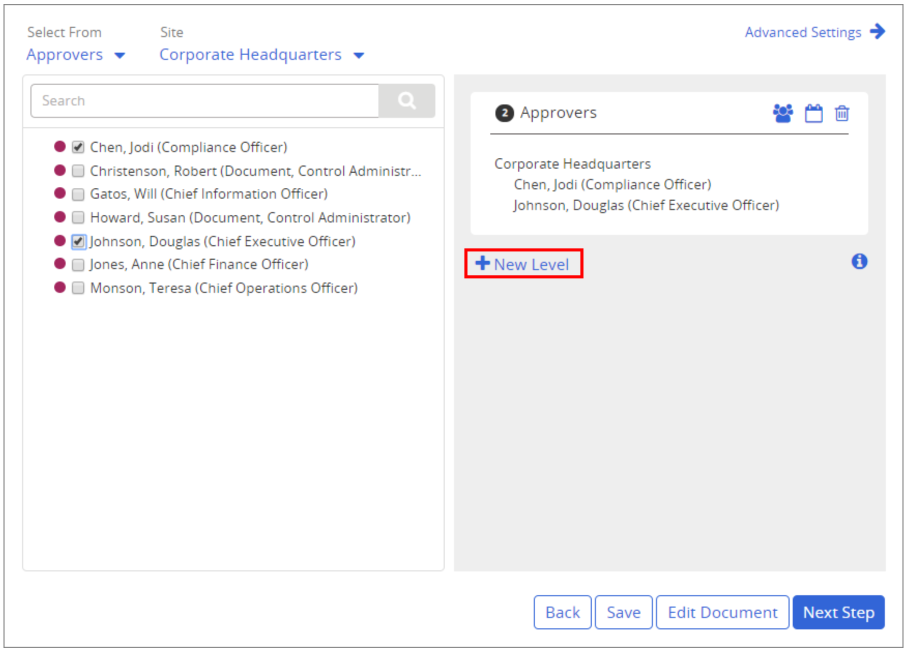
- Click the **Departments** tab, click the **Departments** heading, and then select the departments whose users you want to grant access.
- Click the **Departments** tab, click the **Department Groups** heading, and then select a group.
- Click the **Job Titles** tab, click the **Job Titles** heading, 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)

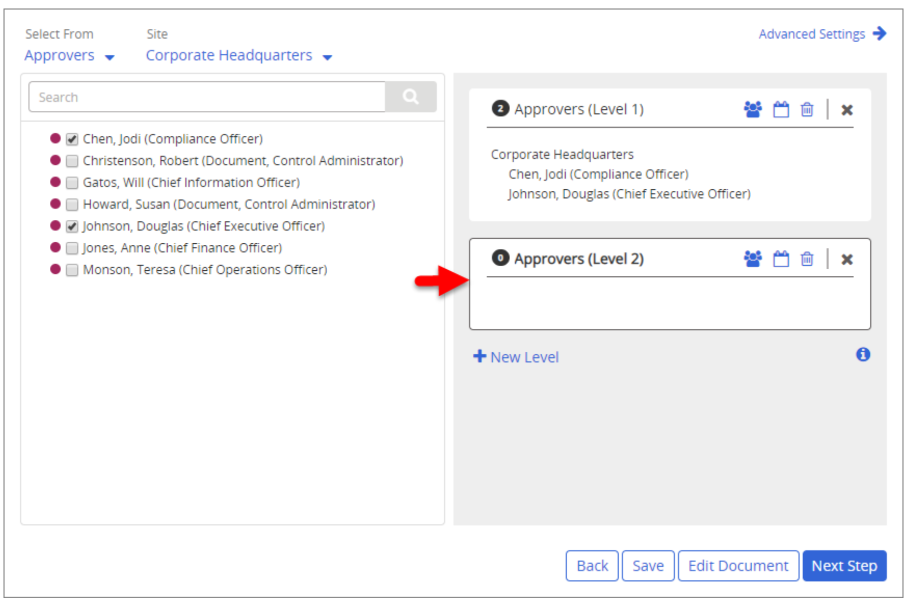
When you assign writers, reviewers, and approvers to a template in the **Properties Wizard**, you can create levels to specify which users get the document first, second, and so on. When you create multiple levels, all users on the first level must complete their tasks, such as approving the document, 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**.

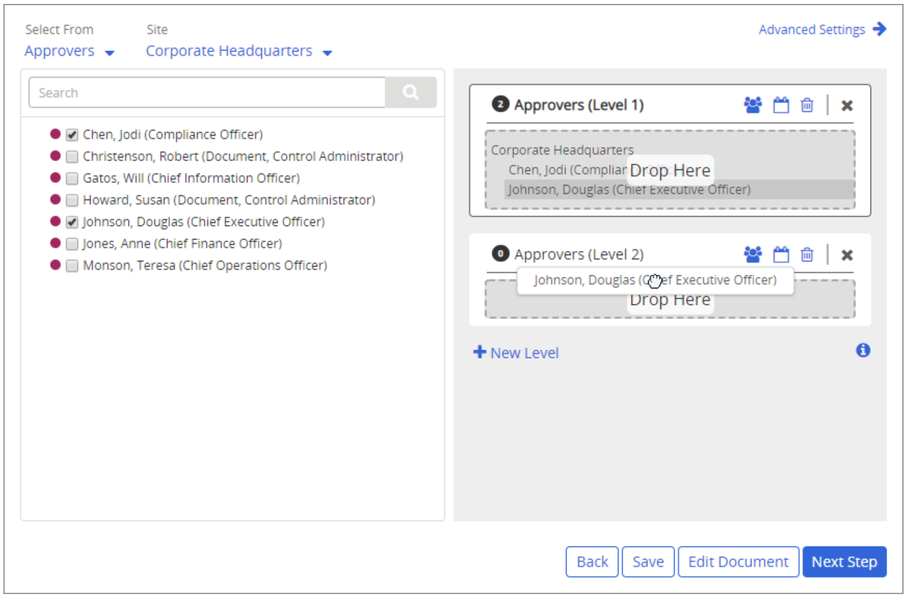
1. Click **New Level**.



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.



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.



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 Template](#)

[Adding Content to an HTML Template](#)

[Adding Content to an Upload File Template](#)

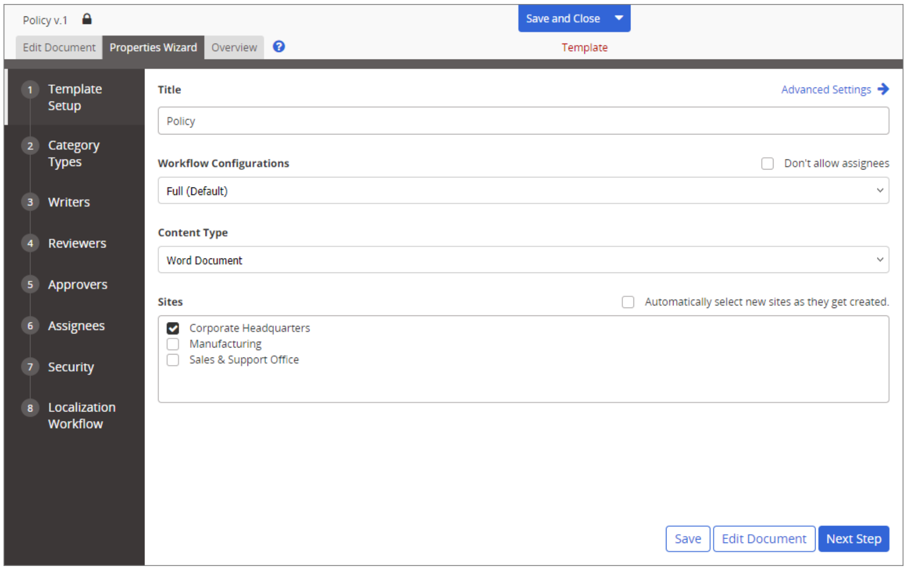
[Importing Content (Template)](#)

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 Template Setup).

1. Do one of the following to start editing the Word template:

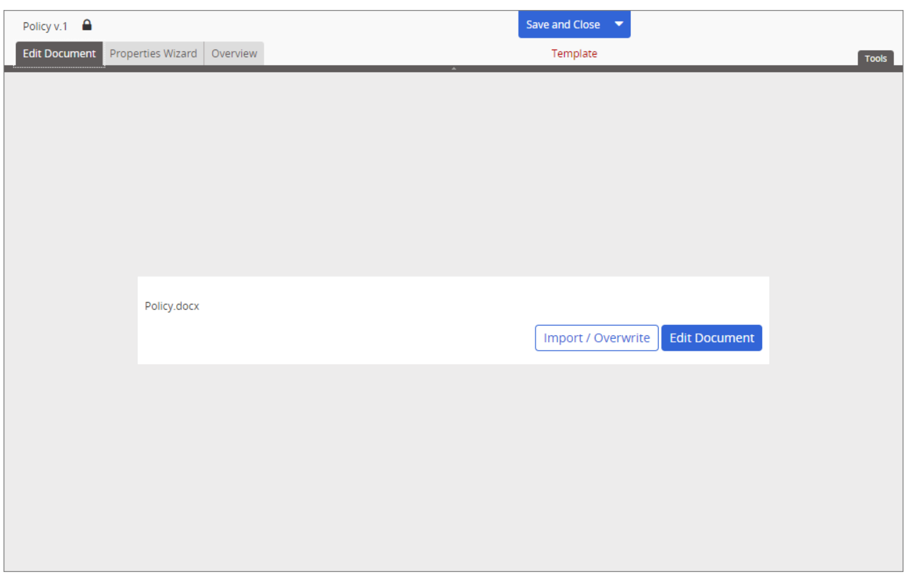
   - If the template is already open, click the **Edit Document** tab near the upper left corner or the **Edit Document** button at the bottom of the currently displayed **Properties Wizard** step.



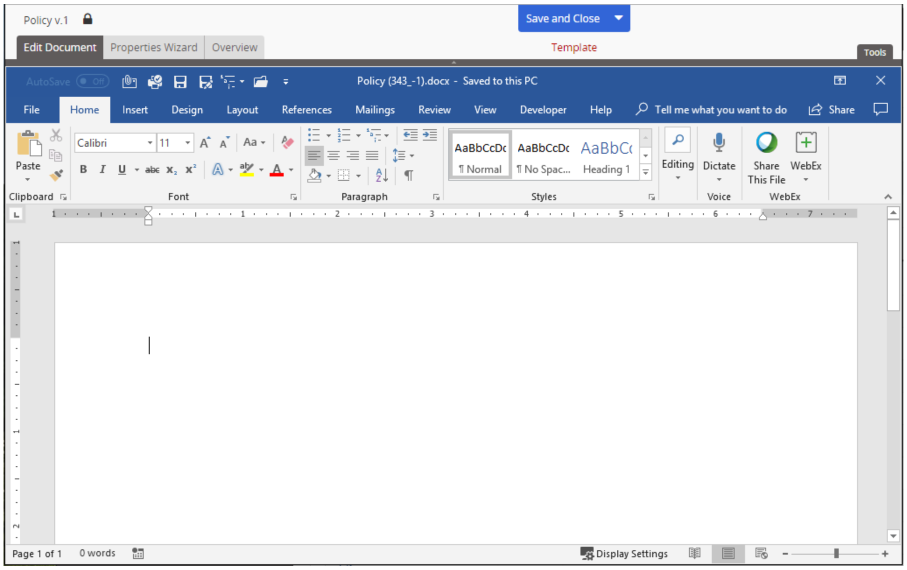
- If the template is currently closed, click **System Settings**, click **Document Setup**, and then click **Templates**. Click the template title, and then click the **Edit Document** tab or button.

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 With Office Online Integration.

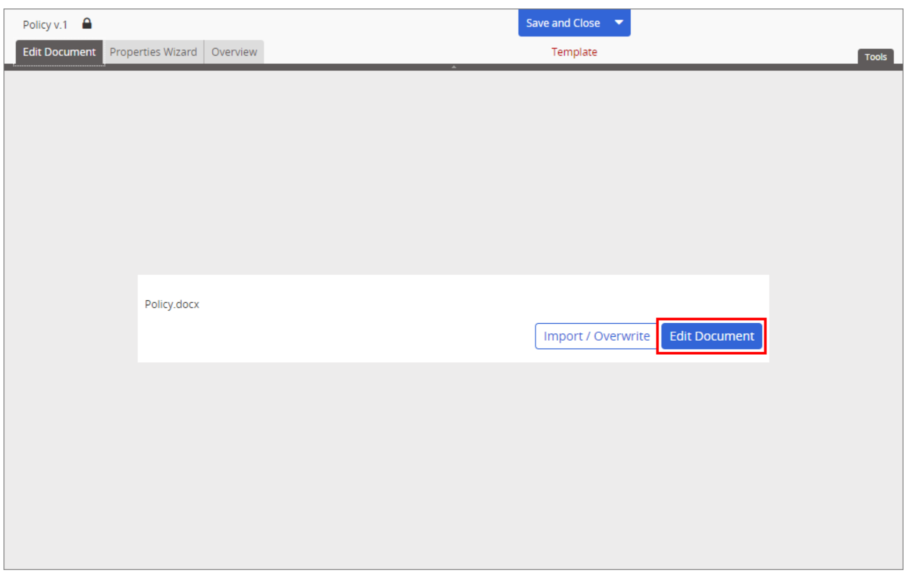


   - If the document opens immediately, continue with the instructions under With WordModule*Plus*.

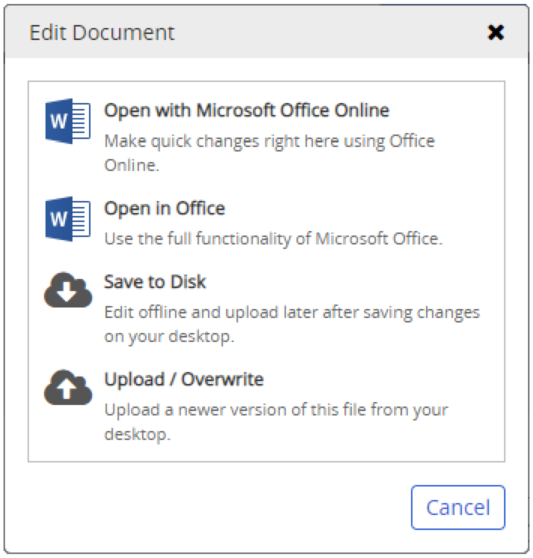


With Office Online Integration

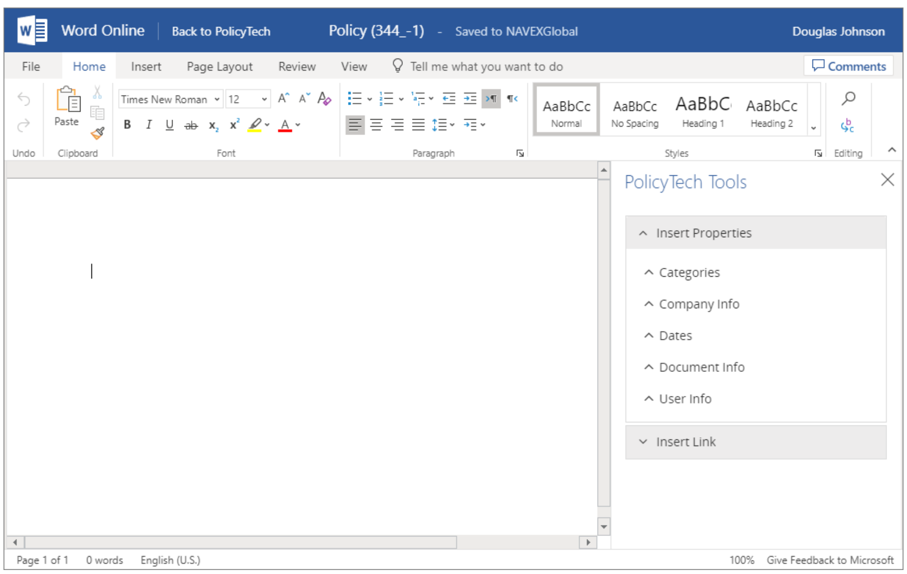
1. Click the **Edit Document** button.



2. Do one of the following:



- Click **Open with Microsoft Office Online** to open a new document in **Word Online**.

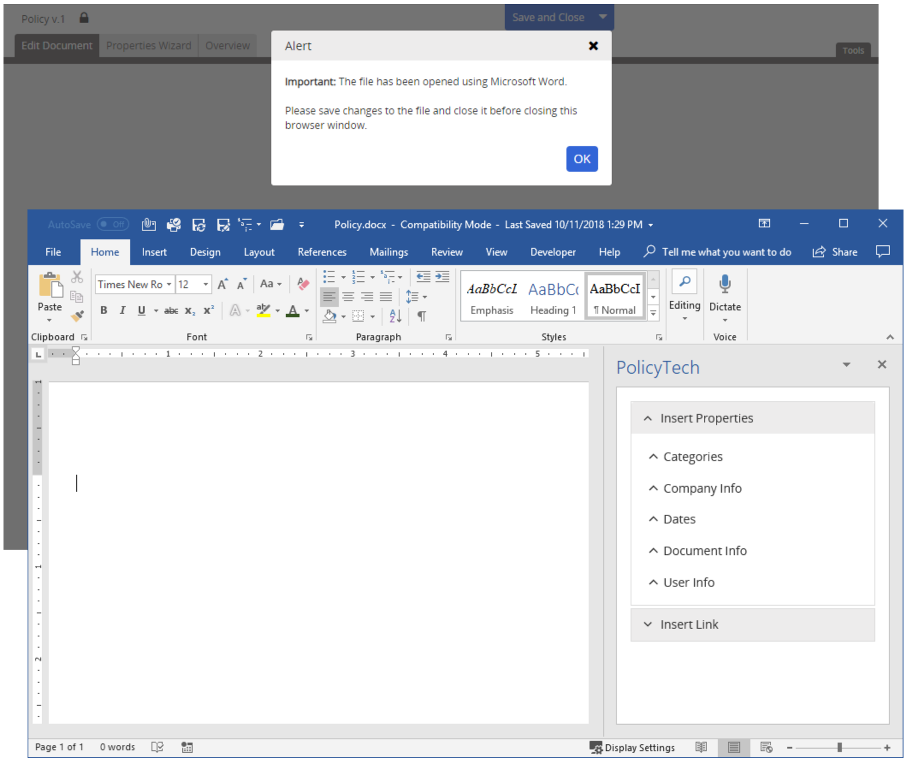


- Click **Open in Office** to open a new document in the desktop version of Word outside the PolicyTech template window, and then click **OK** to clear the alert.

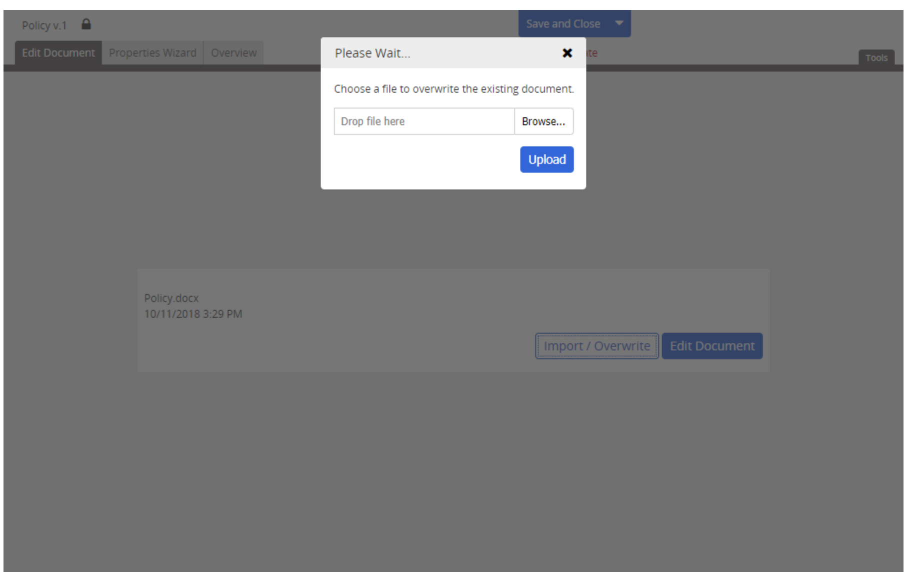
Important:

- 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.



- Click **Upload / Overwrite** and follow the prompts to upload an existing Word document as this template's contents.

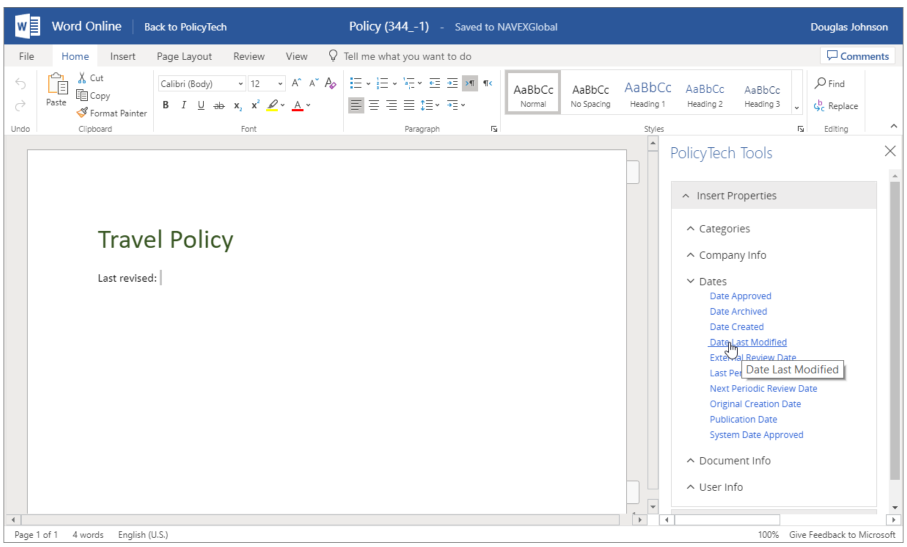


3. Do any of the following to add or modify template content:

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 User's Guidefor 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**.

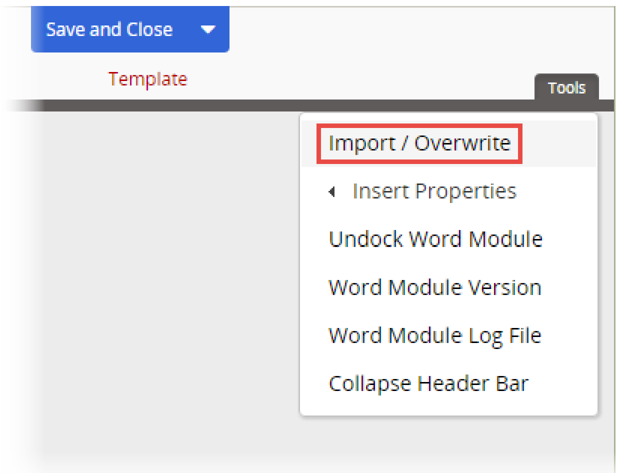
With WordModulePlus

1. Do either of the following to add content to the document:
   - Use any available Word features to write and format the document.

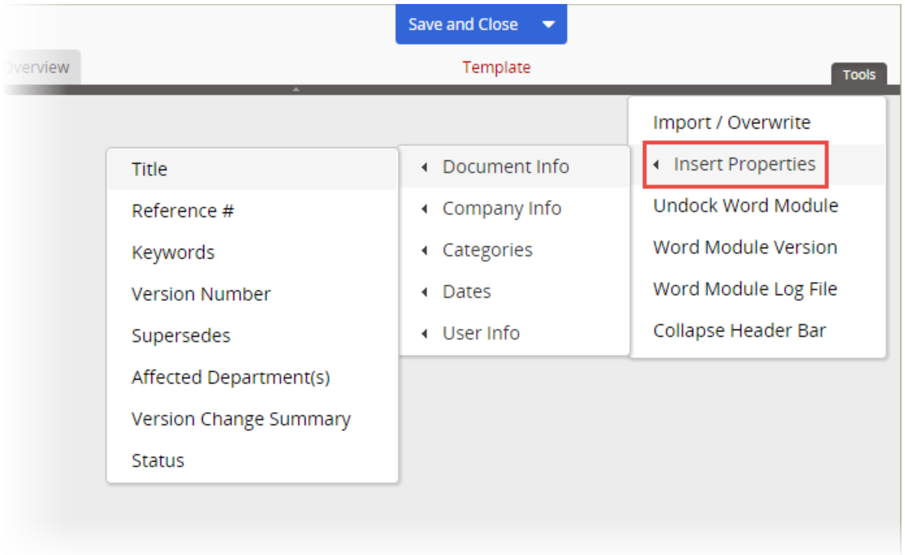
Note: If you would like to see more of the document within the window, click **Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Tools**, and then click **Expand Header Bar**.

   - 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.



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 User's Guide for detailed instructions).



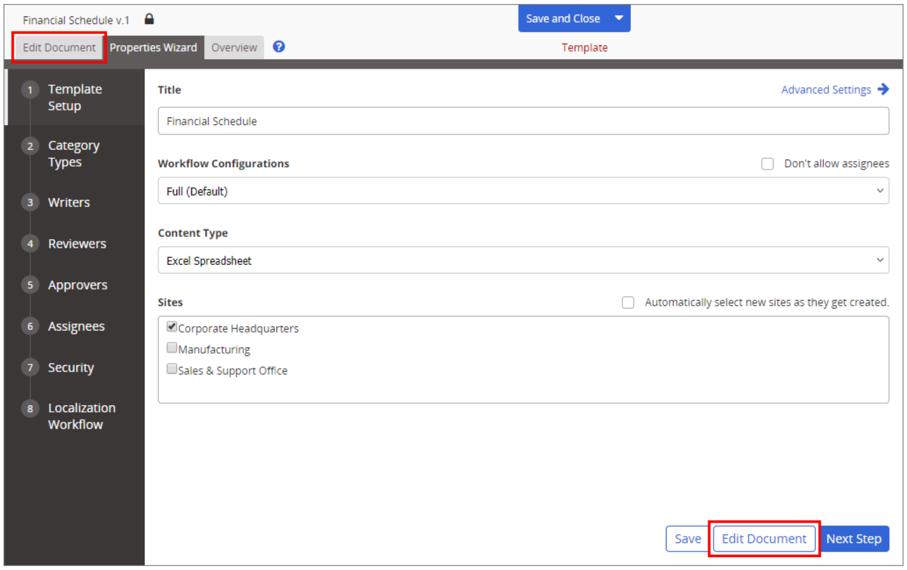
Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.

4. When you're finished adding content, do either of the following:
   - Save and close the template (see Saving and Closing a Template).
   - Finish assigning properties (see Assigning Template Properties).

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 Template Setup).

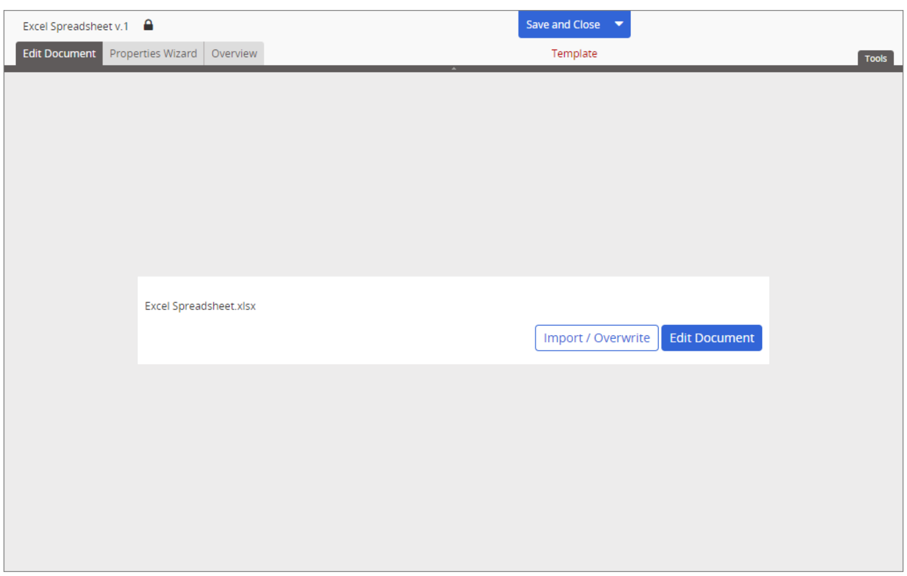
1. Do one of the following to start editing the Excel template:
   - If the template is already open, click the **Edit Document** tab near the upper left corner or the **Edit Document** button at the bottom of the currently displayed **Properties Wizard** step.



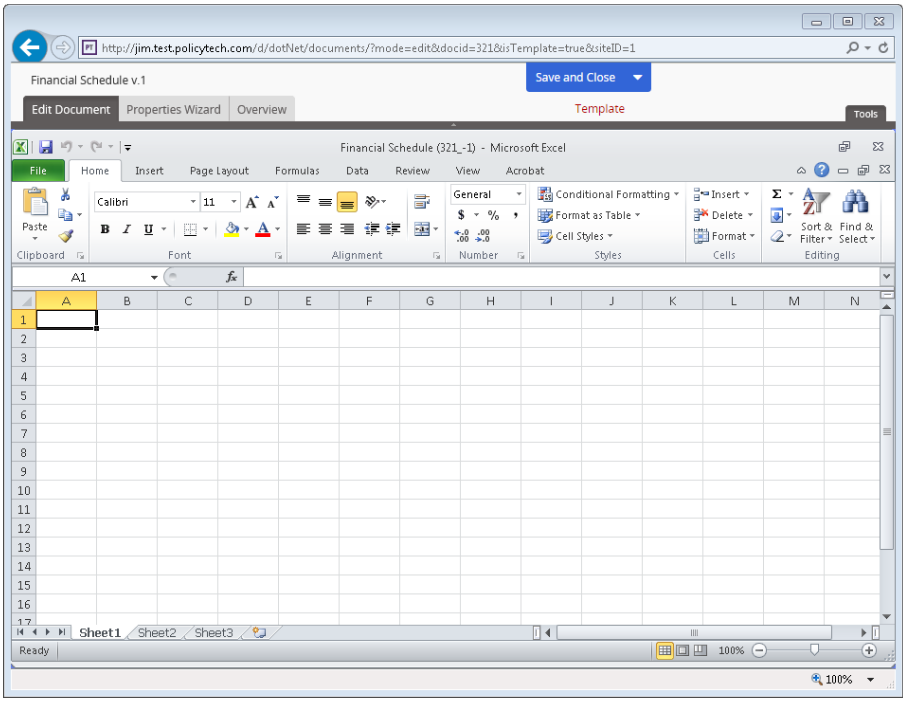
- If the template is currently closed, click **System Settings**, click **Document Setup**, and then click **Templates**. Click the template title, and then click the **Edit Document** tab or button.

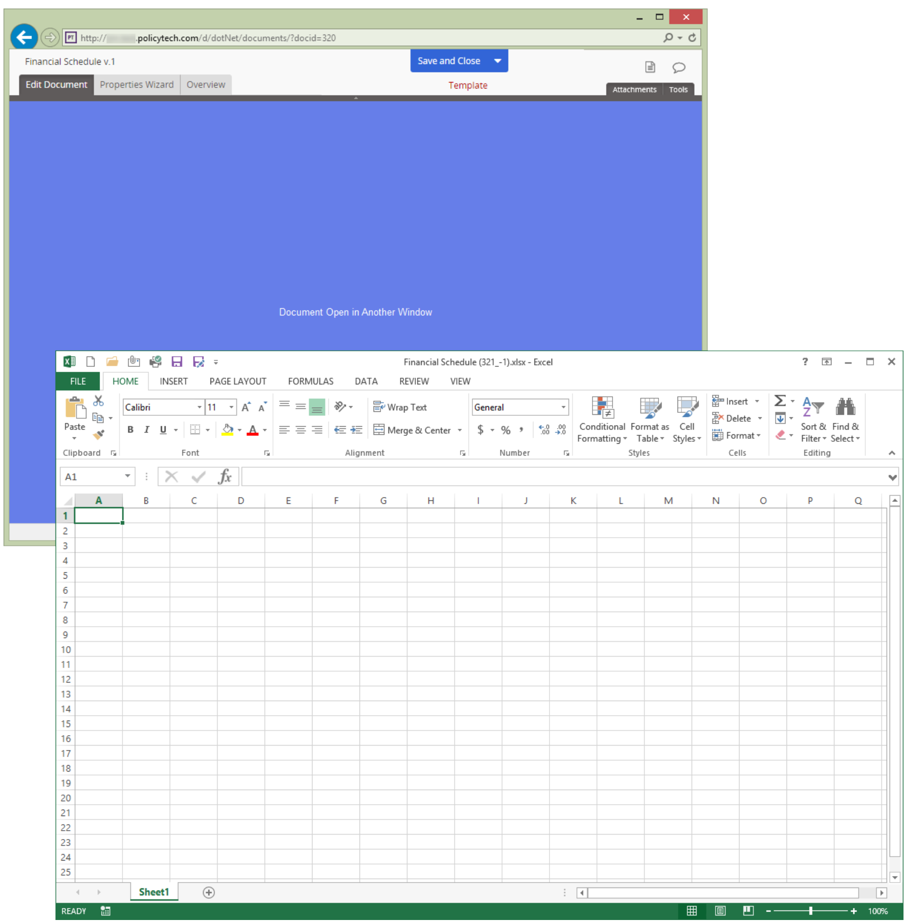
2. The way you add content to an Excel template depends on what type of Excel integration your PolicyTech system is currently using. Do one of the following:

   - If you see a prompt like the one below, continue with the instructions under With Office Online Integration.



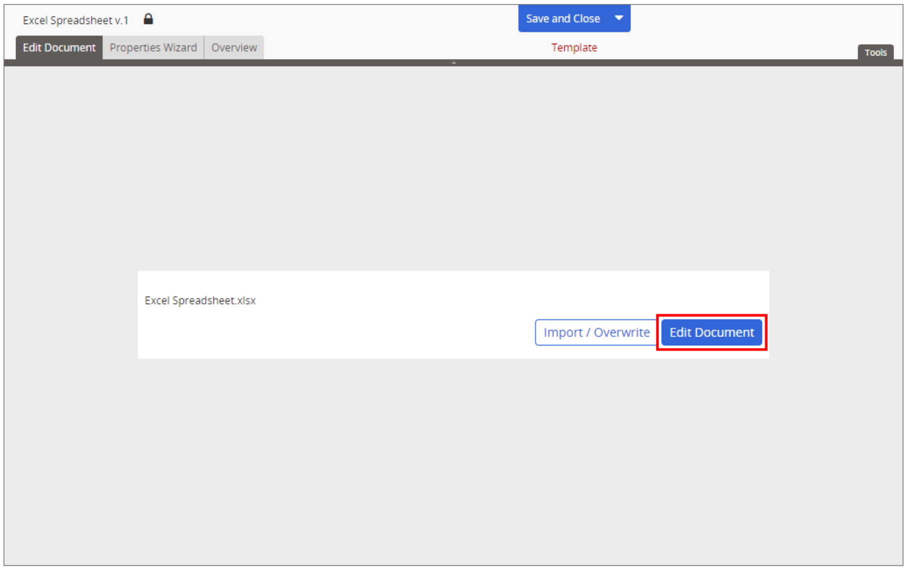
   - If the spreadsheet opens immediately, either inside the template window or in a separate Excel application window, continue with the instructions under With WordModule*Plus*.


http://jim.test.policytech.com/d/dotNet/documents/?mode=edit&docid=321&isTemplate=true&siteID=1
Financial Schedule v.1
Save and Close
Edit Document
Properties Wizard
Overview
Template
Tools
Financial Schedule (321_-1) - Microsoft Excel
File
Home
Insert
Page Layout
Formulas
Data
Review
View
Acrobat
Conditional Formatting
Format as Table
Cell Styles
Insert
Delete
Format
Sort & Filter
Find & Select
Clipboard
Font
Alignment
Number
Styles
Cells
Editing
Sheet1
Sheet2
Sheet3
Ready
100%

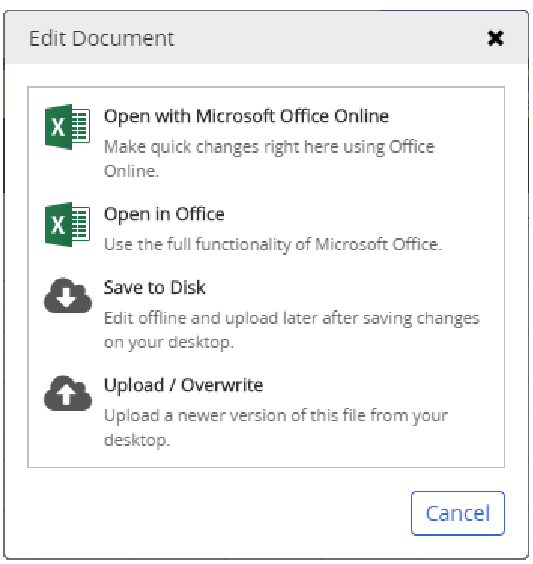

Financial Schedule v.1
Save and Close
Edit Document
Properties Wizard
Overview
Template
Attachments
Tools
Document Open in Another Window
Financial Schedule (321_-1).xlsx - Excel
FILE
HOME
INSERT
PAGE LAYOUT
FORMULAS
DATA
REVIEW
VIEW
Wrap Text
Merge & Center
Conditional Formatting
Format as Table
Cell Styles
Sort & Filter
Find & Select
Sheet1
READY
100%

With Office Online Integration

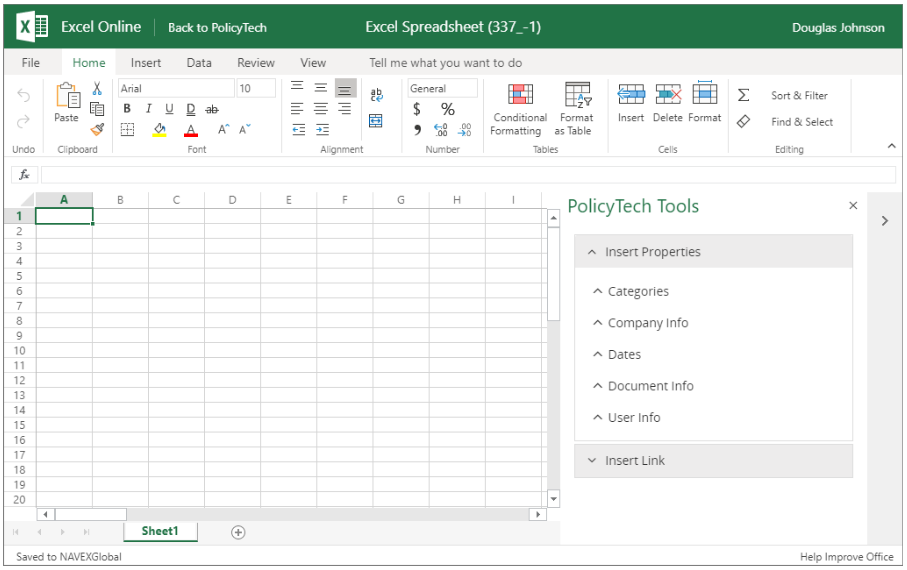
1. Click the **Edit Document** button.



2. Do one of the following:



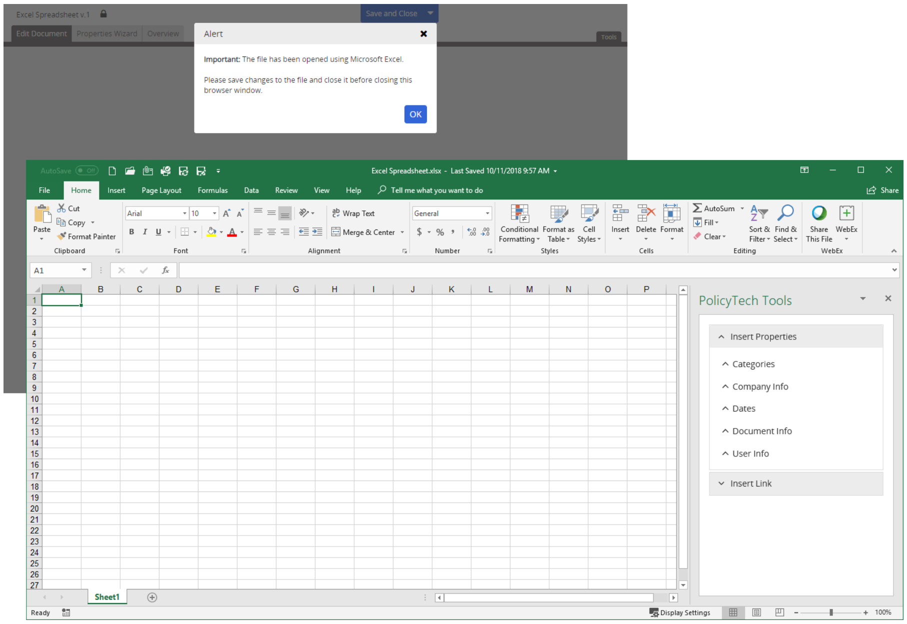
- Click **Open with Microsoft Office Online** to open a new spreadsheet in **Excel Online**.



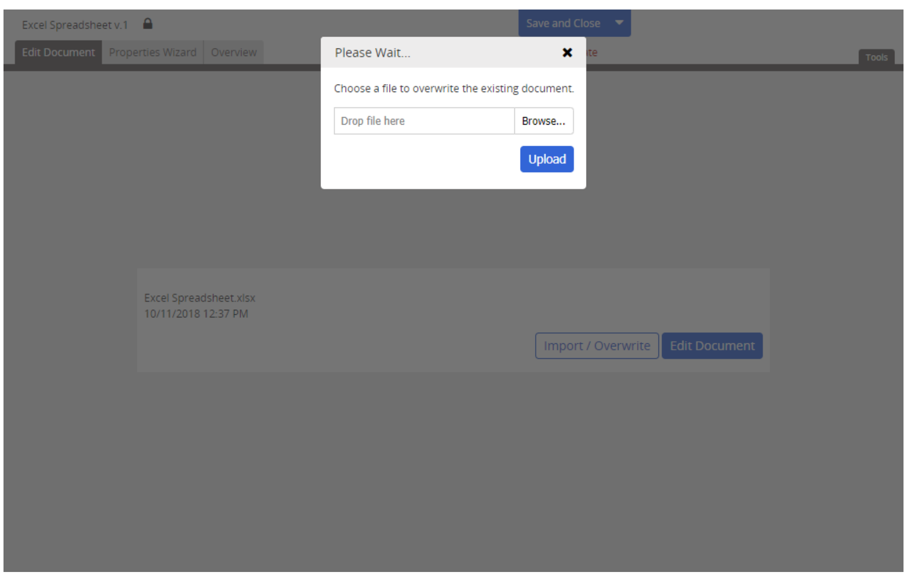
- Click **Open in Office** to open a new spreadsheet in the desktop version of Excel outside the PolicyTech template window, and then click **OK** to clear the alert.

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.



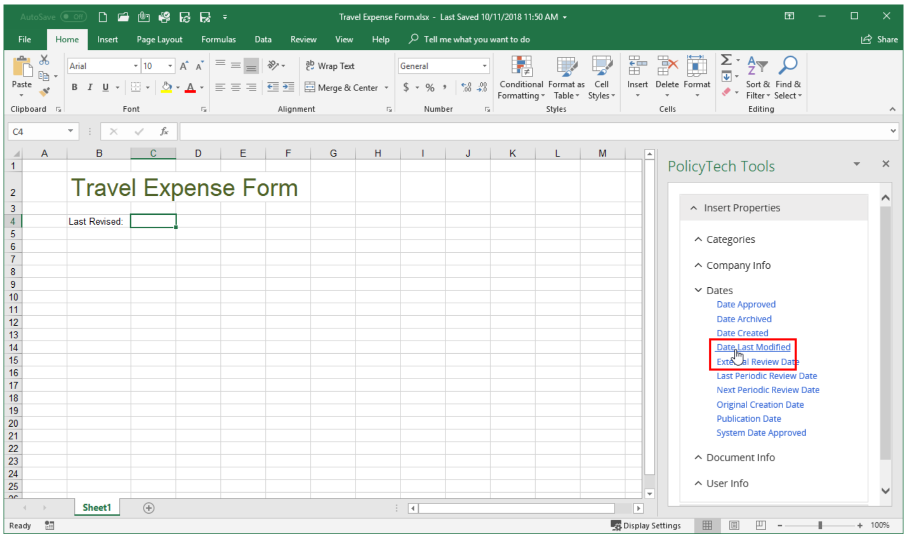
3. Do any of the following to add or modify template content:

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 [User's Guide]() 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.



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

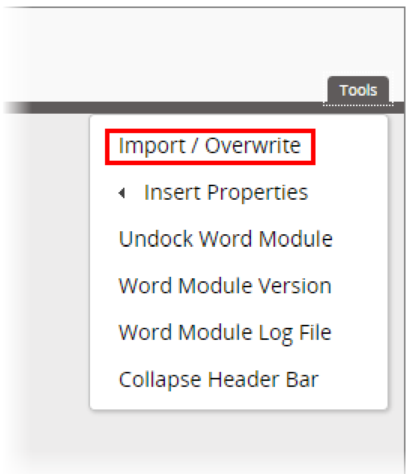
1. Do either of the following to add content to the template:

   - 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).

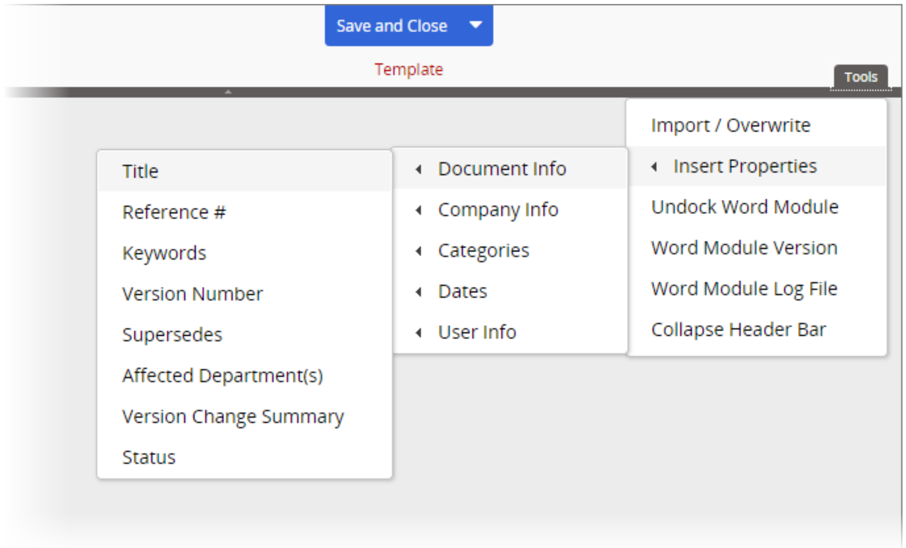
Important: Importing content completely overwrites any existing content. Copy and paste information from another spreadsheet if you need to preserve any existing content.



2. (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 User's Guidefor 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.



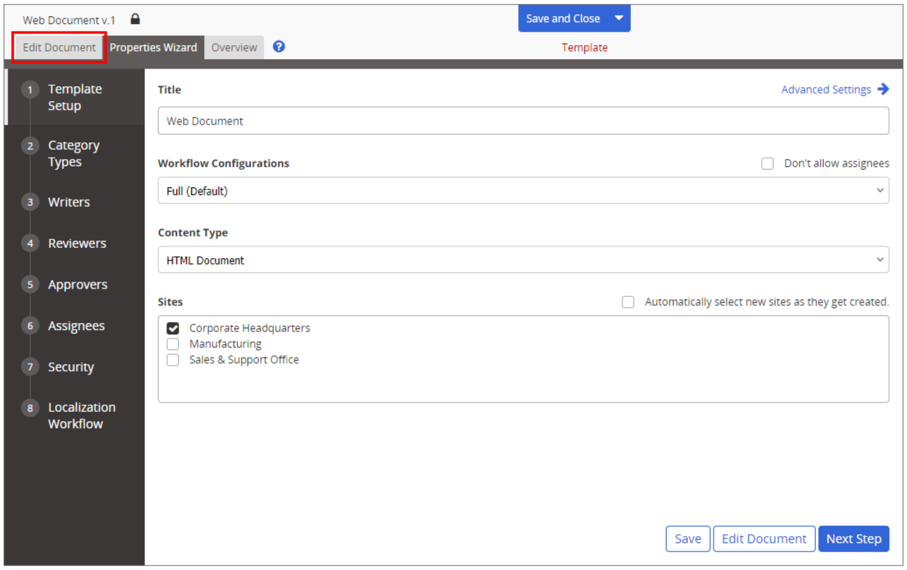
Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.

3. When finished adding content, do any of the following:
   - Save and close the template (see Saving and Closing a Template).
   - Finish assigning properties (see Assigning Template Properties).

Adding Content to an HTML Template

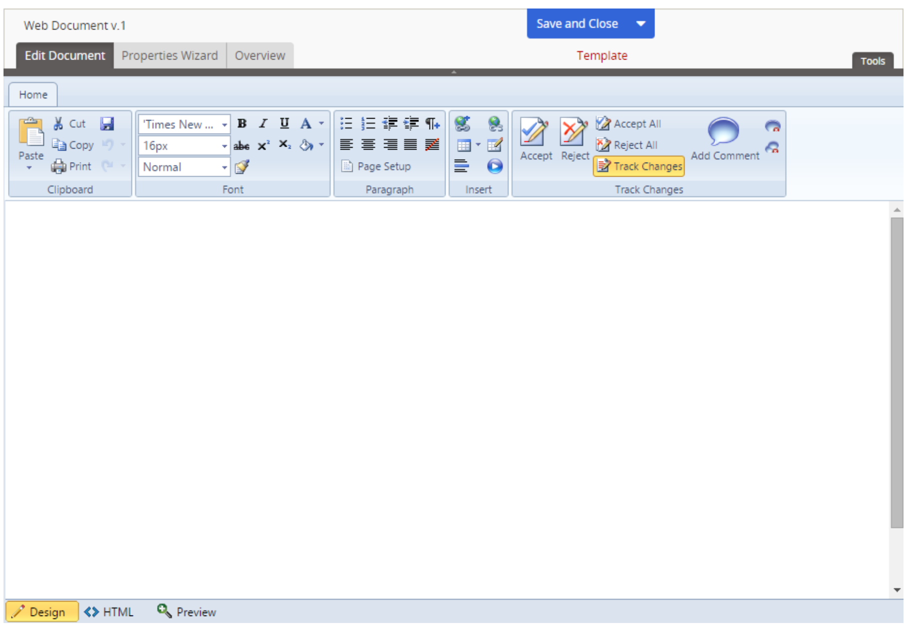
Important: Before you can add HTML content to a template, you must complete at least step **1. Template Setup** of the **Properties Wizard** (see Template Setup).

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.



- 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.



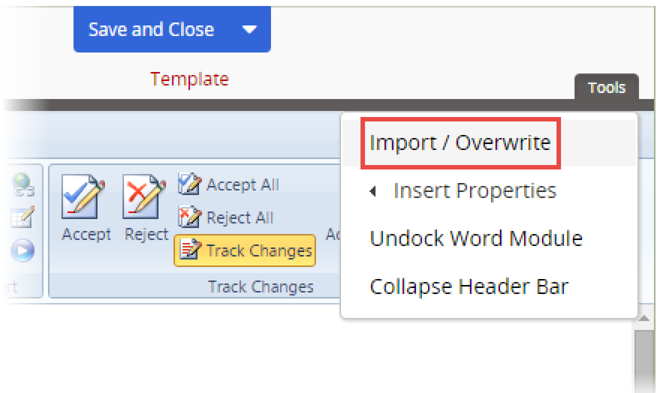
2. Do one of the following to add content to the document:

   - Use any available features to write and format the document.

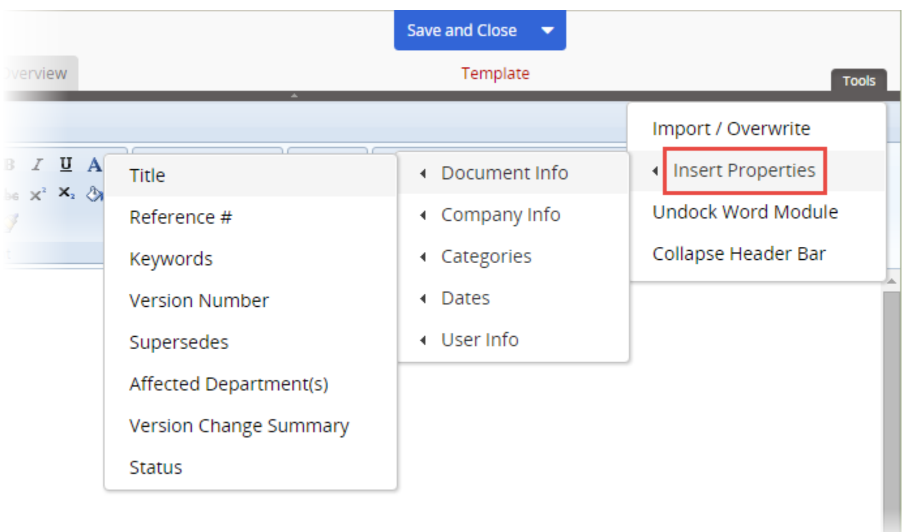
Note: If you would like to see more of the document within the window, click **Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Tools**, and then click **Expand Header Bar**.

- 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.



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 User's Guide 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:

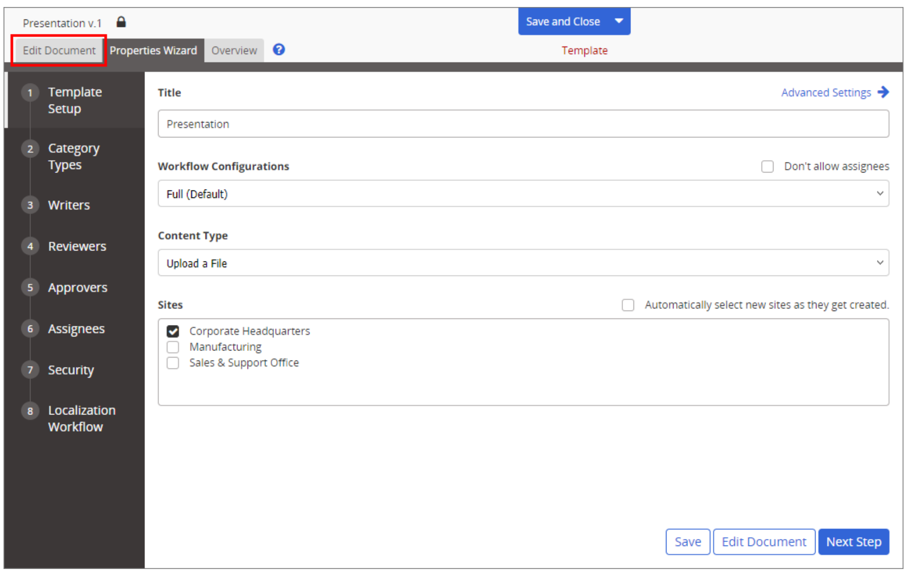
- Save and close the template (see Saving and Closing a Template).
- Finish assigning document properties (see Assigning Template Properties).

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).

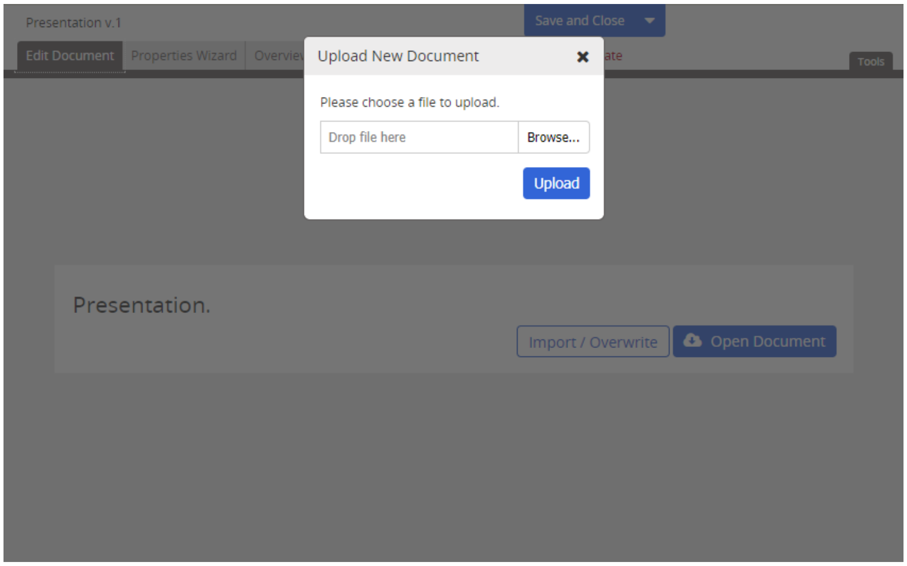
1. Do one of the following to open the document editing window:

   - 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.



   - 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.



2. Do either of the following to upload a document:

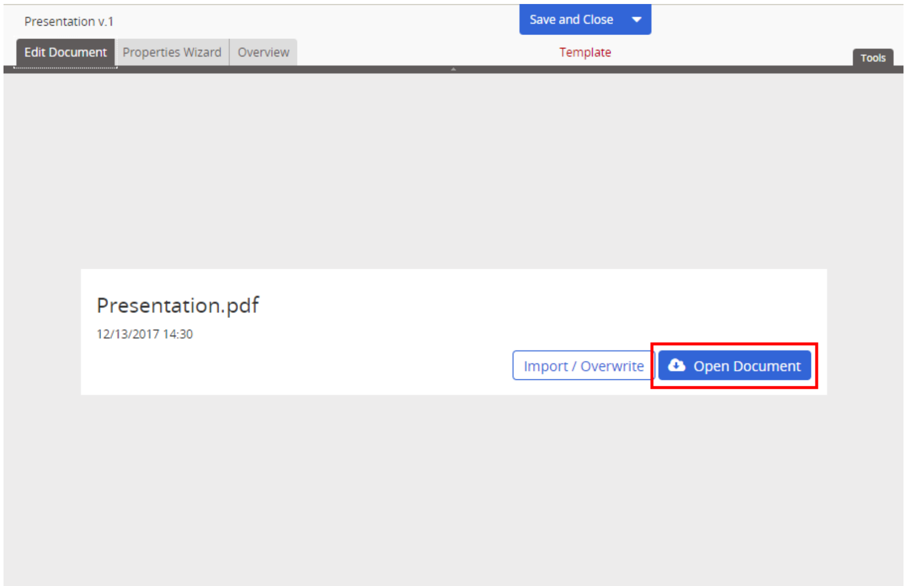
   - Click **Browse**, find and click the file you want to upload, click **Open**, and then click **Upload File**.
   - Open Windows Explorer, and then find the file you want to import. Click and drag the file onto the box that contains the text **Or drag a file here to upload it. (Optional)**, and then click **Upload**.

Note: If ever needed, you can import another file to replace the currently uploaded file's contents. See Importing Content (Template) 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**.

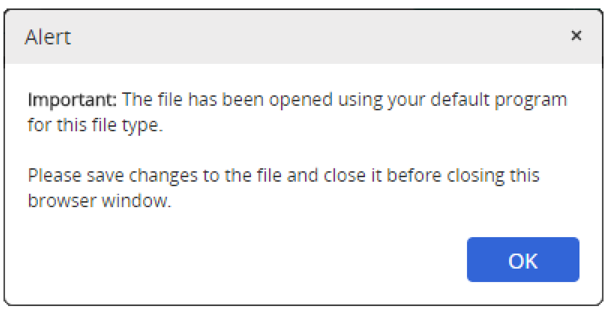
4. To view or modify the uploaded document's contents, click **Open Document**. The document opens in the Windows default program for that file type or is simply downloaded, depending on what type of file it is.

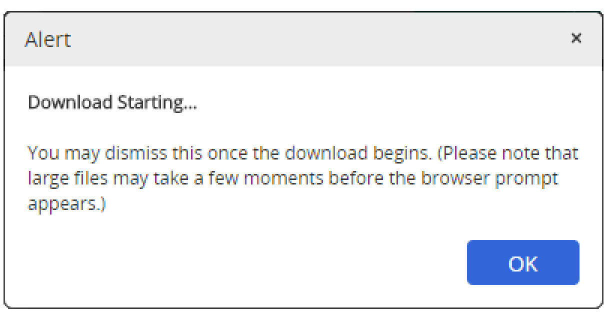
Note: Besides Word and Excel®, PolicyTech supports the upload and launching of Microsoft PowerPoint® (.pptx, .ppt) and Microsoft Visio® (.vsd, .vss, .vst, .vdx, .vsx, .vtx, .vsw) file types. You can enable the launching of any other file type. See Setting Up Document Access for details.



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**.





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 Saving and Closing a Template).
   - Finish assigning document properties (see Assigning Template Properties).

Importing Content (Template)

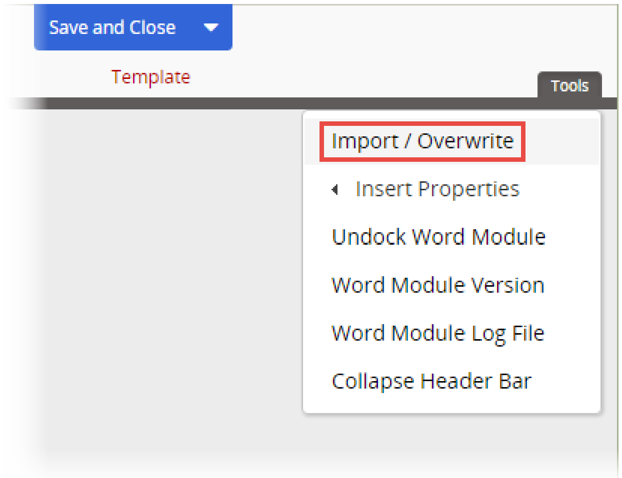
You can import a document from outside of PolicyTech as content for a template. If you import a Microsoft® Word or Excel® document, you can edit the imported content within PolicyTech. If you import any other type of file, you will see a link in the **Edit Document** page that will open the imported 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 Setting Up Document Access 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.

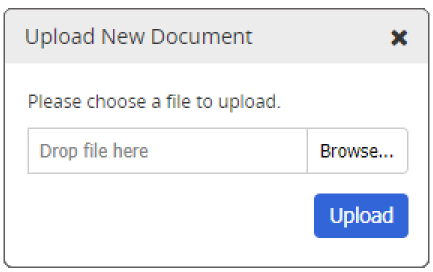
To import and overwrite the contents of a template document with the contents of an external document,

1. Open the template, and then click the **Edit Document** tab.
2. Click **Tools**, and then click **Import / Overwrite**.



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**.

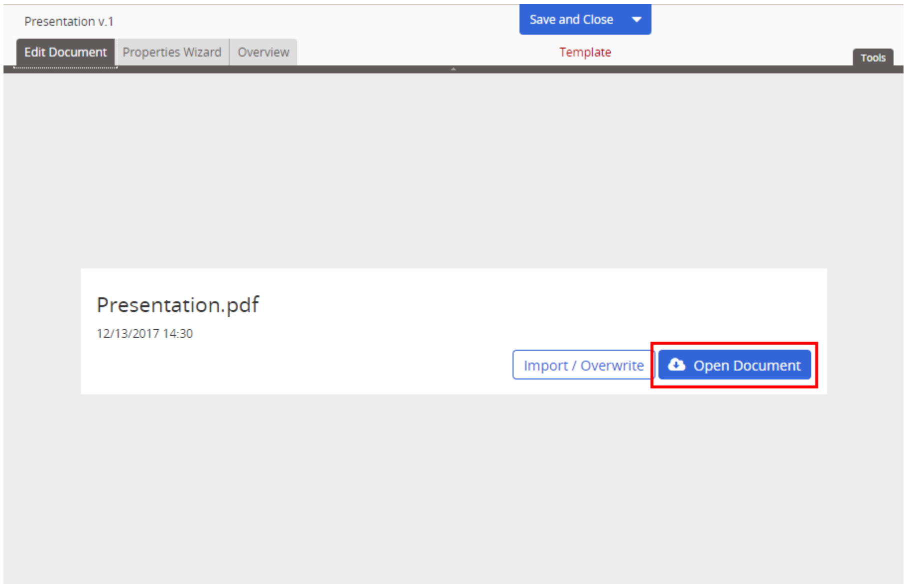


   - Open Windows Explorer, and then find the file you want to import. Click and drag the file onto the box containing the text **Drop file here**, and then click **Upload**.

4. Click **OK** when you see the alert shown below.

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 [Adding Content to an Upload File Template]()).

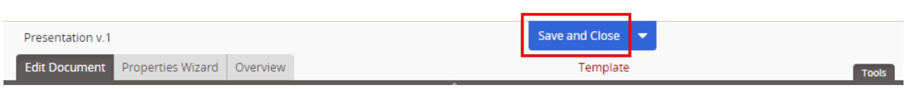
5. Close the template.

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.



Saving a Copy of a Document to Disk

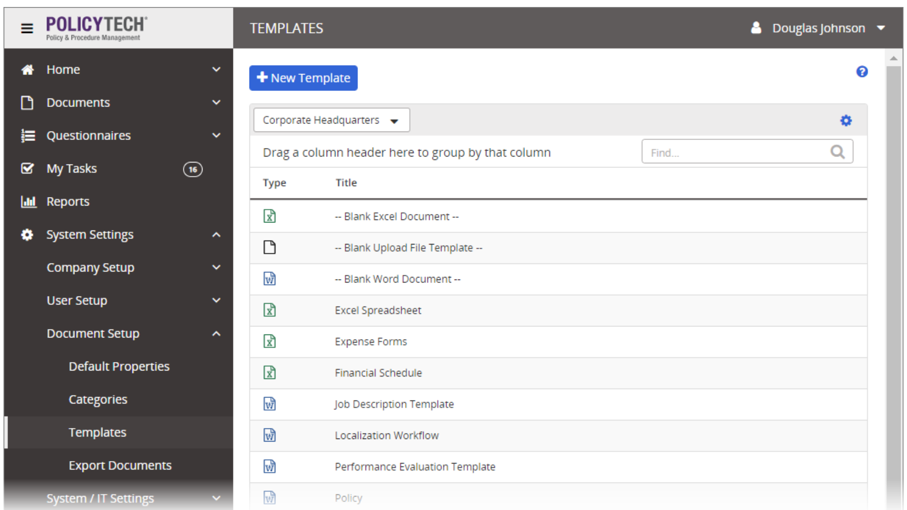
Important: PolicyTech does not track a file you save to disk and can no longer impose security restrictions on that file.

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.

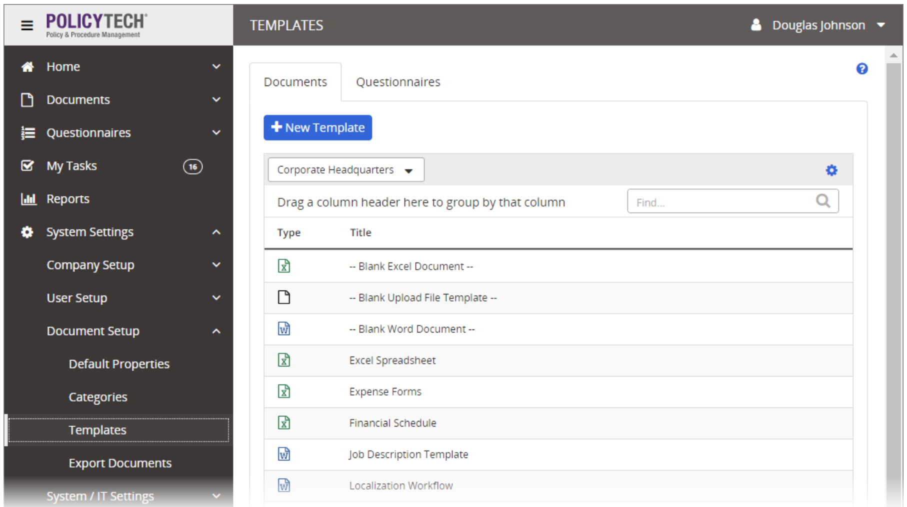
Editing a Template

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 User's Guide 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 Finding a Template 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 Finding a Template below for help finding a template in a long list)..

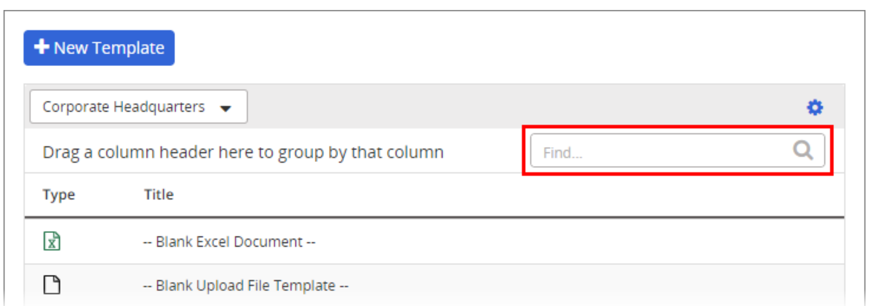


2. Make the needed changes to the template properties and document content (see Creating a Template for detailed instructions).
3. Click **Save and Close**.

Finding a Template

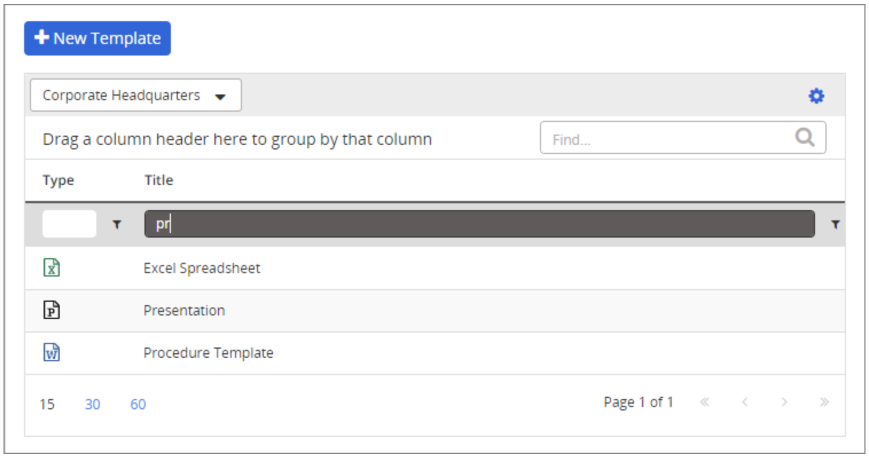
When you have many templates, use any of the following tools to find a specific one:

- 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.

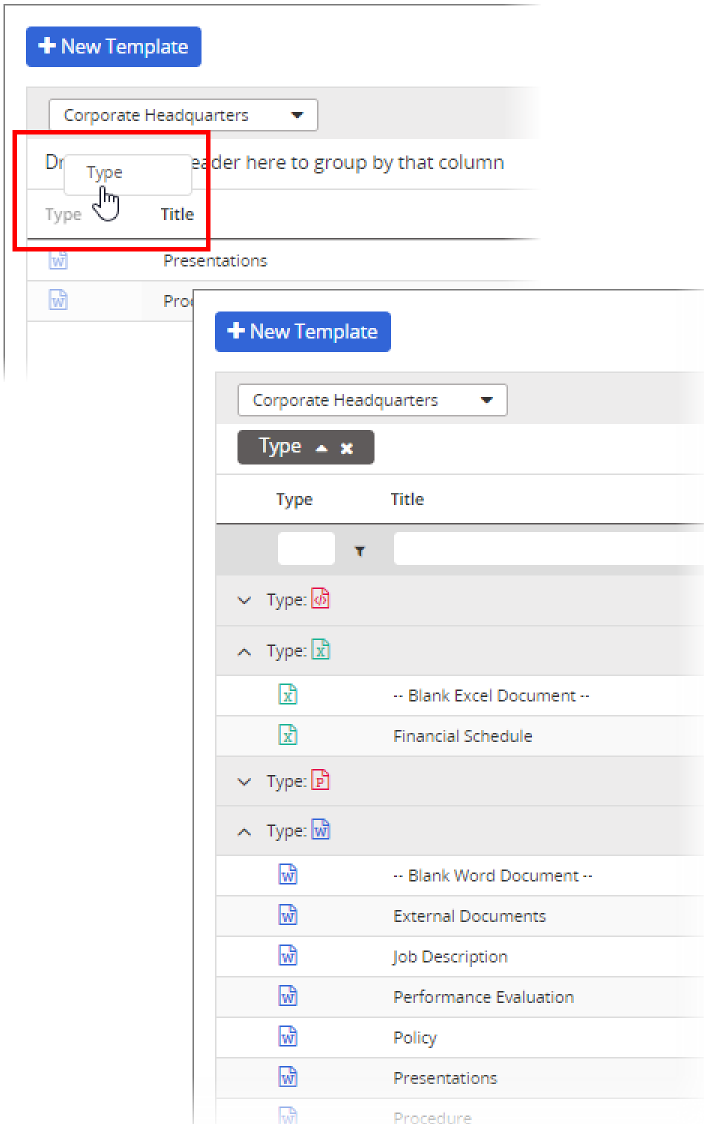


- On the right of the template grid header, click , and then click **Show Column Filters**. Then, in the **Title** column filter box, start typing any part of the template title. The template list is immediately narrowed to show only those templates whose titles contain matching text.

Note: By default, the filter finds all titles containing the text you type. To change filter behavior, click , and then click **Starts with**, **Ends with**, **Equals**, or **Does not equal**.



- 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

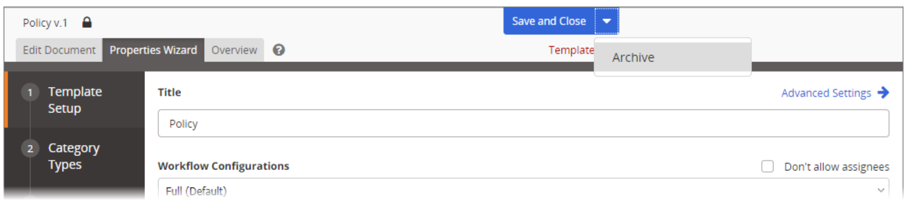
Important: A n archived template is removed from the **Template** list in the first step of the **Properties Wizard**. If documents or questionnaires have already been created using that template, their template assignments will not change. If, however, you want to permanently delete the template by 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 Finding a Template 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**.



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 Adding a Site, Assigning Roles, and Creating a Template).

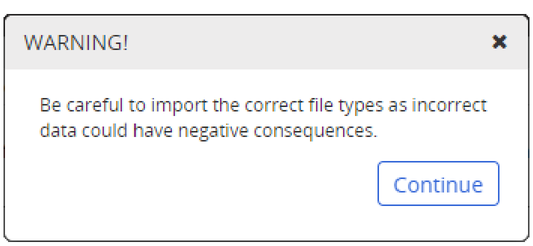
Note: If some of an owner's documents will require a different template than others, you can further group the documents by template, or you can assign the same template to all of the documents and then change the template assignments as necessary using **Bulk Edit**.

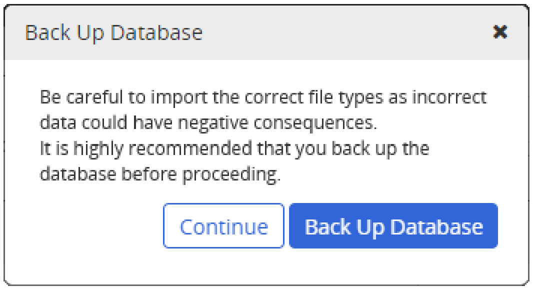
- **Bulk Edit.** You can assign all other document properties to multiple imported documents at once using **Bulk Edit** (see Bulk Edit). We recommend that you use **Bulk Edit** immediately after importing a group of documents—before you import the next group.
- **Department assignments.** Upon import, 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**.

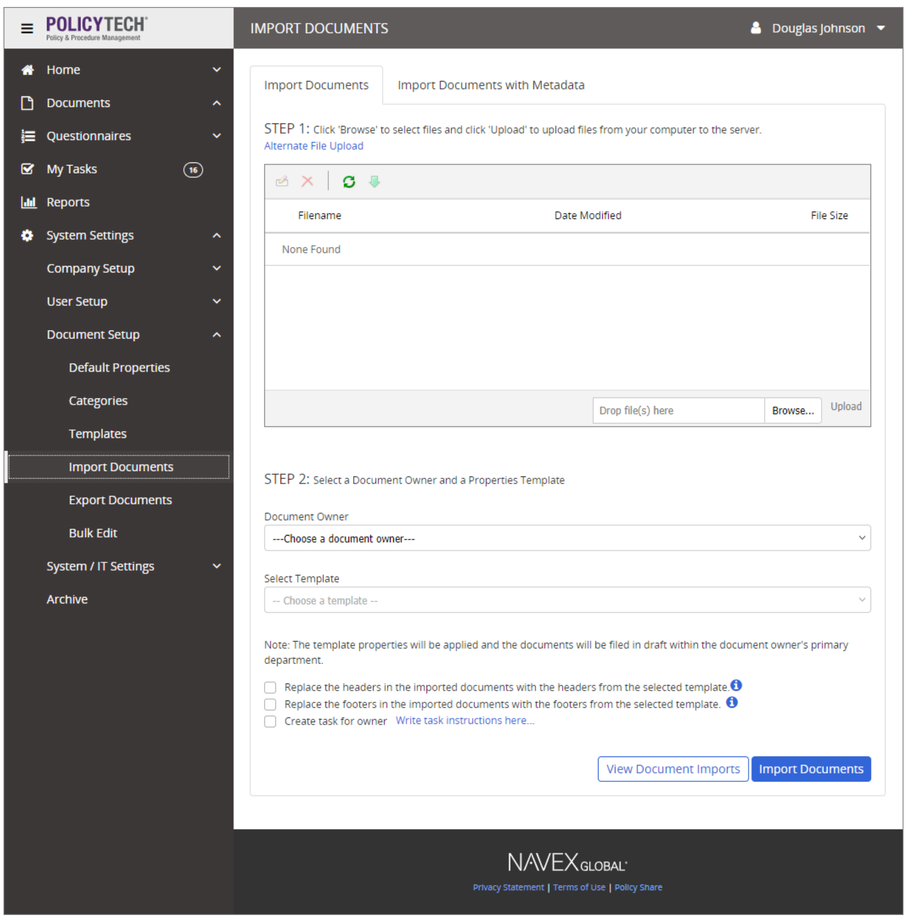
   You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).





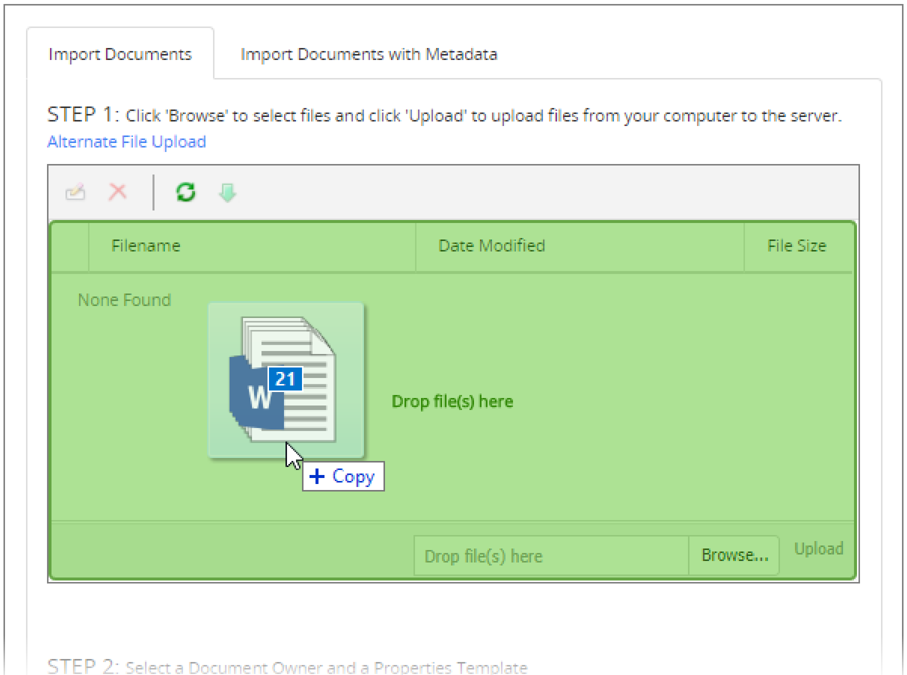
2. Do one of the following:

   - 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**.



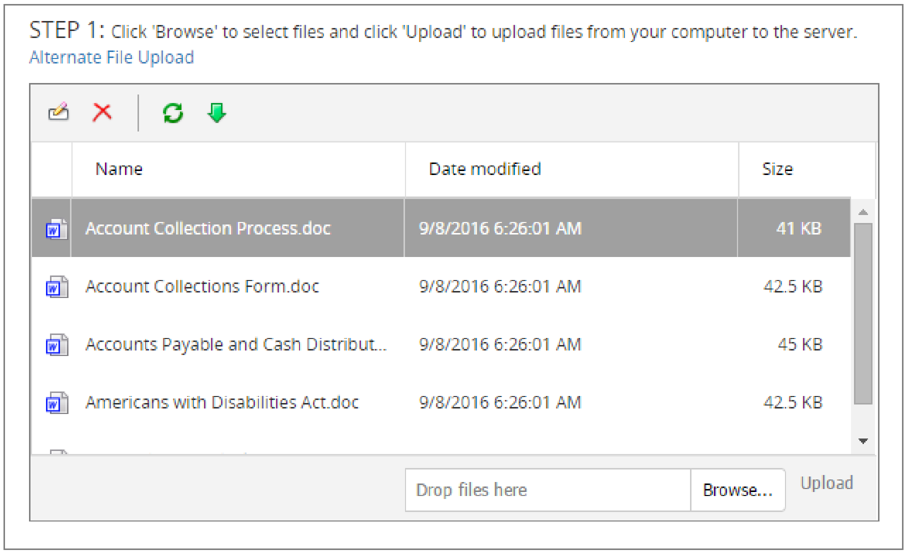
3. To select files to upload, do either of the following:

- 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.

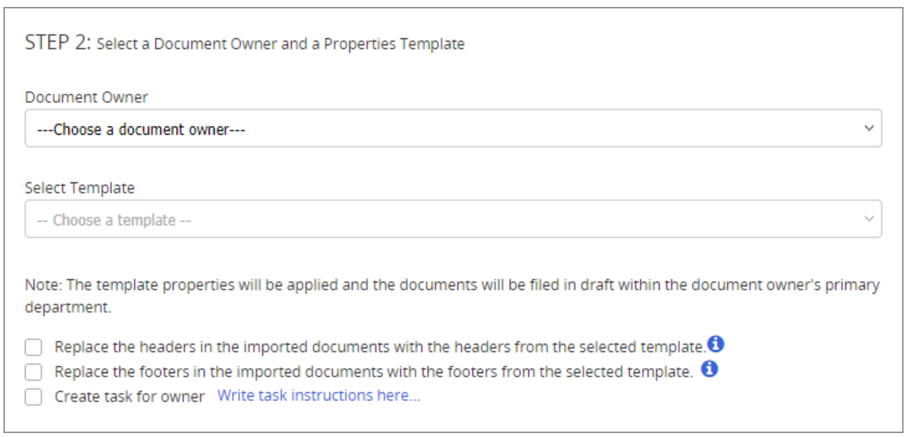


5. (Optional) Repeat step 3 as necessary to add files from other locations.

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**



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.



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.

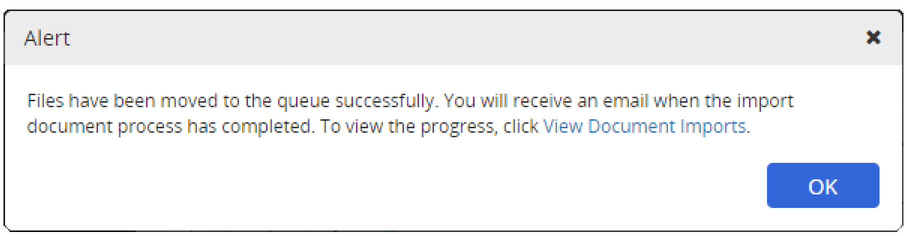
8. (Optional) If you're importing Word documents, you have the option of replacing headers and footers in the import files with those from the template. Select one or both of the following:

- **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:

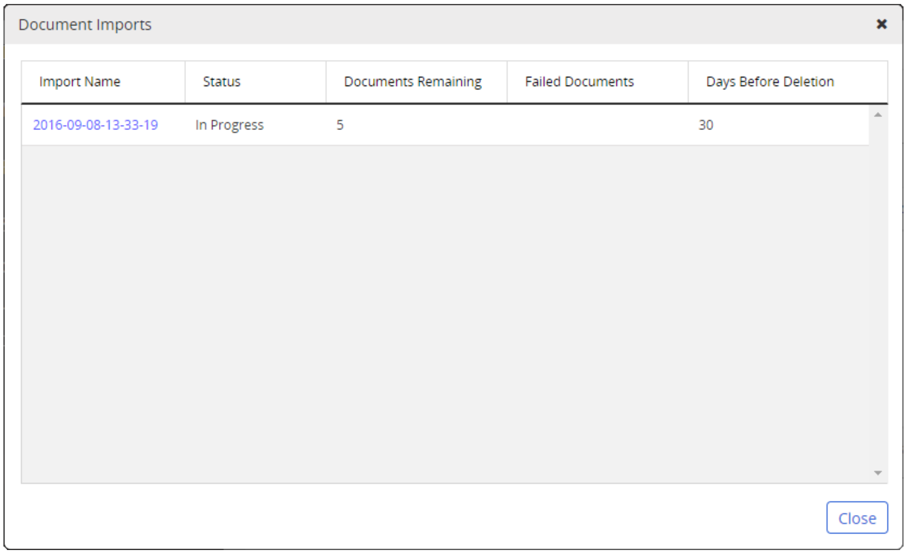
- If the template headers or footers are a different size than those in the import files, the page layout and pagination of the imported files will be affected.
- If any of the imported files are of a type other than Word, the header and footer replacement for those files will fail and be noted in the 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**.

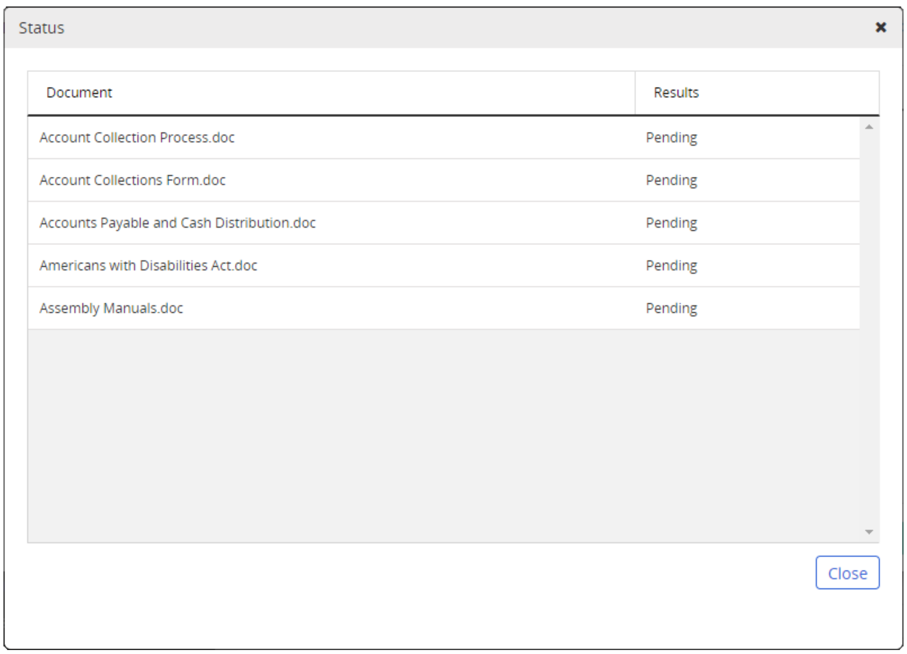


Viewing Import Status Reports

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.



If there was a problem with a specific document, the problem is described in the **Results** column.



3. Click **Close** twice.

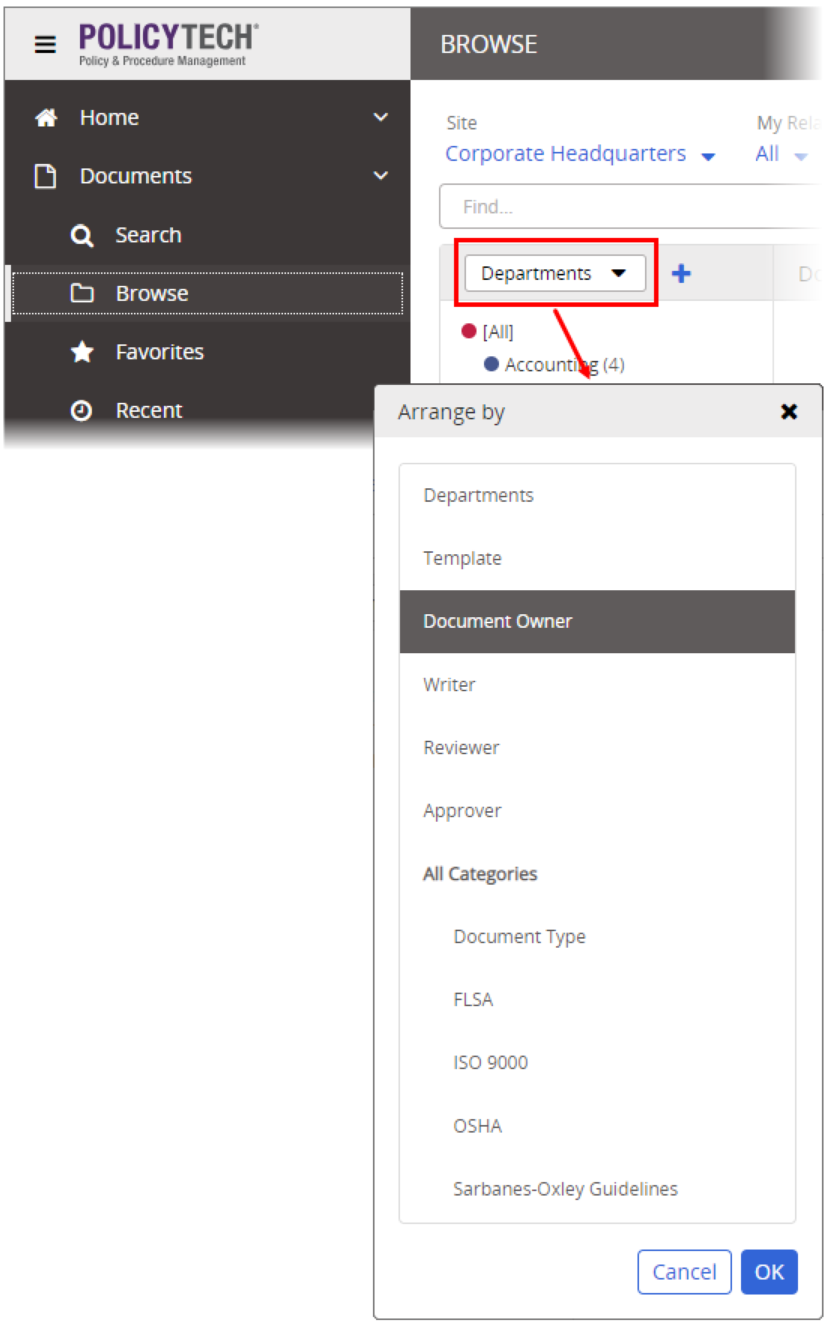
Finishing the Setup of Imported Document Properties

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 Bulk Edit for detailed instructions.

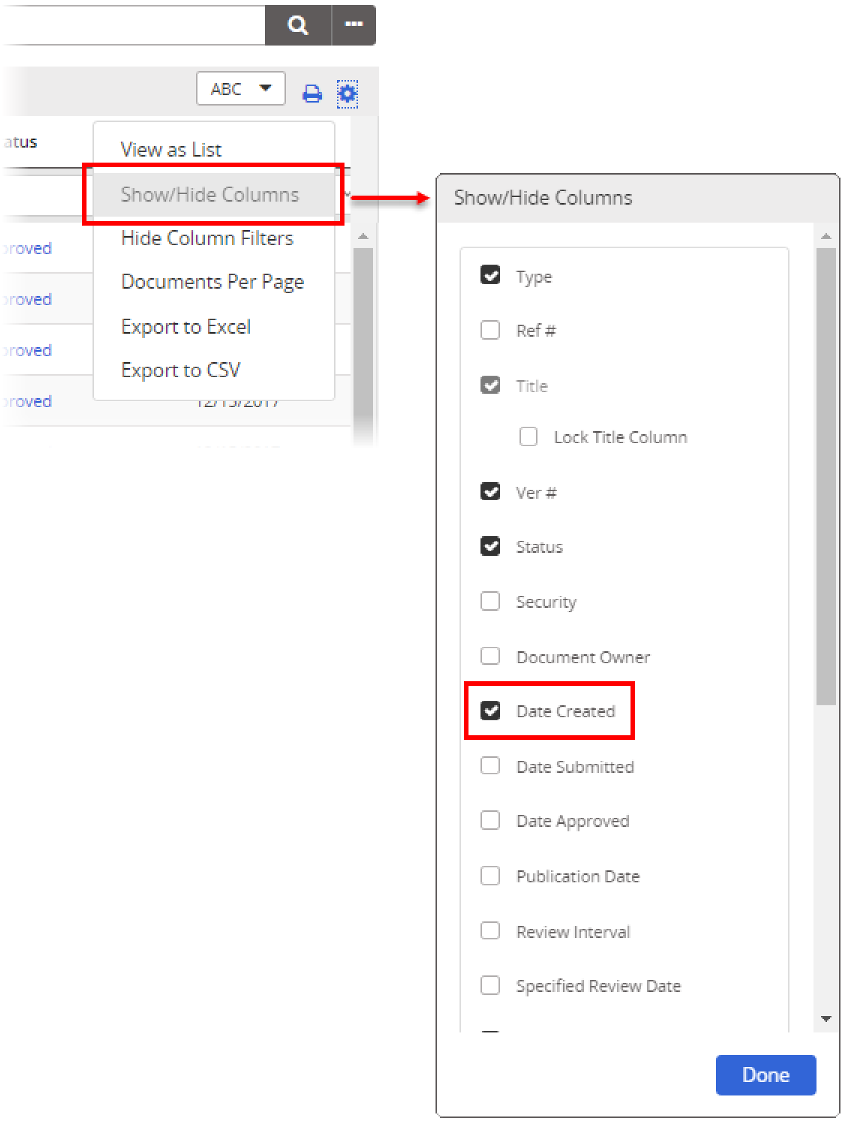
Finding Newly Imported Documents

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 About Templates and Creating a Template)

Document owners (see Adding a User Manually and Assigning Roles)

Sites (see Working with Sites and Adding a Site)

Departments (see Working with Departments and Adding a Department)

Optional configurations:

Proxy authors (see Assigning a Proxy Author)

Categories (see About Categories and Adding a Category)

Languages (see Language Files)

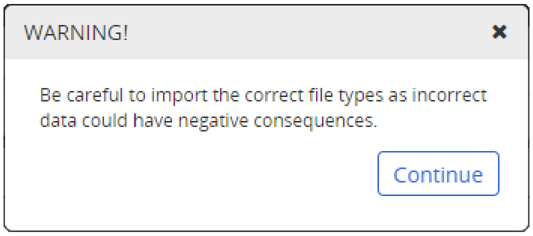
Reference number setting (see Default Document Properties: Reference Number)

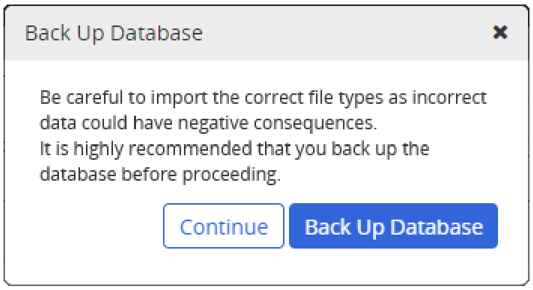
Uploading the Documents

> **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.

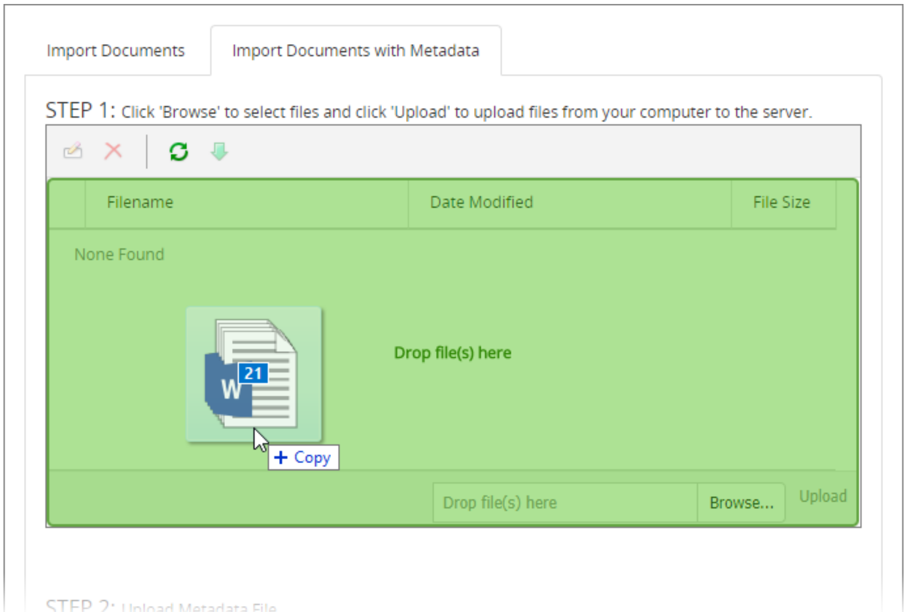
1. Click **System Settings**, click **Document Setup**, and then click **Import Documents**.

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).





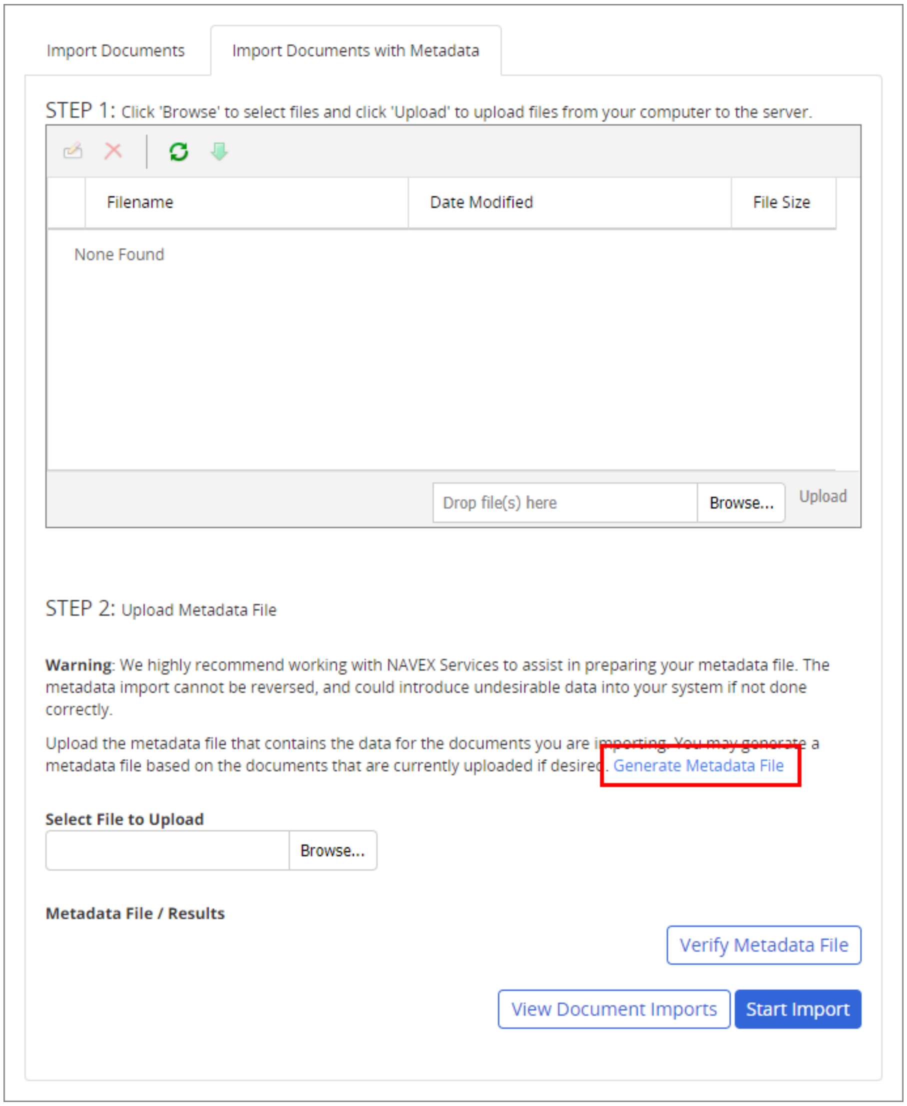
2. Do one of the following:
   - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
   - If you're prompted to back up your database, click **Back Up Database**, click **OK**, and then. when the backup is finished, click **Close**. Because backing up the database automatically logs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



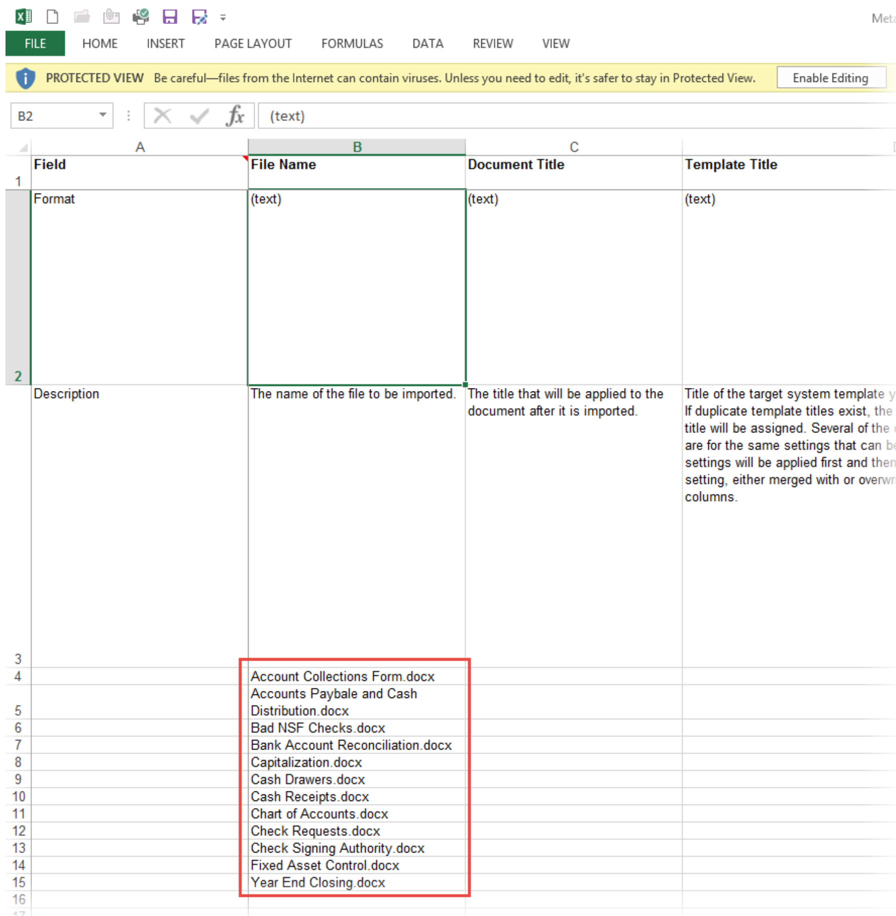
Preparing the Document Metadata Spreadsheet

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.



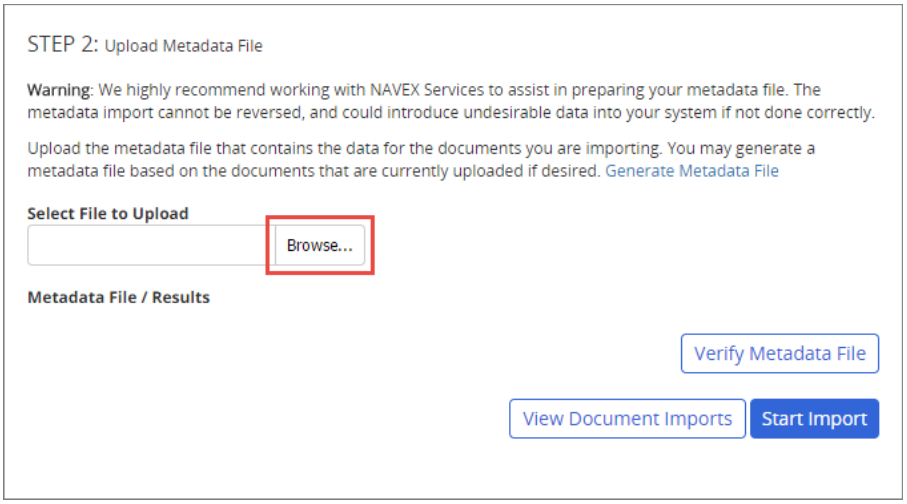
The Excel template will contain the names of the files you've already uploaded.



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

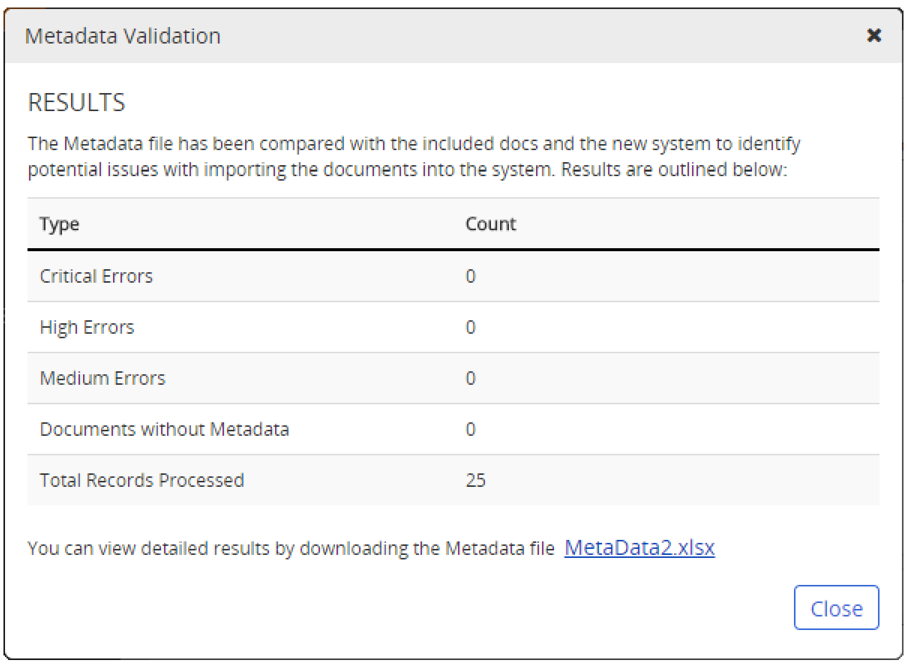
1. In the **Step 2: Upload Metadata File** area, click **Browse**, find and click the metadata spreadsheet you prepared, and then click **Open**. The name of the uploaded file appears under **Metadata File / Results**.



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**.

   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 Completing the Import 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

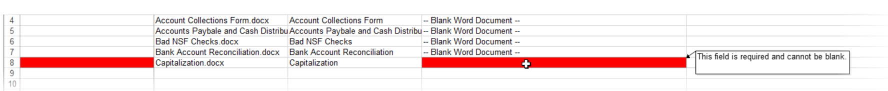
There are three error levels:

- **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.

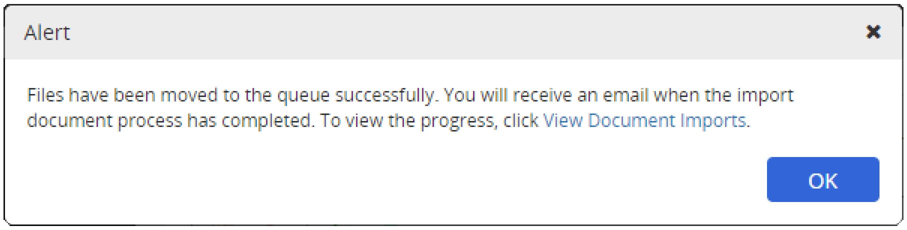


3. Open the original metadata spreadsheet you prepared and uploaded, and then make the needed changes.
4. Repeat the steps in the "Uploading the Metadata Spreadsheet" section above.

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**.



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

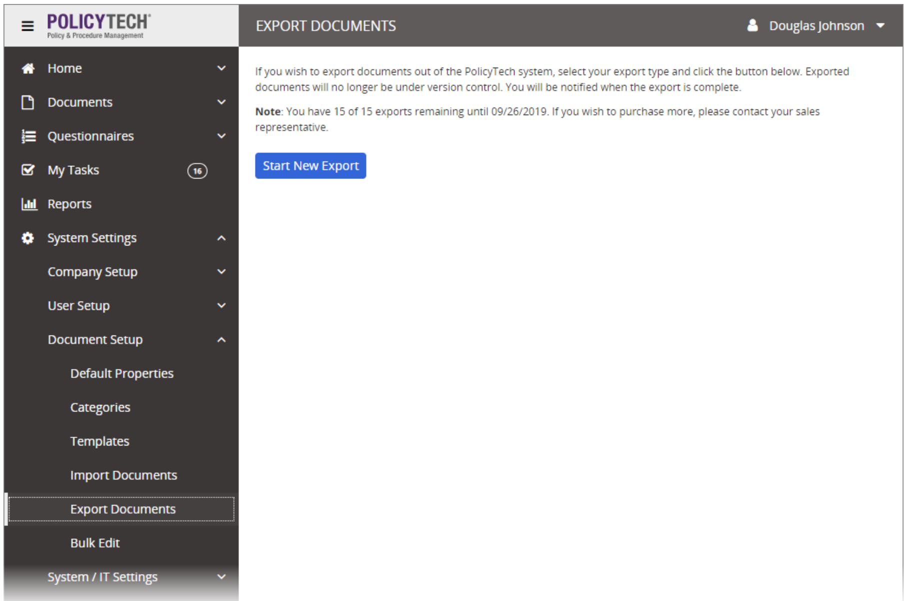
Important:

- 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 contact Client Support for guidance in order to avoid possible adverse and irreversible issues.

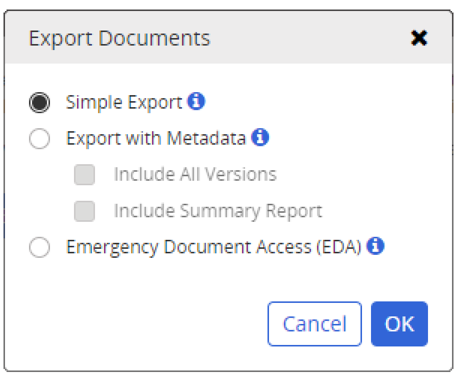
1. Click **System Settings**, click **Document Setup**, and then click **Export Documents**.

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**.

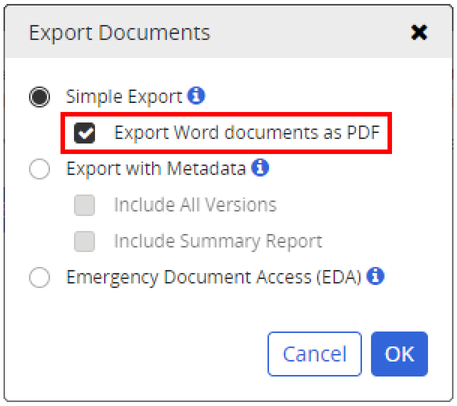


3. Do one of the following:



- 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 Set Up PDF Converter).



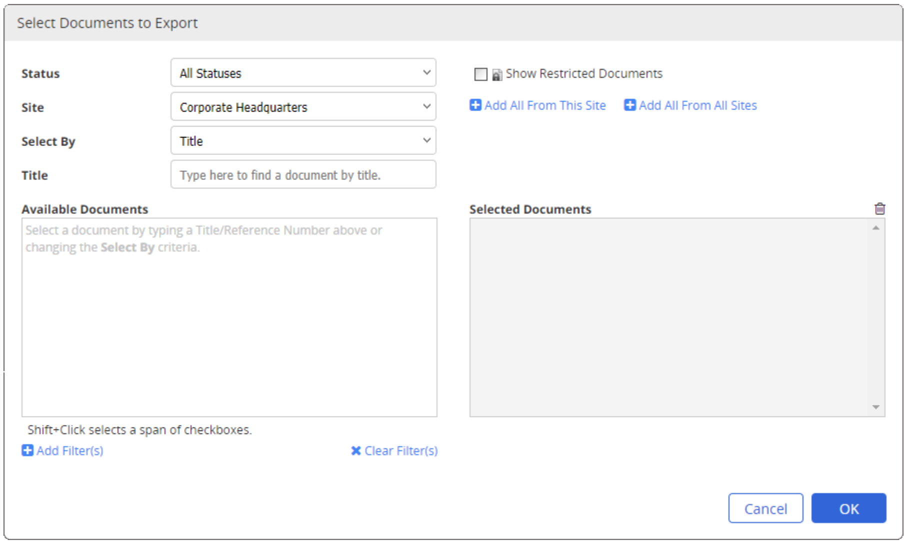
- To export the selected documents along with an Excel spreadsheet containing document metadata (certain Property Wizard settings and other document information) , click **Export with Metadata**. This option facilitates moving (exporting and then importing) documents from one PolicyTech system to another.

Important: To avoid adverse and possibly irreversible issues, please contact Client Support for guidance before attempting to move documents from one PolicyTech system to another.

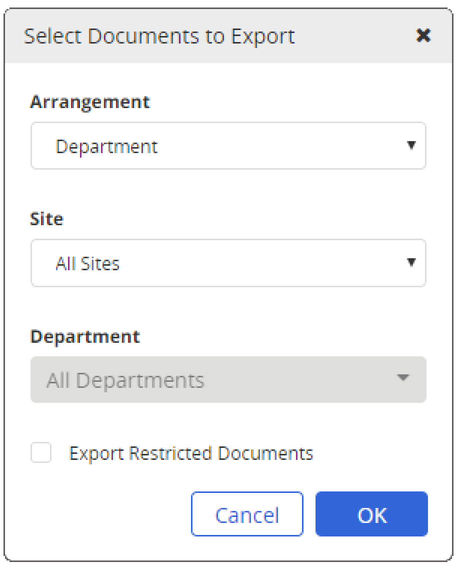
If you select **Export with Metadata**, you also have the options of including all versions of each selected document (instead of only the latest version) and including a summary report for each selected document that shows the document's properties and history.

- 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 Selecting Documents for a Simple or Metadata Export below).

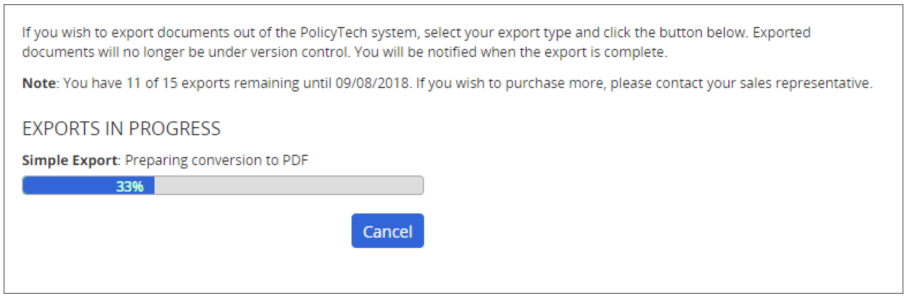


- If you selected **Emergency Document Access (EDA)**, select an arrangement, a site, and a department or category (see [Selecting Documents for an EDA Export](#) below).



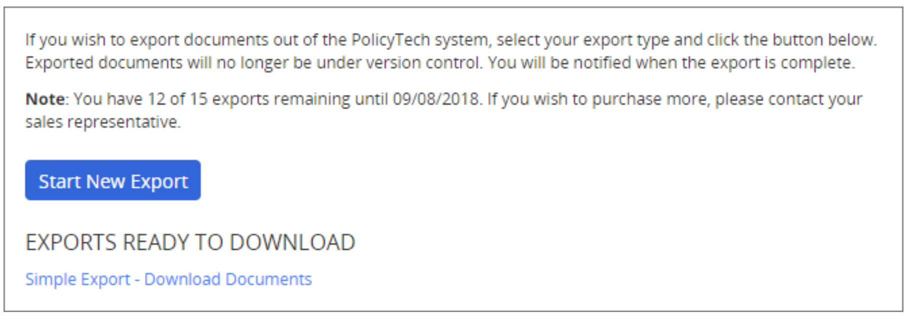
6. Click **OK** to place the export in a queue for processing by the PolicyTech server.

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.



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:

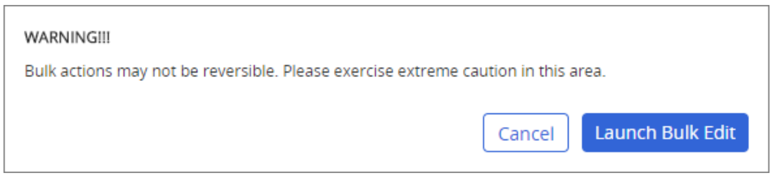
Next Review Dates after Setting as Approved
Reapplying a Template to Multiple Documents or Questionnaires

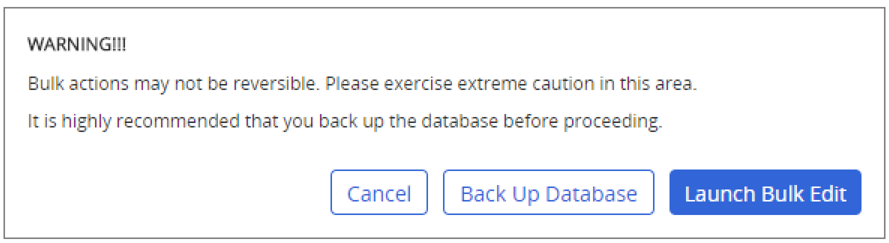
Using Bulk Edit

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).

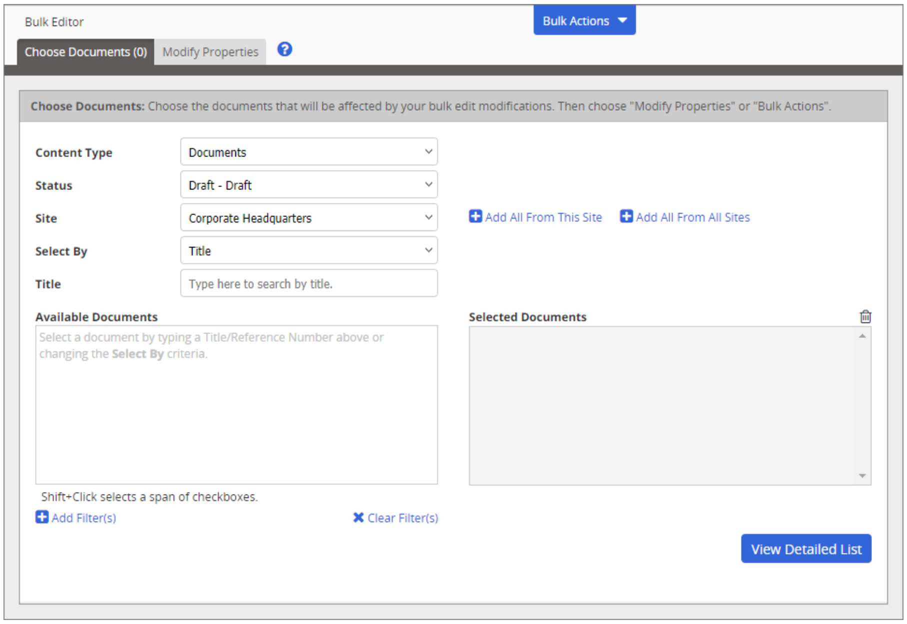




2. Do one of the following:

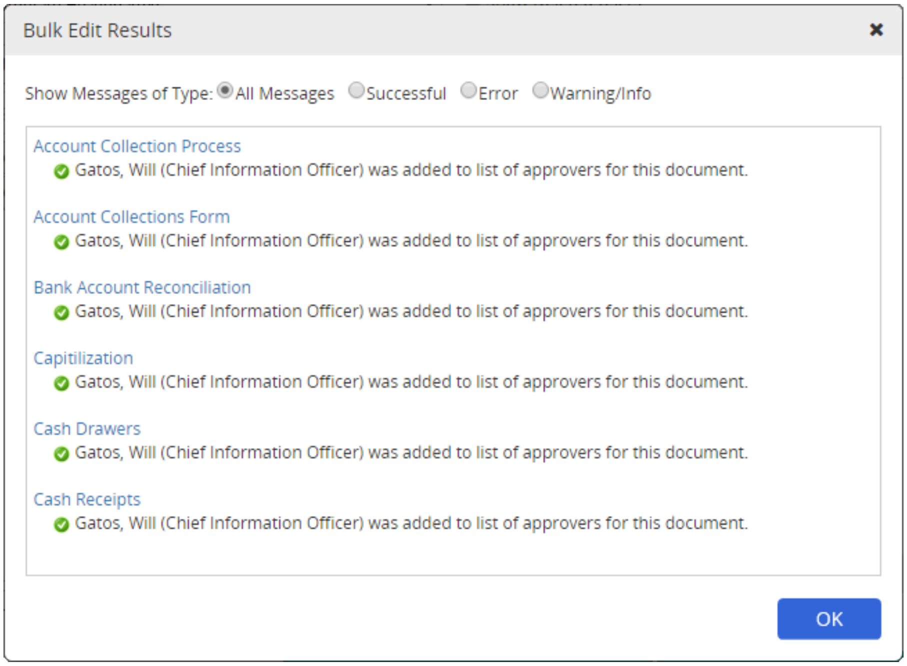
   - If your PolicyTech system is hosted by NAVEX Global, click **Launch Bulk Edit**.
   - If you're prompted to back up your database, click **Back Up Database**, click **OK**, and then. when the backup is finished, click **Close**. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat step 1 above. Then, on this step, click **Launch Bulk Edit**.

   The **Bulk Editor** opens in a separate window.



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 Modify Properties below for details.
   - Use **Bulk Actions** to change the workflow status of or archive the selected documents. See Bulk Actions 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.

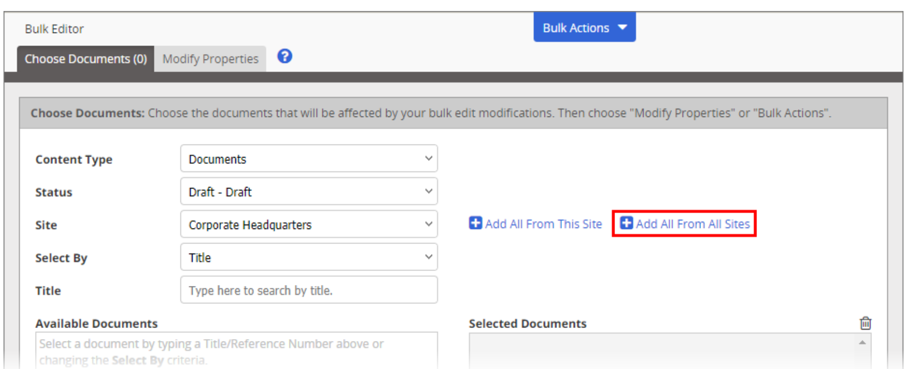
Note: All message types are shown by default. You can also choose to see only success or error messages.



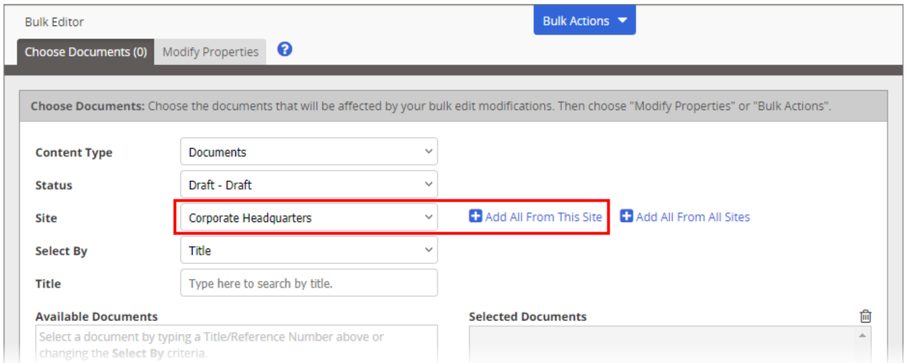
6. When finished, close the **Bulk Editor** window.

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**.



   - To select all documents/questionnaires from a specific site, select the site, and then click **Add All From This Site**.



- 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.

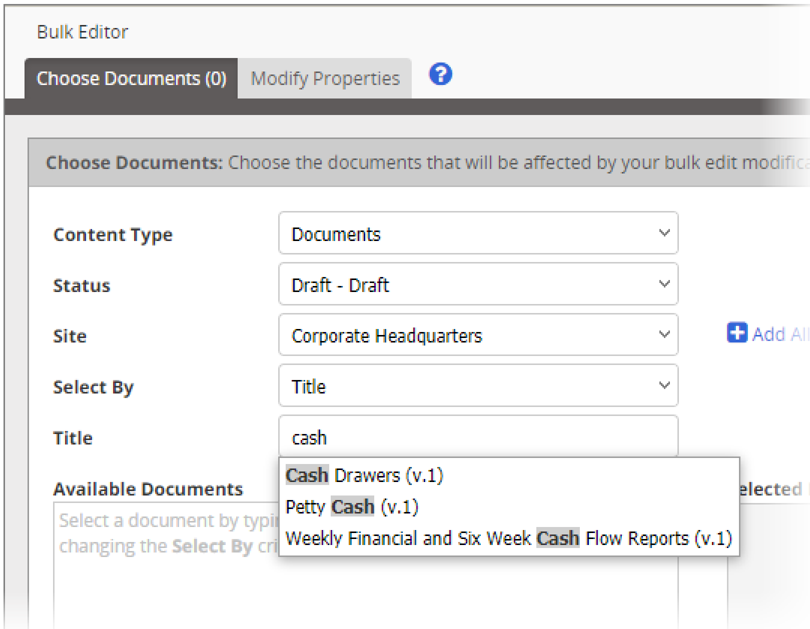
Note: If you change the status after selecting documents/questionnaires, you will be prompted to click **Yes** to clear the current selections and switch to the different status.

  - 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.

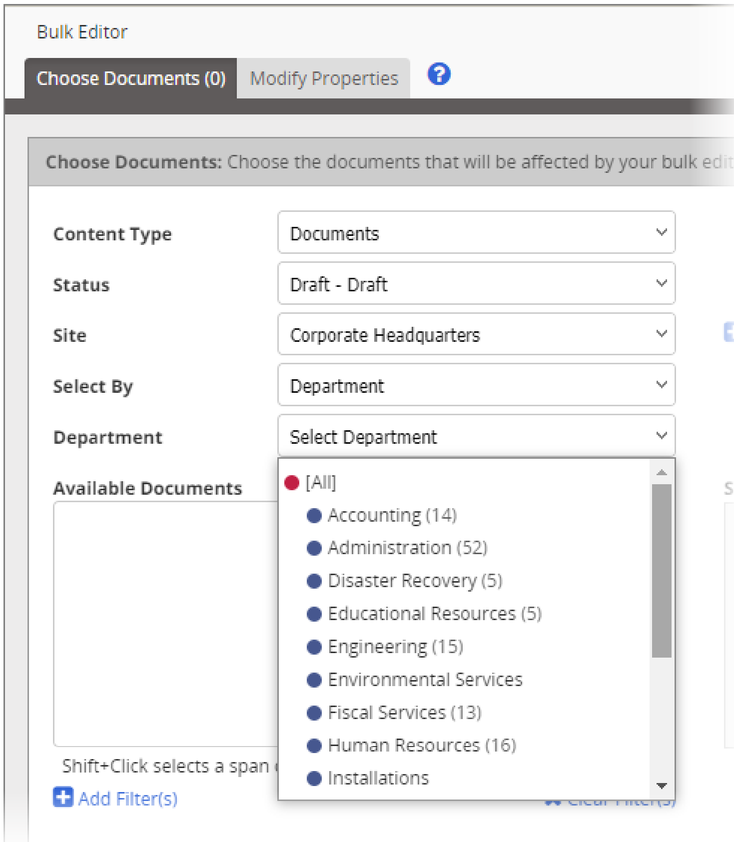
    If you selected **Title** or **Reference #**, start typing any part of a document /questionnaire title or reference number you want to find. After typing at least three characters, a list of titles or reference numbers appears containing the characters you typed. Click a title to select the document/questionnaire.

Note: With **Title** and **Reference #**, you are limited to selecting one document/questionnaire at a time.



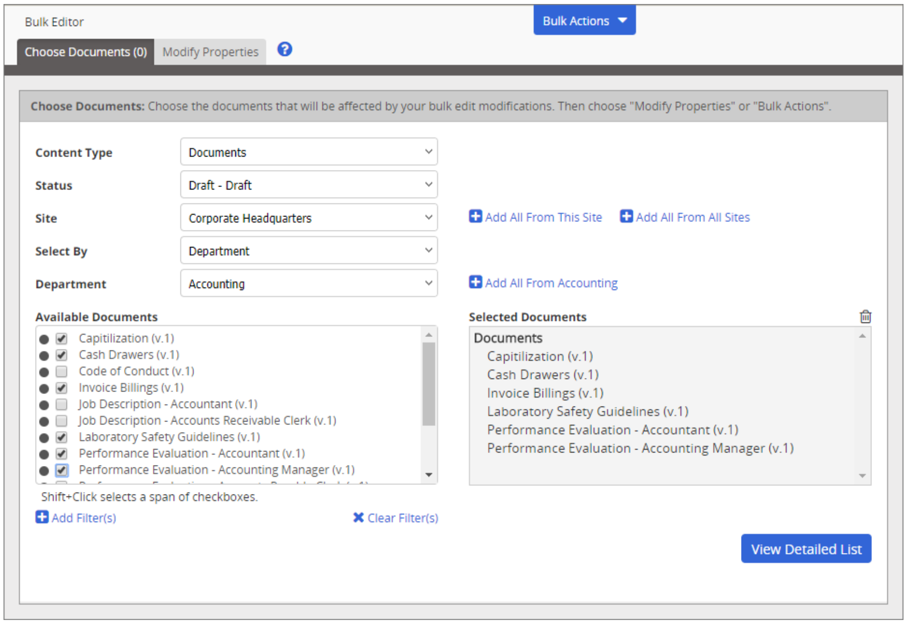
If you made any other **Select By** choice, select an item to show the documents/questionnaires assigned to it. For example, if you chose **Department**, then, in the **Department** list, click a department name.

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.



A list of documents/questionnaires corresponding with the **Select By** item you chose is displayed. Select the those you want added to **Selected Documents**.

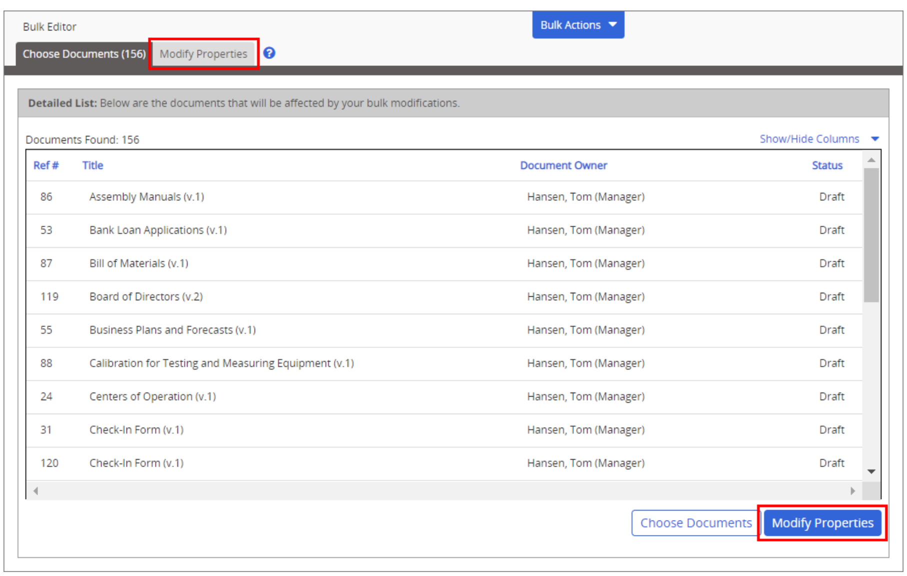
Note: If you see the **No documents found...** message, then there are no documents/questionnaires in the currently selected status and site that are assigned to that item.



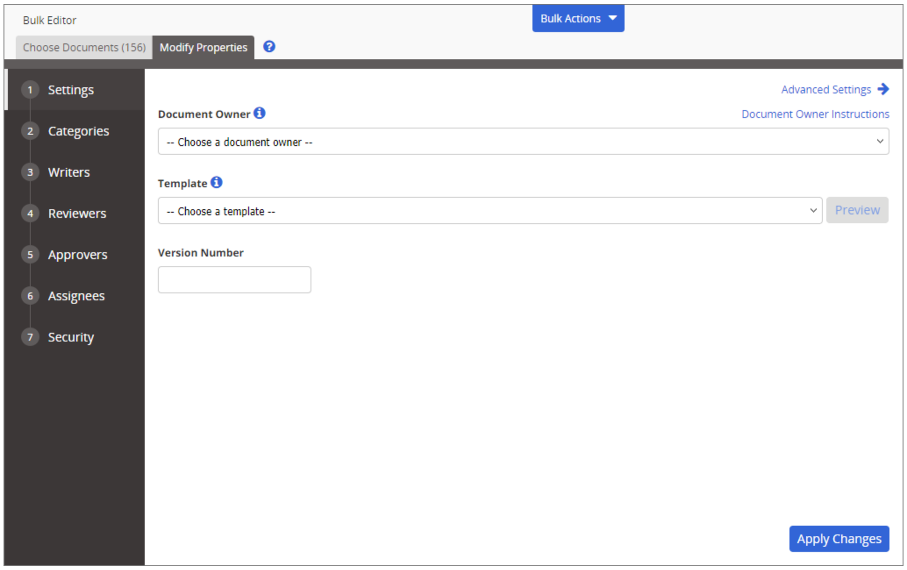
5. (Optional) To view more information about the documents/questionnaires you've selected, click **View Detailed List**. You can then use **Show/Hide Columns** to add or remove columns, and you can click a column header to sort the list by that item of information.

Modify Properties

1. Click the **Modify Properties** tab or button.



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 details on the settings and assignments in the steps, see "Assigning Properties" in the User's Guide.



2. Do any of the following:

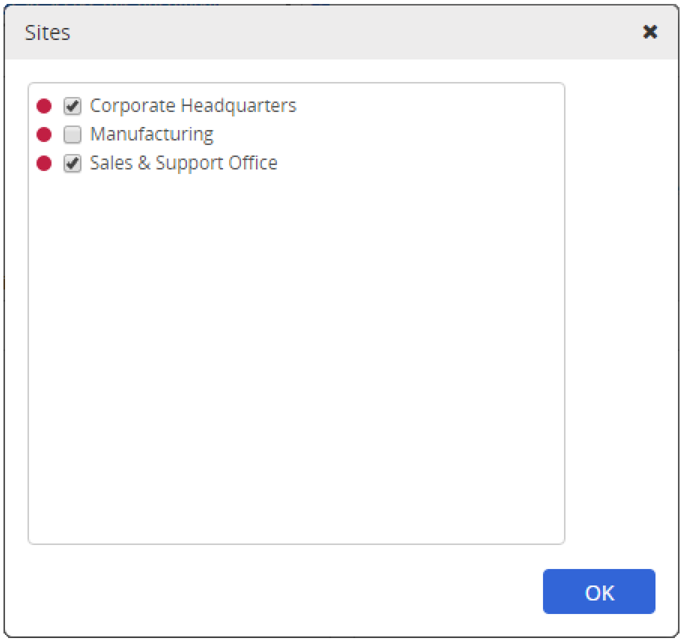
- **Change settings:** In the **Settings** step, change any of the selected documents'/questionnaire's basic or advanced settings, and then click **Apply Changes**.

- **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**.

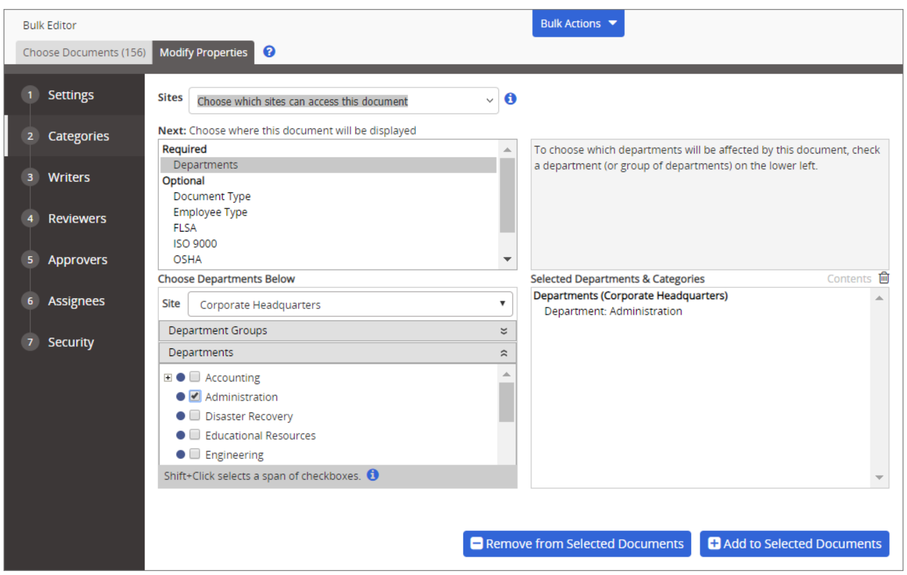
Important: The **Reapply Template Properties** feature is available only if it has been enabled. If you have a need for this feature, please contact Customer Support.

- **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**.

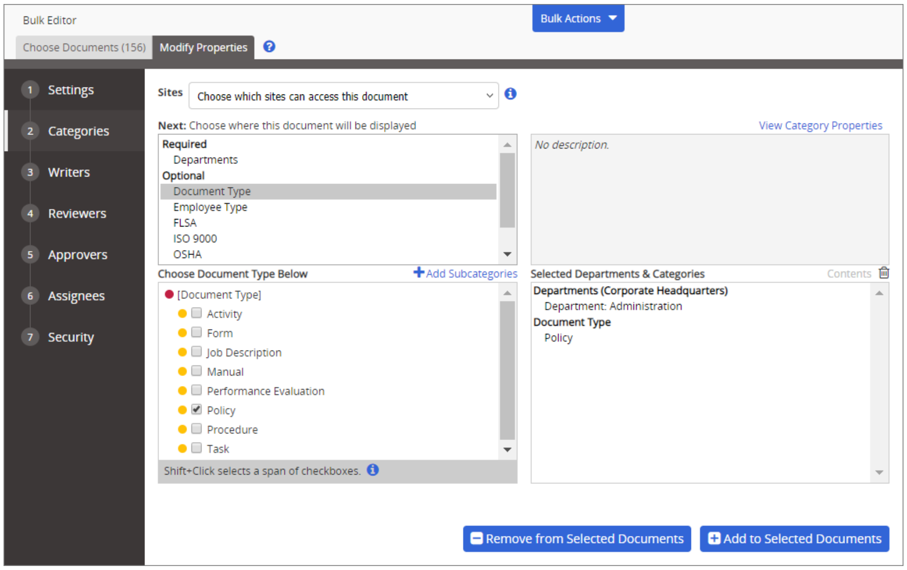
Important: When created, a document/questionnaire must be assigned to at least one site (it is assigned to the document owner's primary site by default). When removing site access using Bulk Edit, if the sites you select would result in all currently assigned sites being removed from a selected document/questionnaire, 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**.



- **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**.



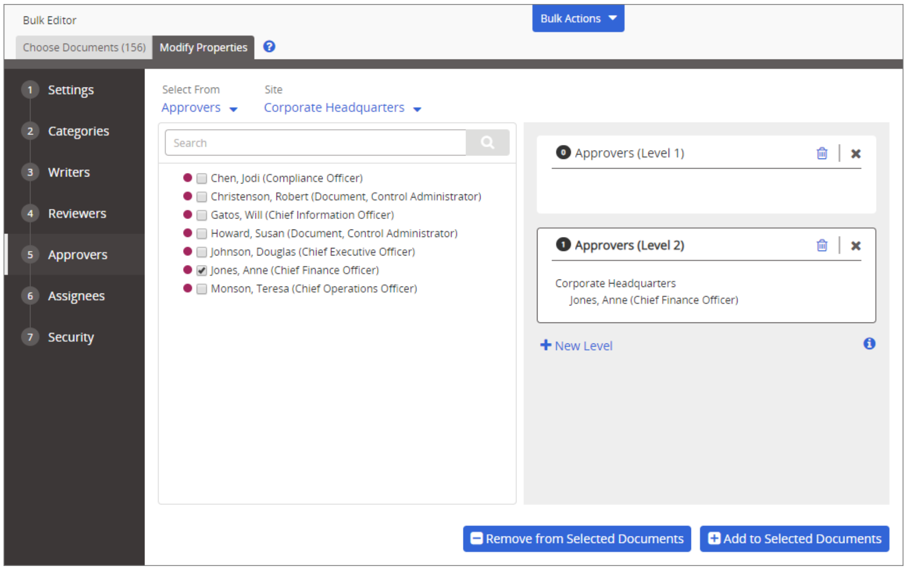
- **Change writer, reviewer, or approver assignments:** Adding or removing writers, reviewers, or approvers is a bit more complex than other **Bulk Editor** changes, because these types of users can be assigned to different writing, review, or approval levels.

  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 Selecting Users 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.

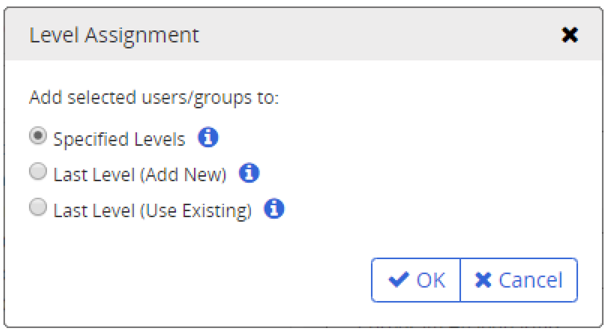
Important: Because all approved documents/questionnaires must have at least one assigned approver, attempting an action that would remove all approvers will fail. To switch an approver assignment, you may need to add the new approvers before removing existing ones.

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).



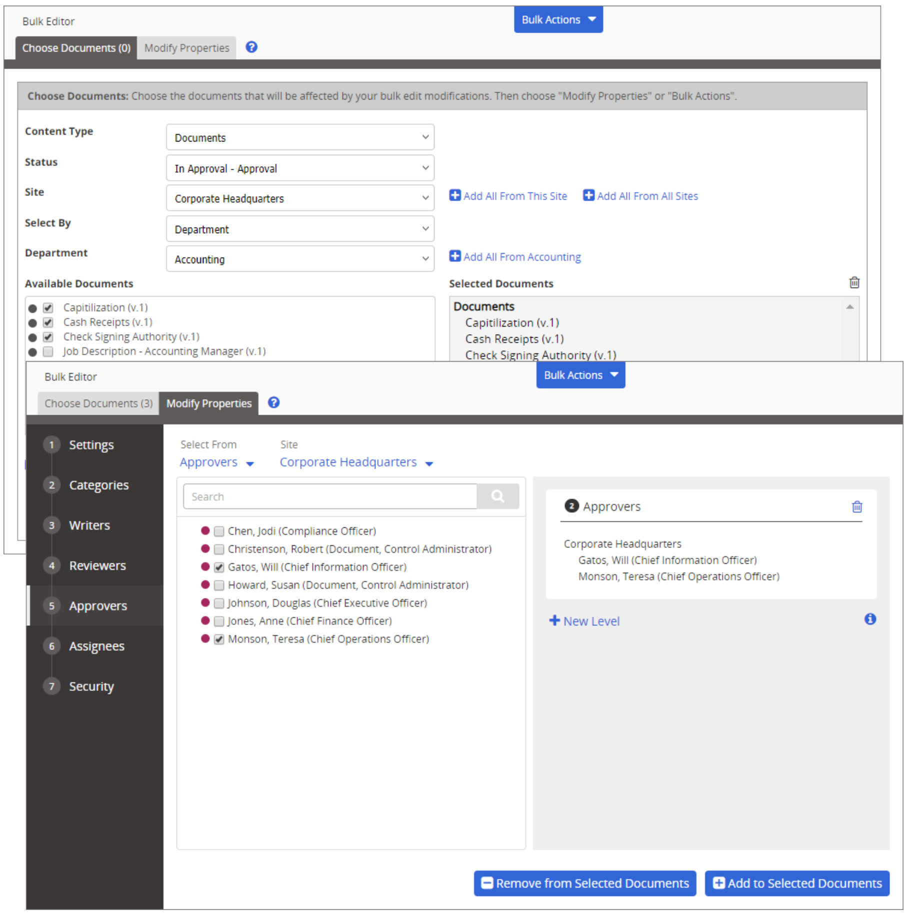
When finished selecting entities, click **Add to Selected Documents**, in the prompt click **Specified Levels**, and then click **OK**.



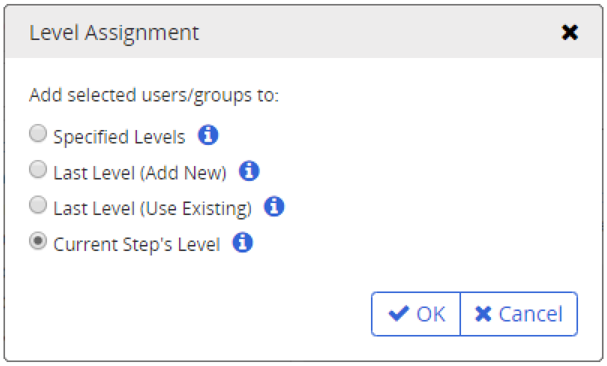
- **Assign to the last level:** To assign entities to the last (greatest in number) level of the **Writing**, **Review**, or **Approval** step, select users, job titles, or departments (no need to add levels first; see [Selecting Users](#) below), and then click **Add to Selected Documents** to display 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.

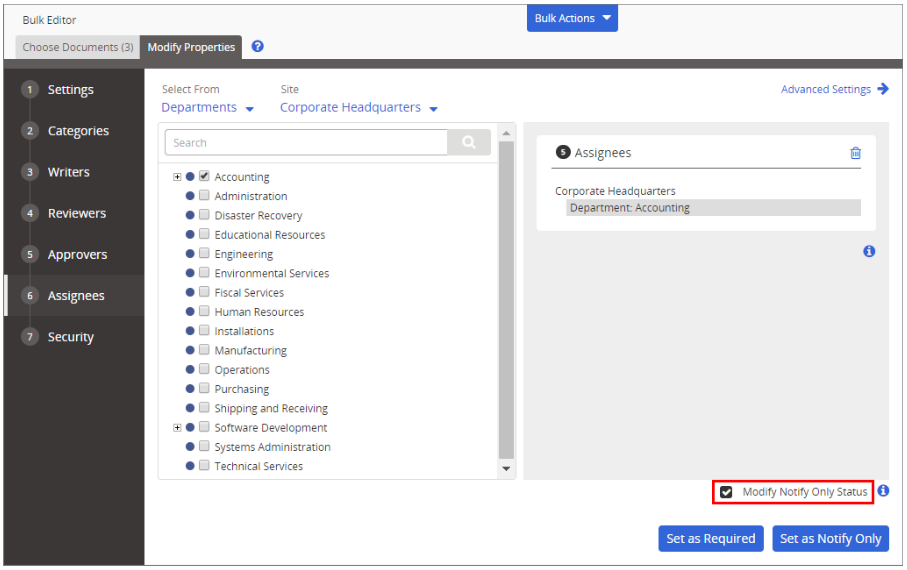
For example, if you want to assign approvers to the current approval level, start in the **Choose Documents** tab by selecting **In Approval - Approval** for **Status** and then selecting documents/questionnaires. Then, in the **Modify Properties** tab, select the **Approvers** step, and then select approvers, job titles, or departments (see Selecting Users below).



Then, click **Add to Selected Documents**, in the prompt click **Current Step's Level**, and then click **OK**.



- **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 Selecting Users 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.

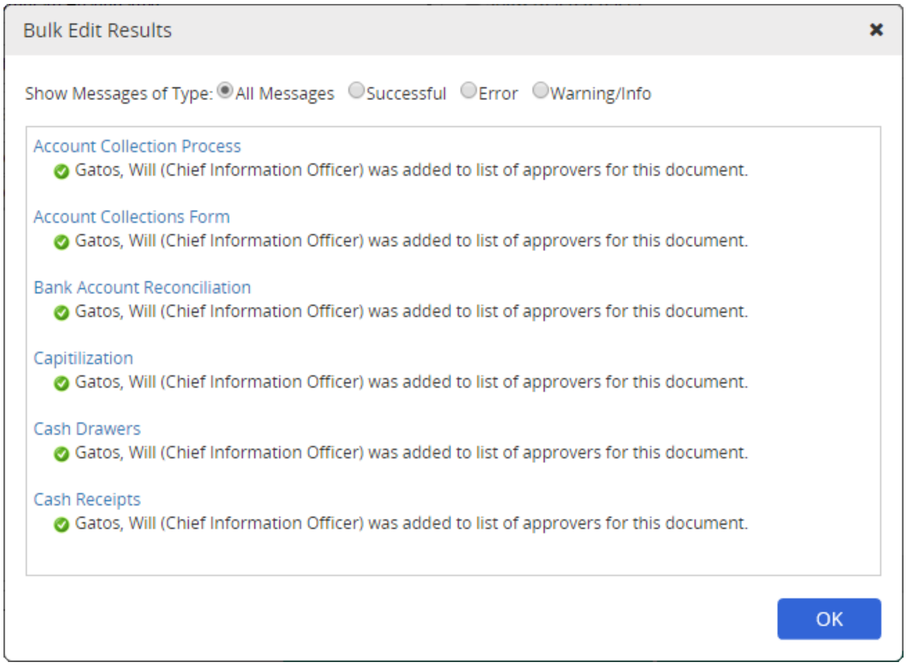


Select **Set as Required** to change "Notify Only" assignments to required reading task assignments, or select **Set as Notify Only** to change required task assignments to "Notify Only" assignments.

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.



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.
2. (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 User's Guide:

    "Assigning Writers"

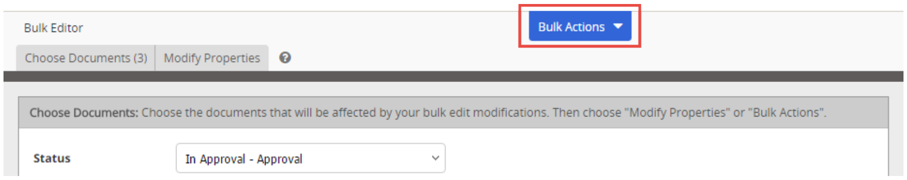
    "Assigning Reviewers"

    "Assigning Approvers"

    "Designating Assignees"

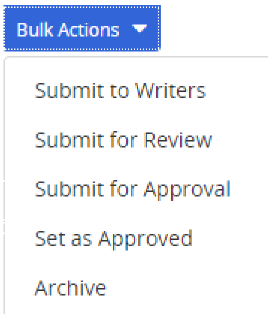
Bulk Actions

There are several bulk editing actions available on the **Bulk Actions** menu.

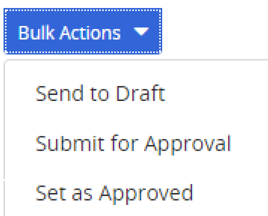


The options you see depend on the status of the selected documents or questionnaires, as shown below.

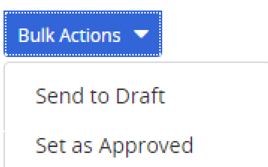
With documents/questionnaires in draft or collaboration selected:



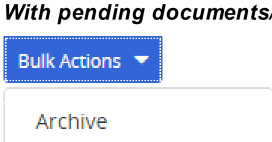
With documents/questionnaires in review selected:



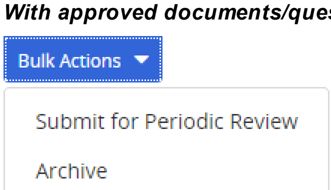
With documents.questionnaires in approval selected:



With pending documents/questionnaires selected:



With approved documents/questionnaires selected:



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 Next Review 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.

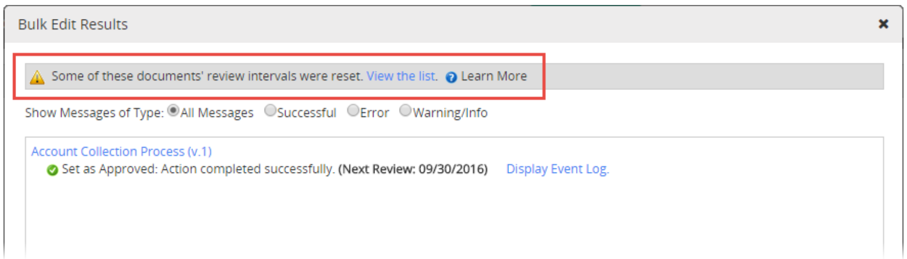
Submit for Periodic Review. Immediately assigns the document owner a periodic review task.

Next Review Dates after Setting as Approved

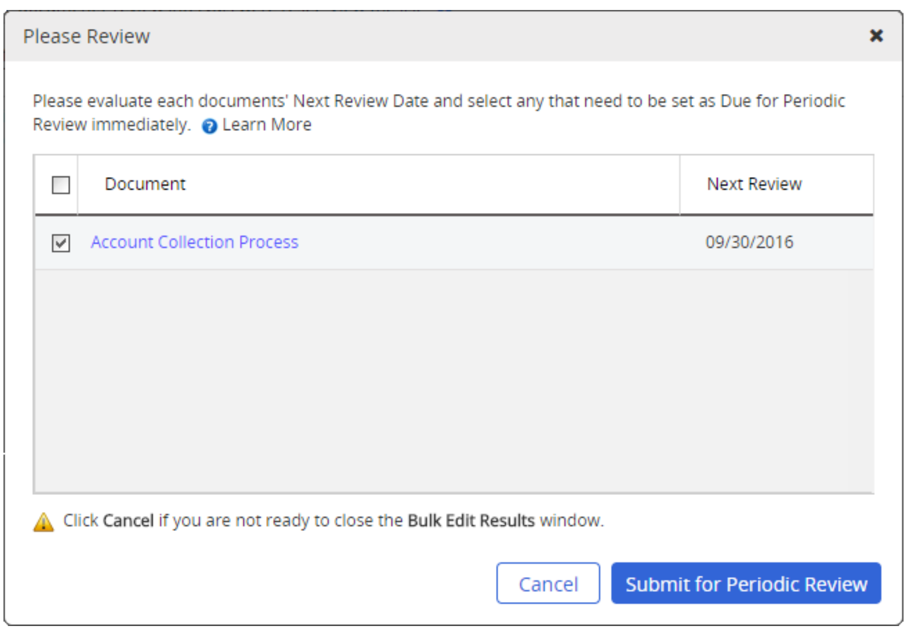
When you set a document as approved, PolicyTech checks the next scheduled periodic review date to see if the set as approved date is within the warning period for that periodic review date. If it is not, review notifications will be sent to the document owner and any assigned proxy authors on the scheduled 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.



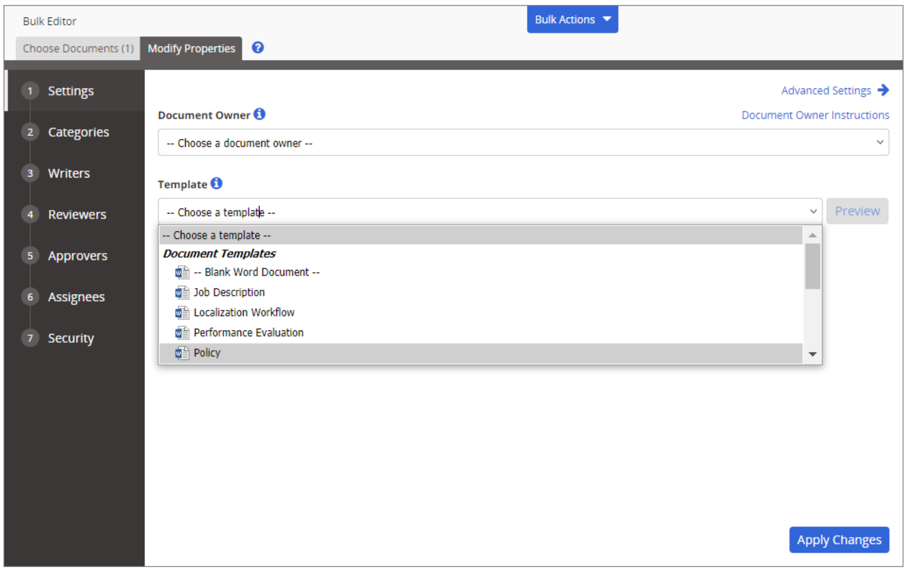
If you want to submit any of the listed documents for review now instead of waiting for the next schedule review date, select those documents and then click **Submit for Periodic Review**. Doing so creates a periodic review task and sends the document owner two emails. One is the email usually sent at 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.



Reapplying a Template to Multiple Documents

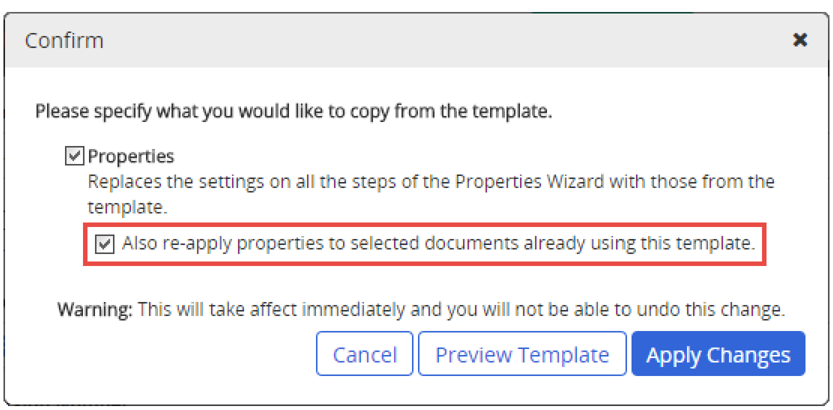
If changes have been made to a template's properties and you want to have those changes reflected in multiple documents that are currently assigned that template, you can reapply it using **Bulk Edit**.

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.



3. In the **Confirm** window, select **Also re-apply properties to selected documents already using this template**.

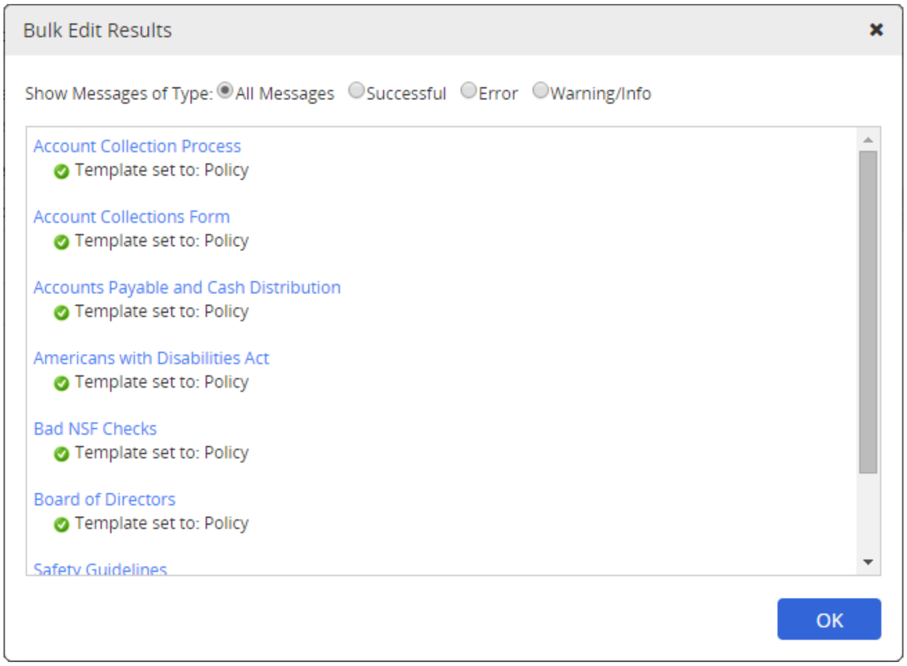
Note: If any of the selected documents are currently assigned to a different template, they will be reassigned to the template selected in **Bulk Editor**. Only the properties will be replaced and not document contents.



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**.



System and IT Settings

Go to the section listed below for the setting you need to check or change.

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 Setting Up Document Access.

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

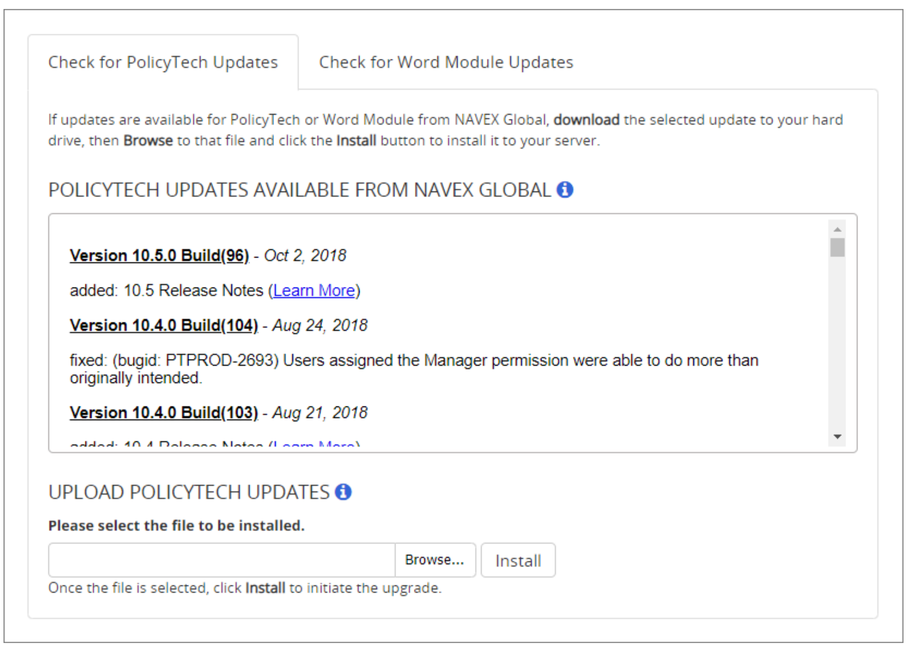
How you use **Check for PolicyTech Updates** depends on whether your PolicyTech system is hosted by NAVEX Global or is installed on your organization's premises.

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

1. 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.



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.

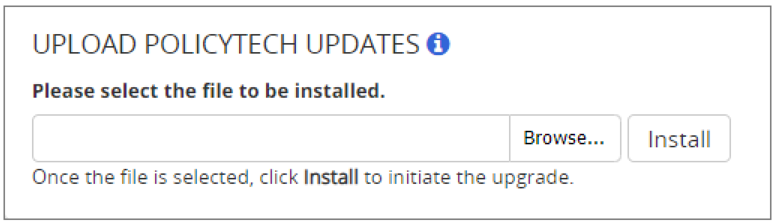
3. Depending on whether the update is a major, minor, or patch update, you may be able to immediately download it, or you may need to request it.

   - 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**.

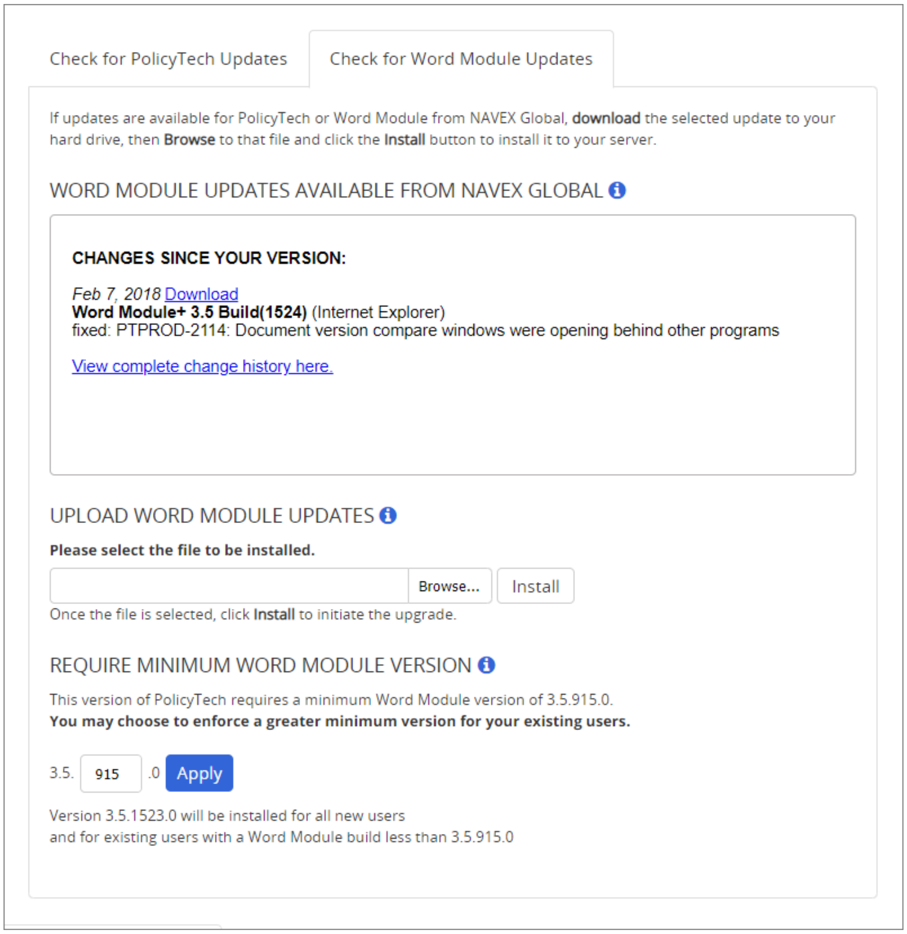


   - If you were required to contact Client Support, follow the steps provided.

Check for WordModule*Plus* 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.



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 WordModule*Plus* 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 WordModule*Plus* 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

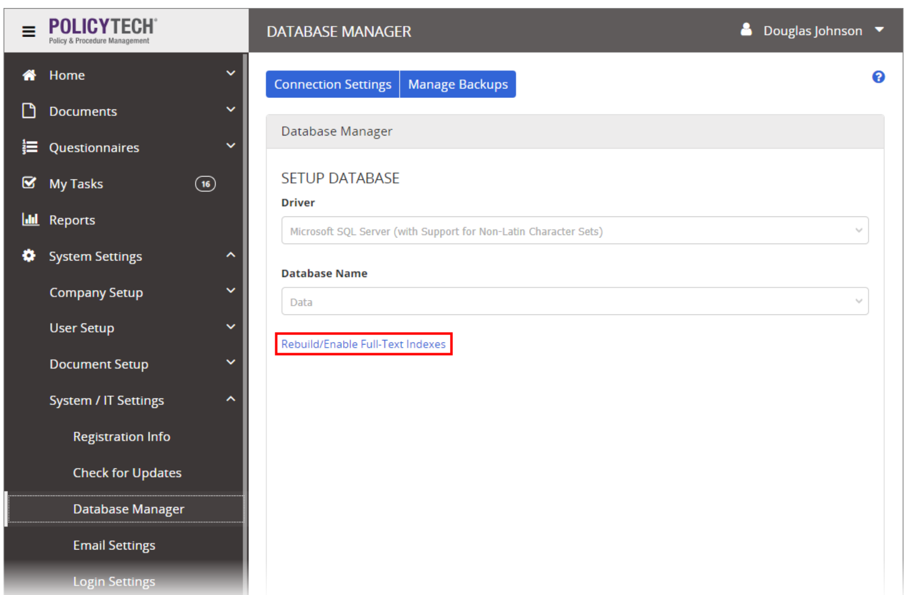
Using Database Manager with a SaaS Installation

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 User's Guide).

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.



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:

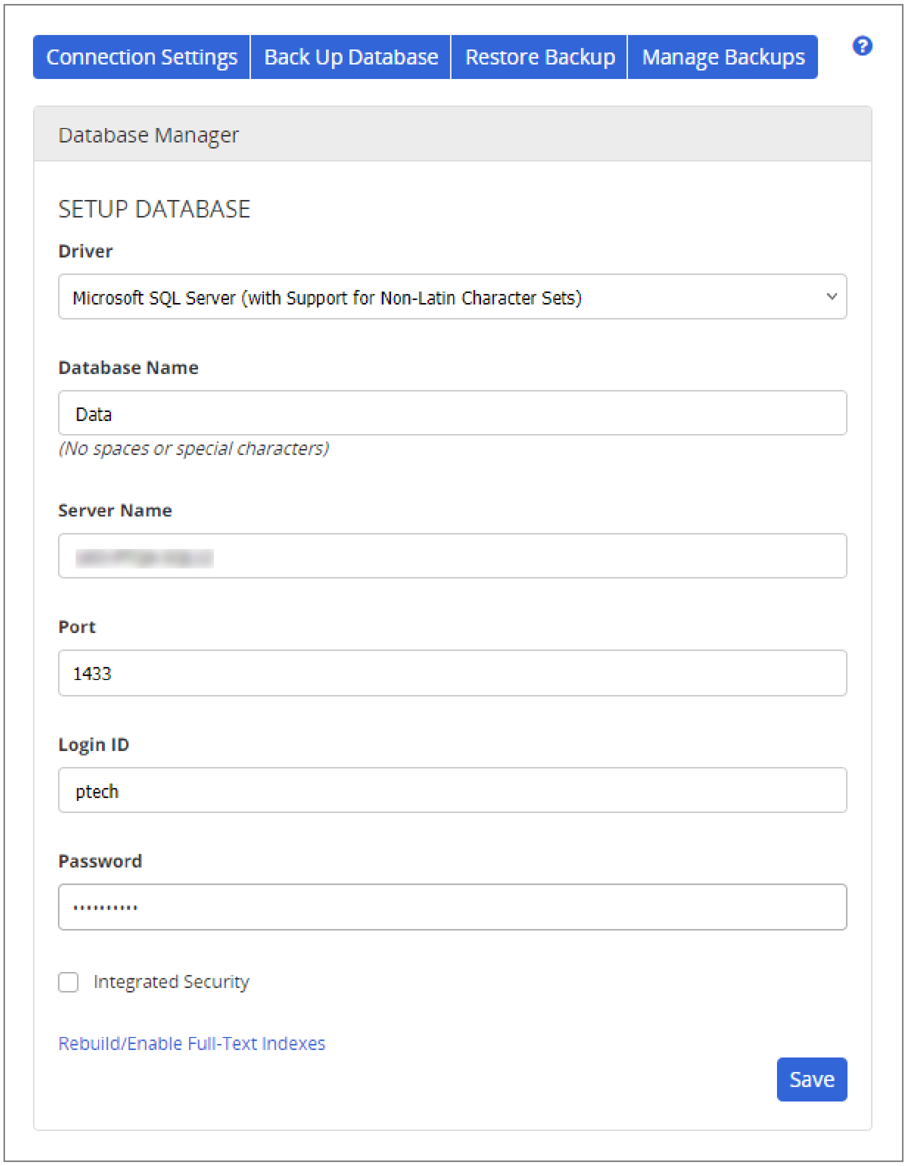
- Set up or modify database connection settings
- Enable or rebuild full-text indexes for the **Advanced Search** feature

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 Creating a New, Empty Database.

1. Click **System Settings**, click **System /IT Settings**, and then click **Database Manager**.



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 User's Guide).

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:

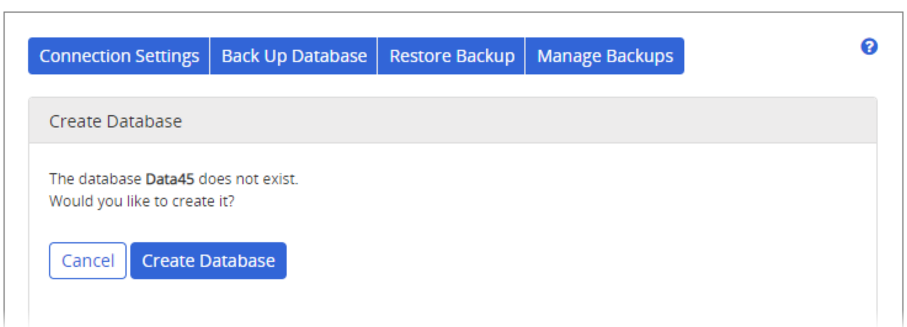
- If users attempt to access **Advanced Search** before full-text indexes have been enabled, they will see a message instructing them to contact their administrator.
- The **Advanced Search** feature is not available and the **Rebuild/Enable Full-Text Indexes** option does not apply if a MySQL database is being used.

Creating a New, Empty Database

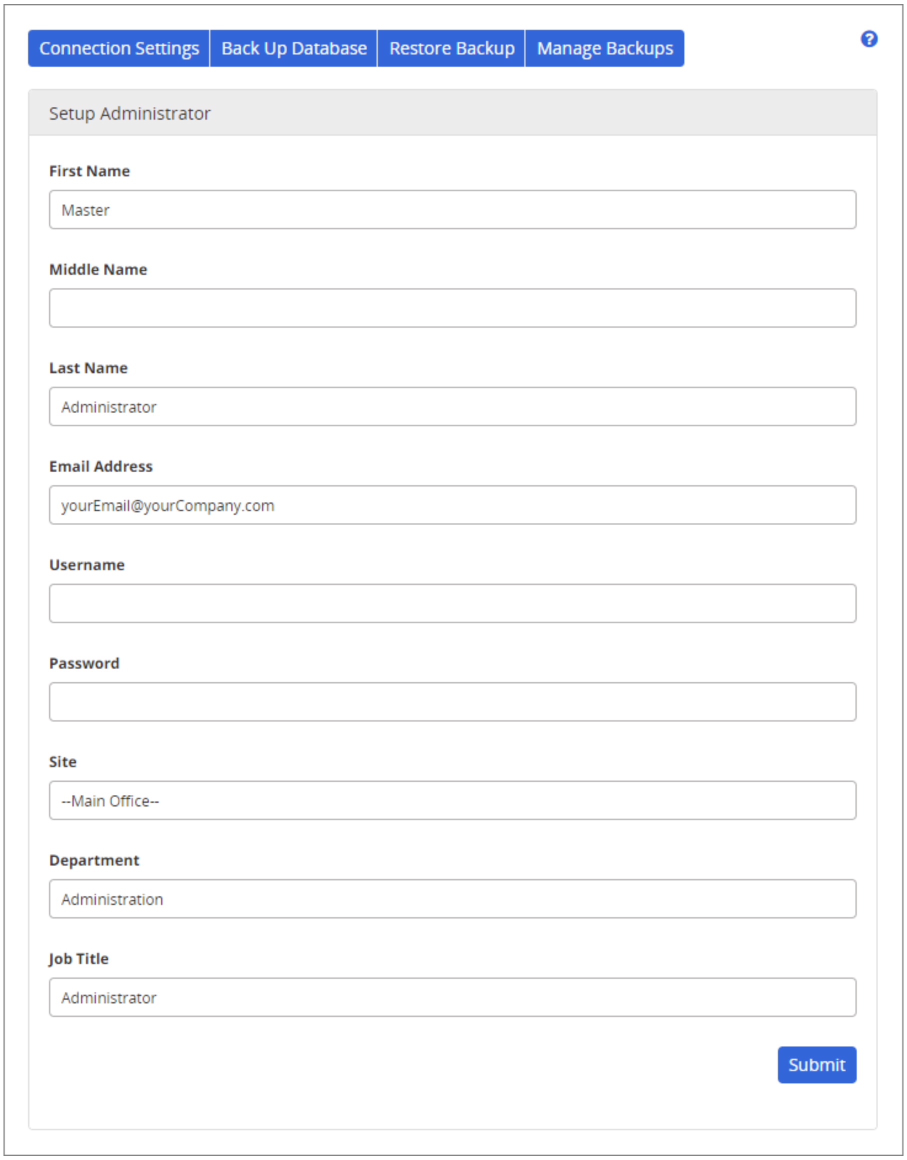
If PolicyTech is installed on your organization's premises, you can create another PolicyTech database for testing or training purposes.

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**.

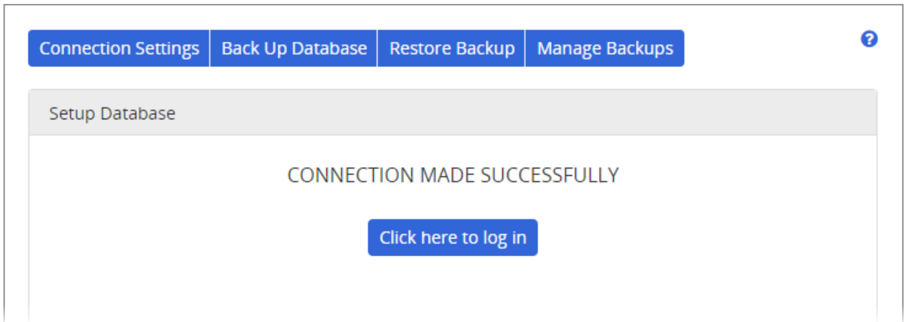


4. Type the information needed to create a global administrator in the new database, and then click **Submit**.



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.



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

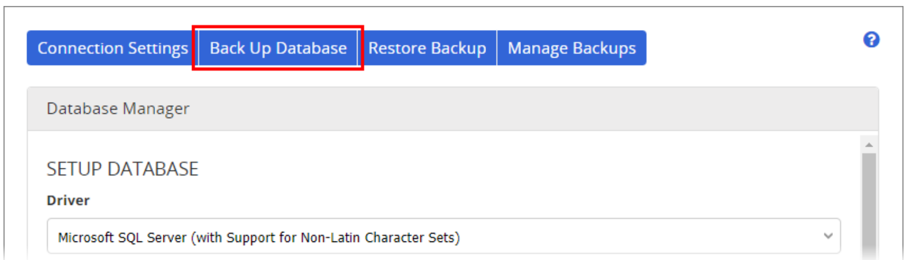
Consider the following before performing a backup.

- 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

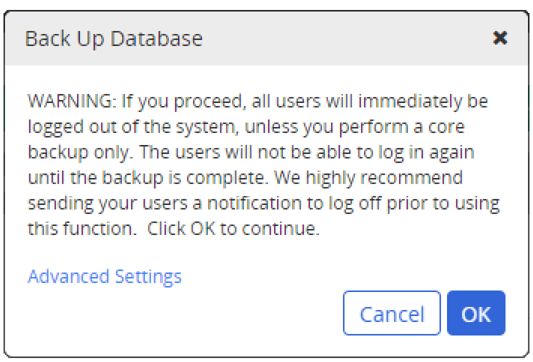
PolicyTech issues without having to download stored documents. A core data backup does *not* lock out users while it is being performed.

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**.

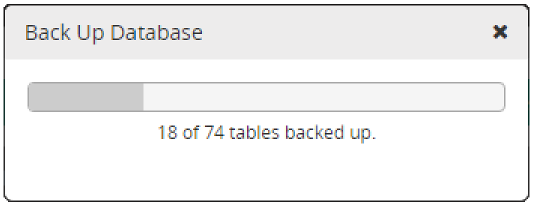


4. An alert appears explaining that all users will immediately be logged out and locked out of the system as soon as you start the backup. The alert also includes an **Advanced Settings** option. Do one of the following:



- 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.



Note: Depending on the size of your database, the backup could take anywhere from several minutes to several hours complete.

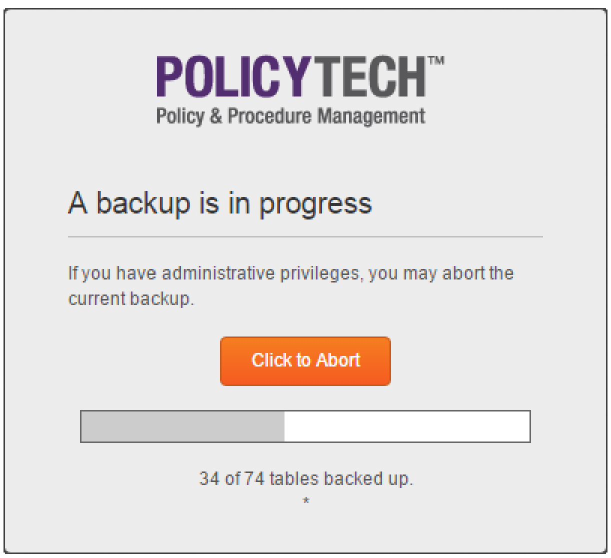
5. When the backup process has finished, click **Close**. The backup file is then accessible in **Restore Backup** (see Restoring a Backup) and **Manage Backups** (see Managing Backups).

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.



- 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.

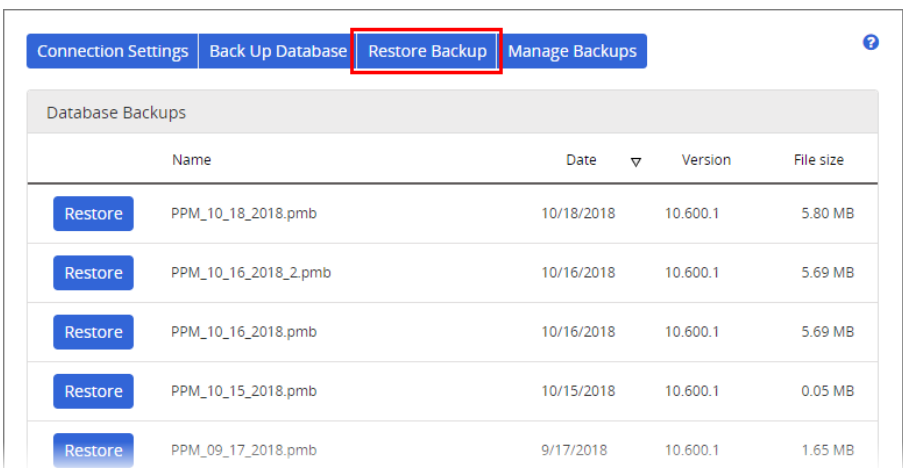
Restoring a Backup

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 Managing Backups.

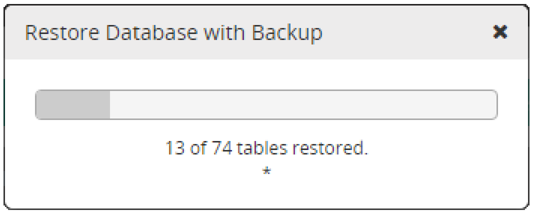
To restore a backup:

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 Backing Up a Database).
3. Click **Restore Backup**.



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:



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.

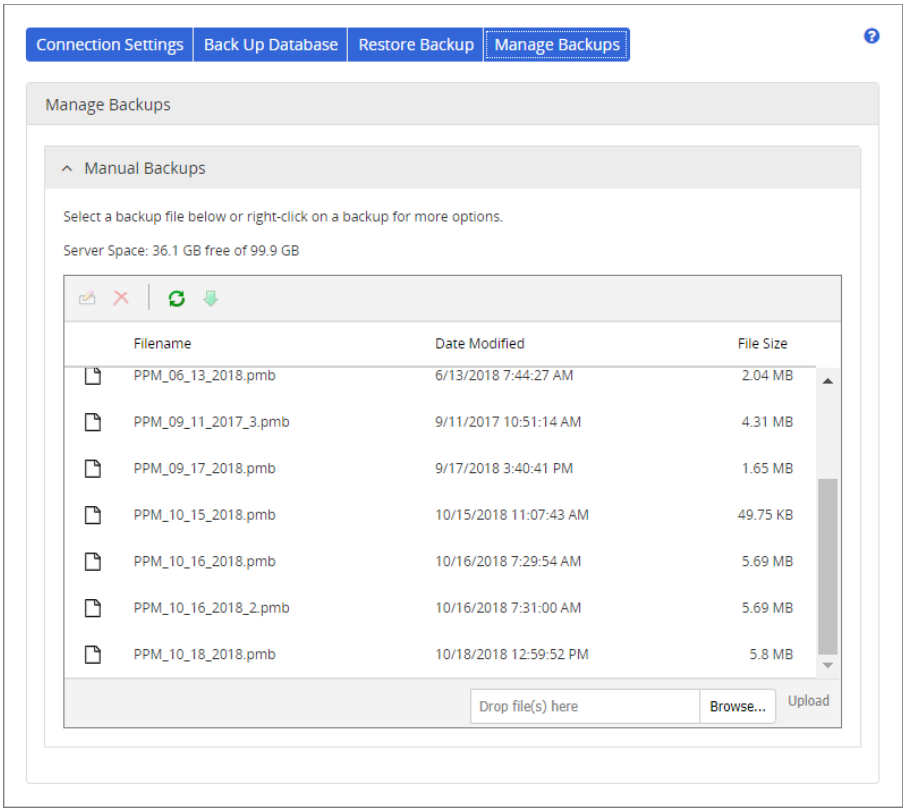
Managing Backups

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 Backing up a Database) 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.

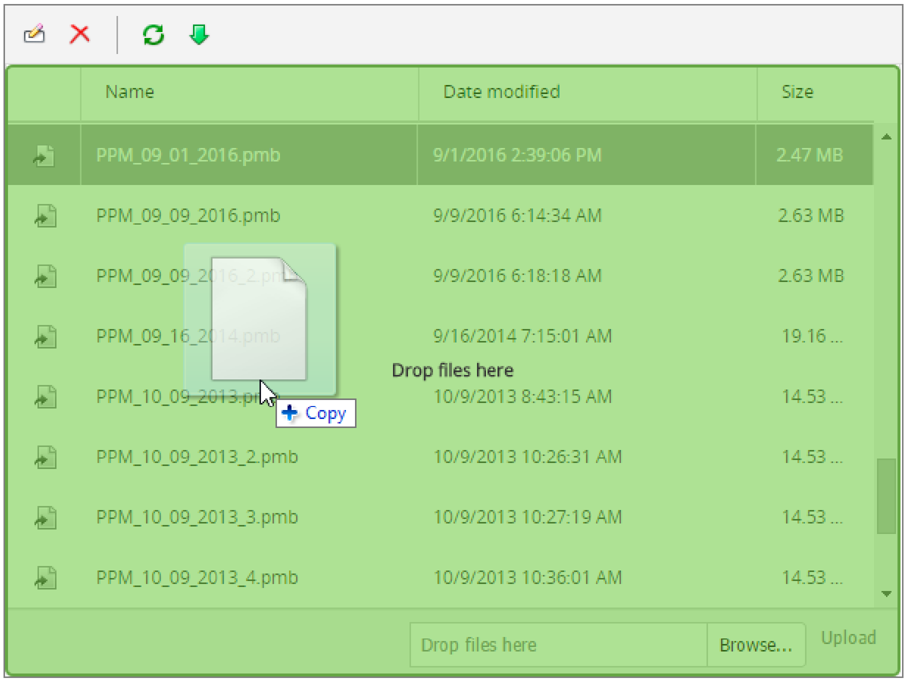
Managing Manual Backups

1. Click **System Settings**, click **System /IT Settings**, and then click **Database Manager**.
2. Click **Manage Backups**.



3. Do any of the following:

- **Rename a backup:** Click a file, click , change the name, and then press Enter.
- **Delete a backup:** Click a file, click , and then click **OK**.
- **Download a backup:** Click a file, click , 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**.



- 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

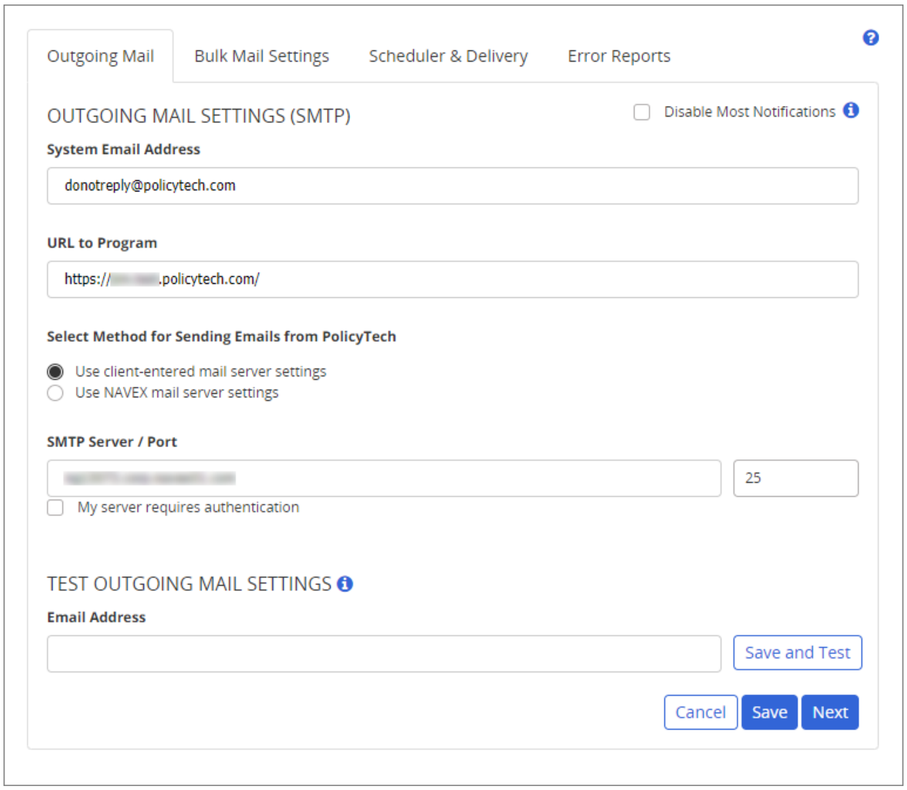
PolicyTech uses your organization's email system to notify users that they need to take certain actions, such as reviewing, approving, or reading a document.

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**.

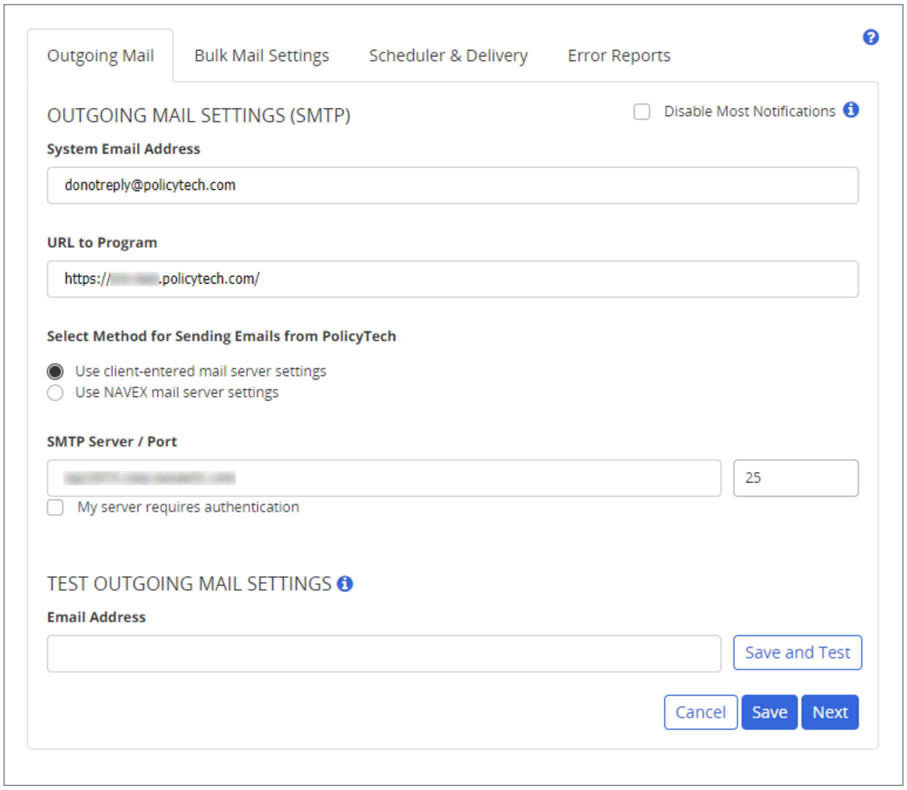
Note: You may want to consult with your information technology (IT) person before setting up email.



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 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.

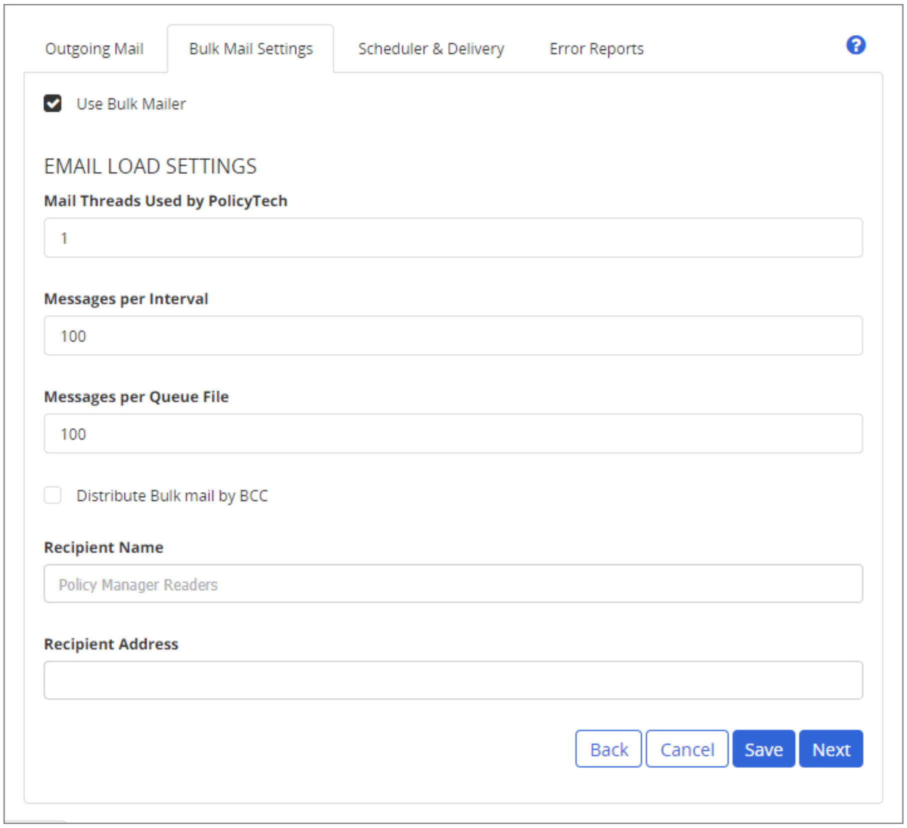
Important: The server and port settings apply only if your PolicyTech system is installed on your organization's premises or, if your PolicyTech system is hosted by NAVEX Global, you select **Use client-entered mail server settings** (see **Select Method for Sending Emails from PolicyTech** above).

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.



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 Outgoing Mail 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.

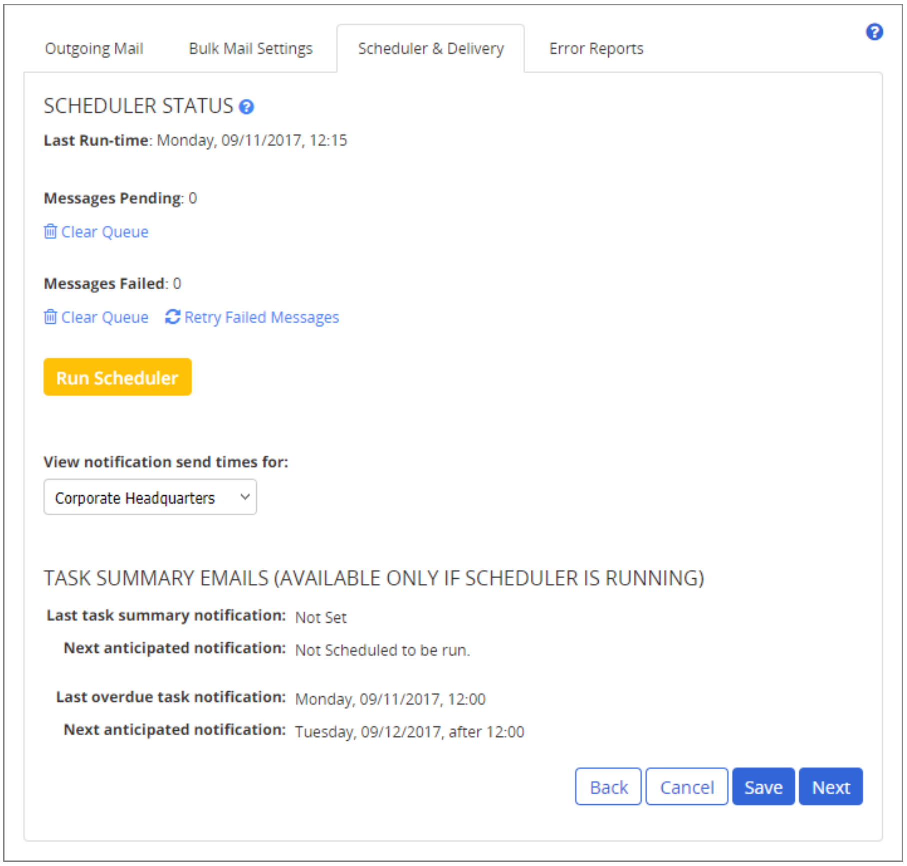
Recipient Name. The name you enter here will be the name users see in the **From** field of each BCC message.

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.

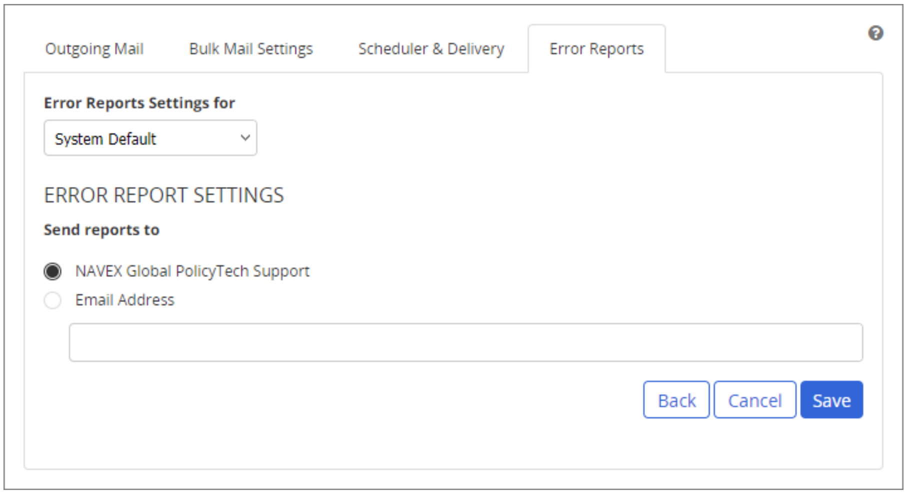


You can perform the following actions in the **Scheduler & Delivery** tab:

- 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.

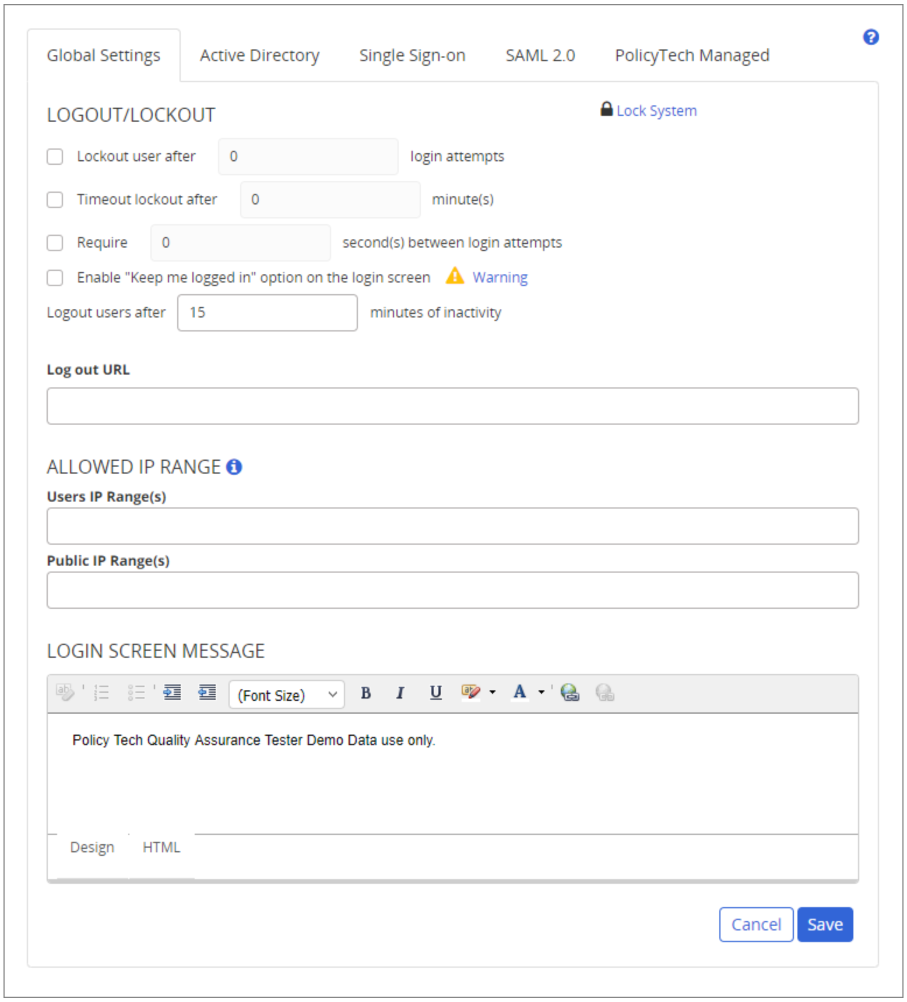


1. For **Emails Reports Settings for** list, click **System Default** or a specific site.
2. Do one of the following to select an error report email recipient:
   - Click **NAVEX Global PolicyTech Support** to have the error reports sent to the Client Support department at NAVEX Global.
   - Click **Email 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**.



Each tab in the **Login Settings** page contains a grouping of settings, each of which is described in the sections below.

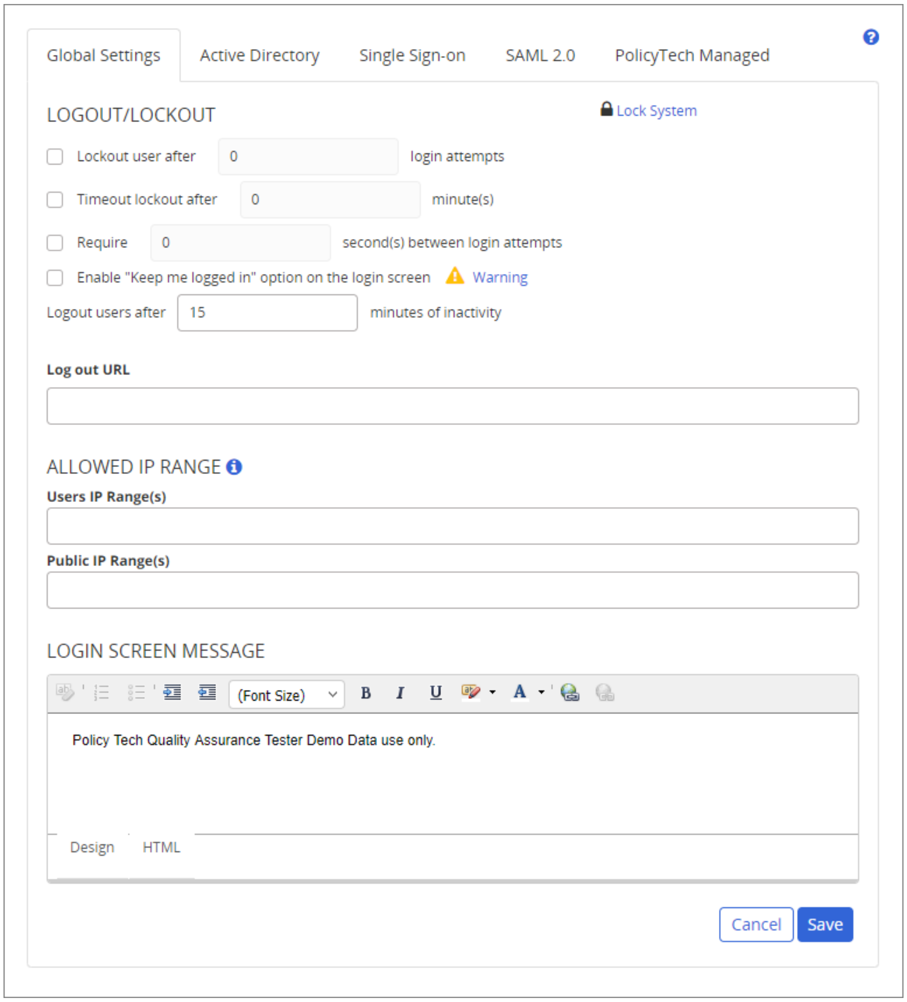
- Global Settings
- Active Directory Settings
- Single Sign-on Settings
- SAML 2.0 Settings
- Password Settings for PolicyTech-Managed Users

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.

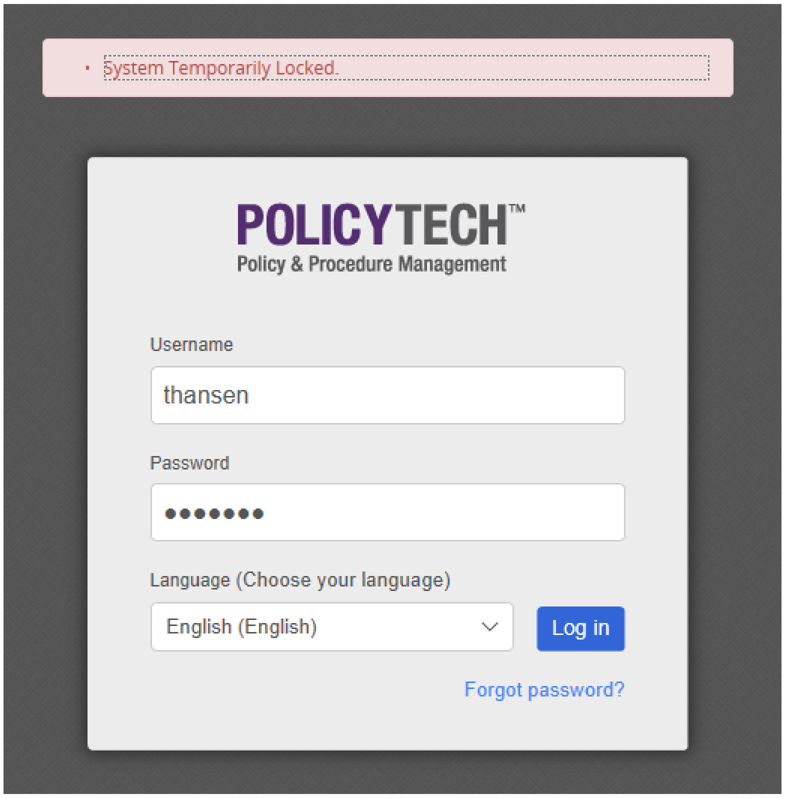


2. In the **Logout/Lockout** area, do any of the following:

   - 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.

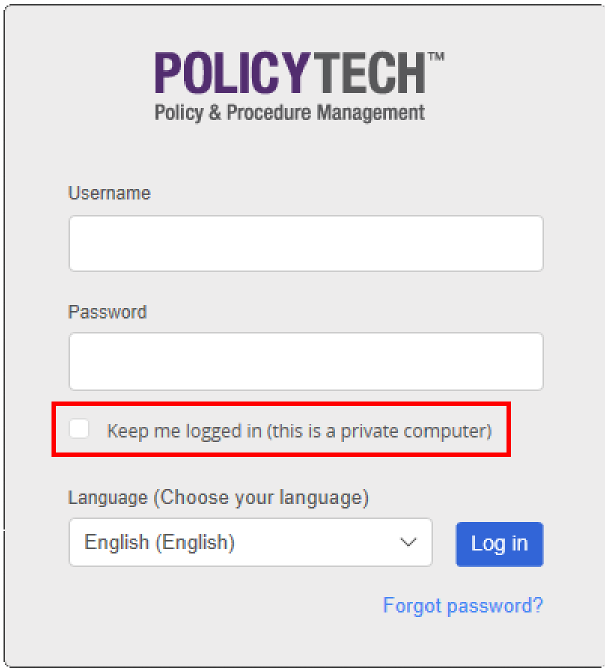
When the system is locked, users see the following message when they attempt to log in:



- 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 Clearing a User Lockout.

- 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.



- 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 Purchase an Advanced Feature Module 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 User Setup.

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 Importing Users from Another Database) 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.

1. **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.

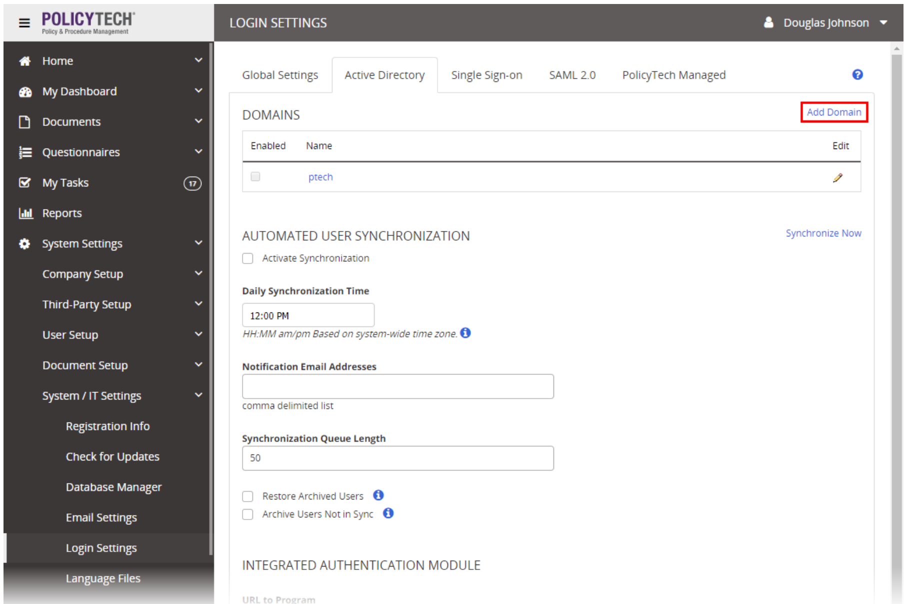
Enter Domain and Organizational Unit Information

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.

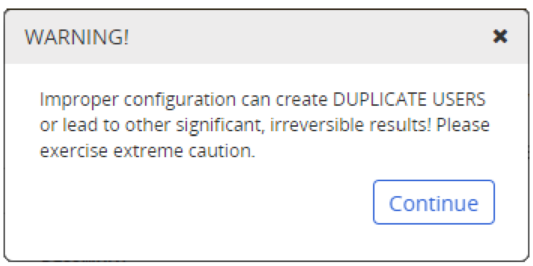
PolicyTech uses the information you enter in the Domain Information form to communicate with AD and perform the user sync. This information is divided into three sections: Connection Settings, Synchronization Mapping, and Remote Domain.

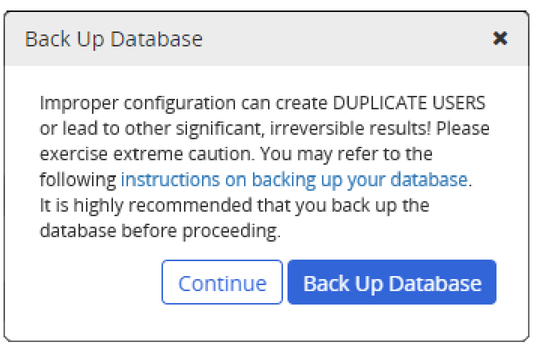
Connection Settings

1. Click **System Settings**, click **System / IT Settings**, and then click **Login Settings**.
2. Click the **Active Directory** tab, and then click **Add Domain**.



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).

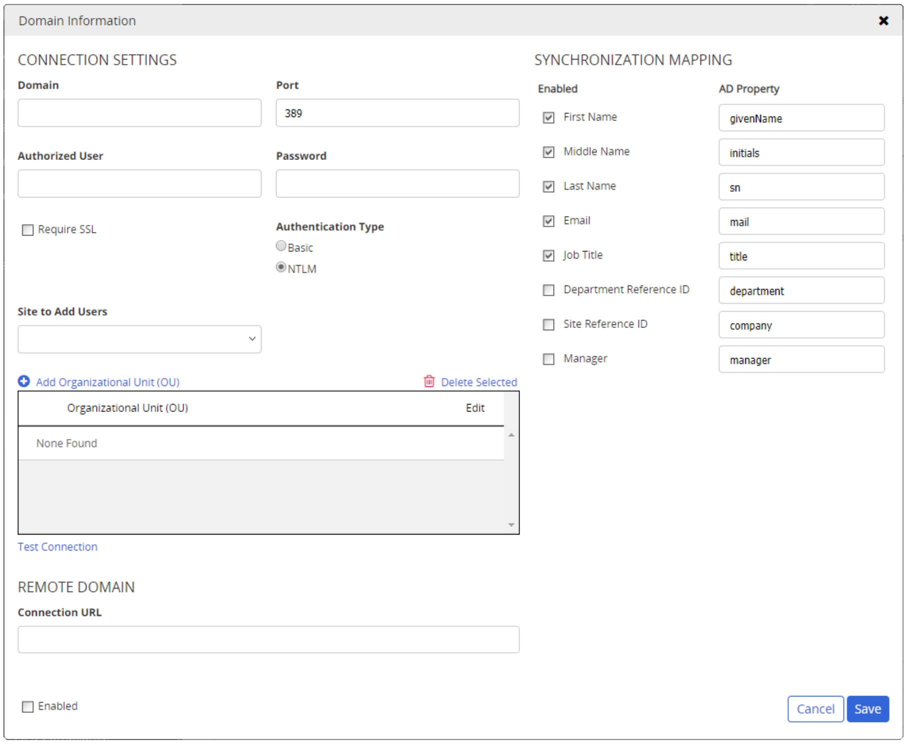




3. Do one of the following:
   - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
   - If you're prompted to back up your database, click **Back Up Database**, click **OK**, and then. when the backup is finished, click **Close**. Because backing up the database automatically logs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



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).

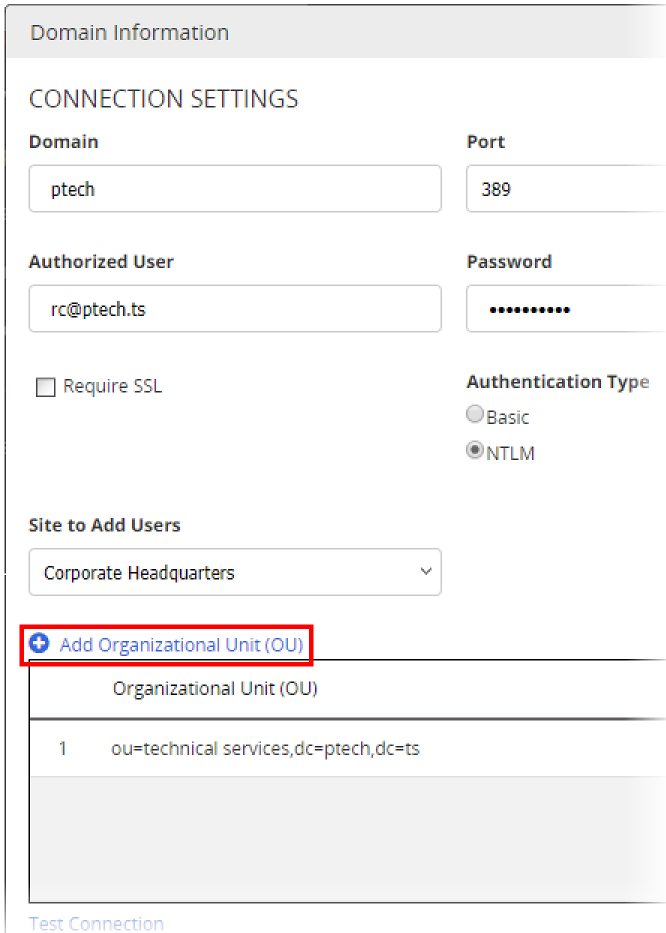
8. For **Authentication Type**, select **NTLM** or **Basic**.

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.

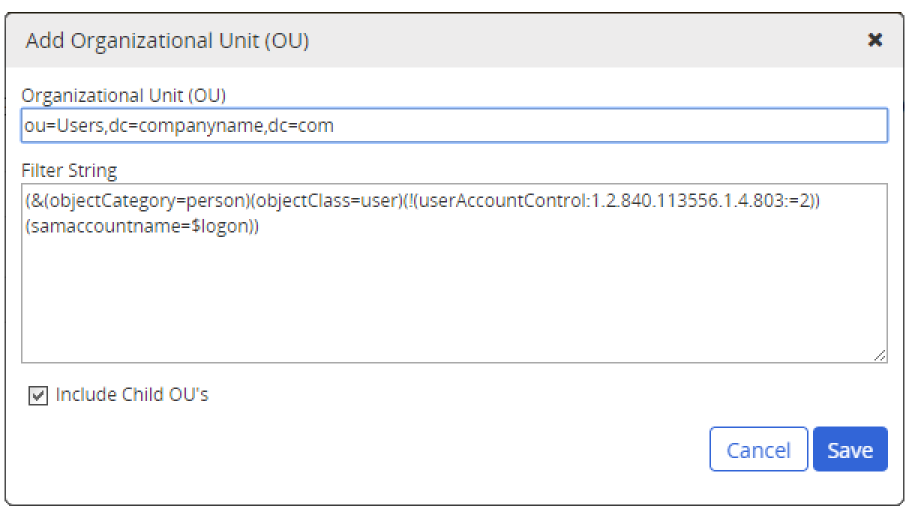
9. Select the PolicyTech site where you want AD users added and synced.

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)**.



11. Type the OU's LDAP distinguished name that uniquely identifies it within AD. See About LDAP Distinguished Names below for details.



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).

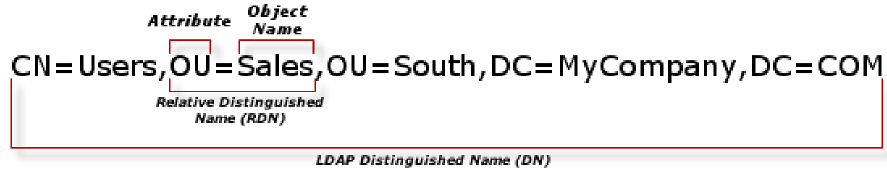
Important:

- 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.

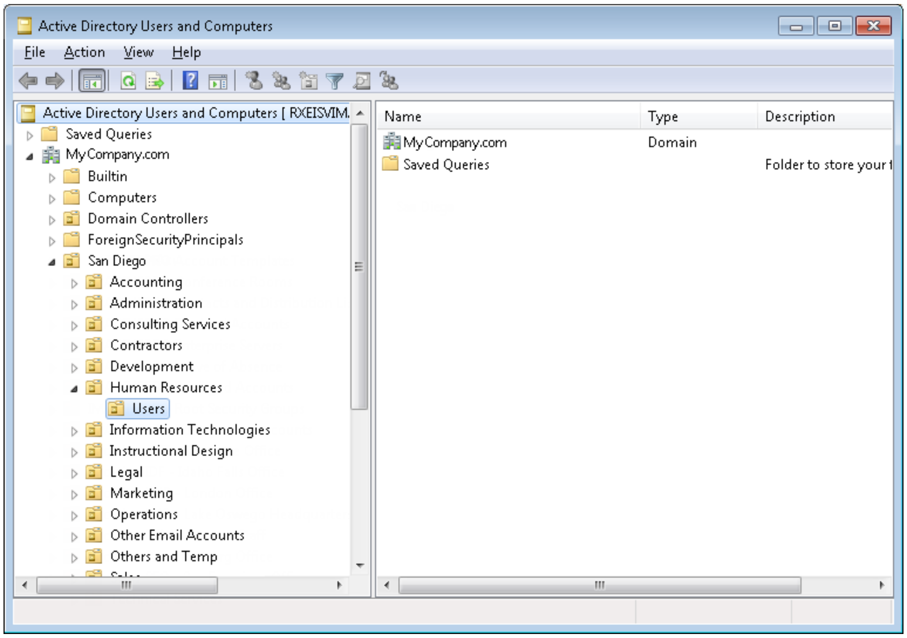
About LDAP Distinguished Names

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).



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 (in Windows Server 2012 or 2008; in Windows Server 2003) are containers and must use CN, while objects with a folder that has a user profile icon (in 2008 and 2012) or book icon (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

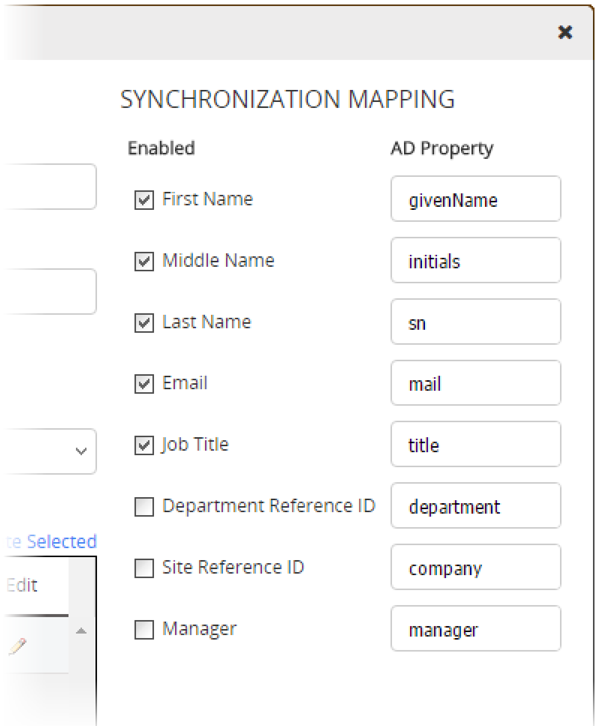
In the Synchronization Mapping area of the Domain Information window, you can tell PolicyTech what information you want pulled from this domain's user profiles into PolicyTech user profiles. PolicyTech will import the user profiles initially and then keep the user properties you specify in sync with 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 How the Sync Works 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 Custom Attributes), 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.



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 Automated User Synchronization.

(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 (toll-free 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.

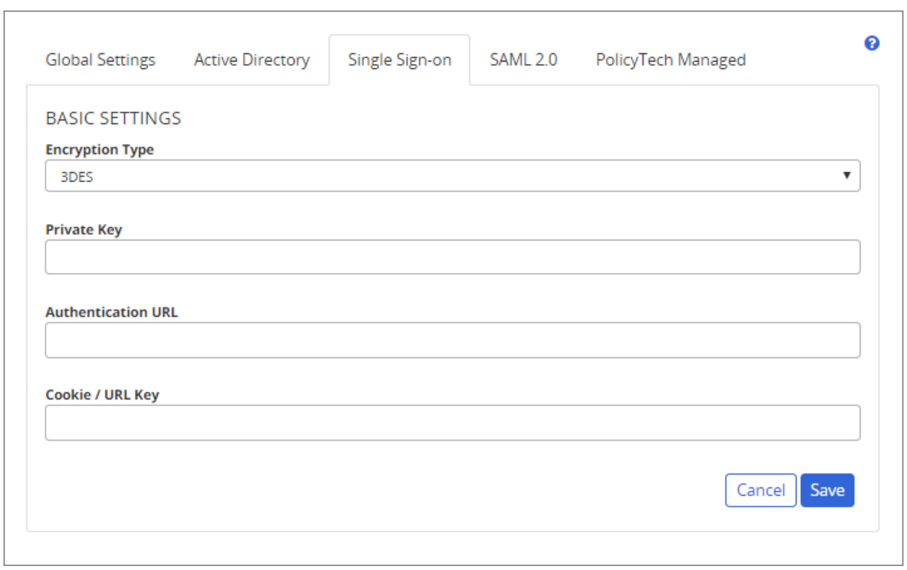
Save Active Directory Settings

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**.
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**.

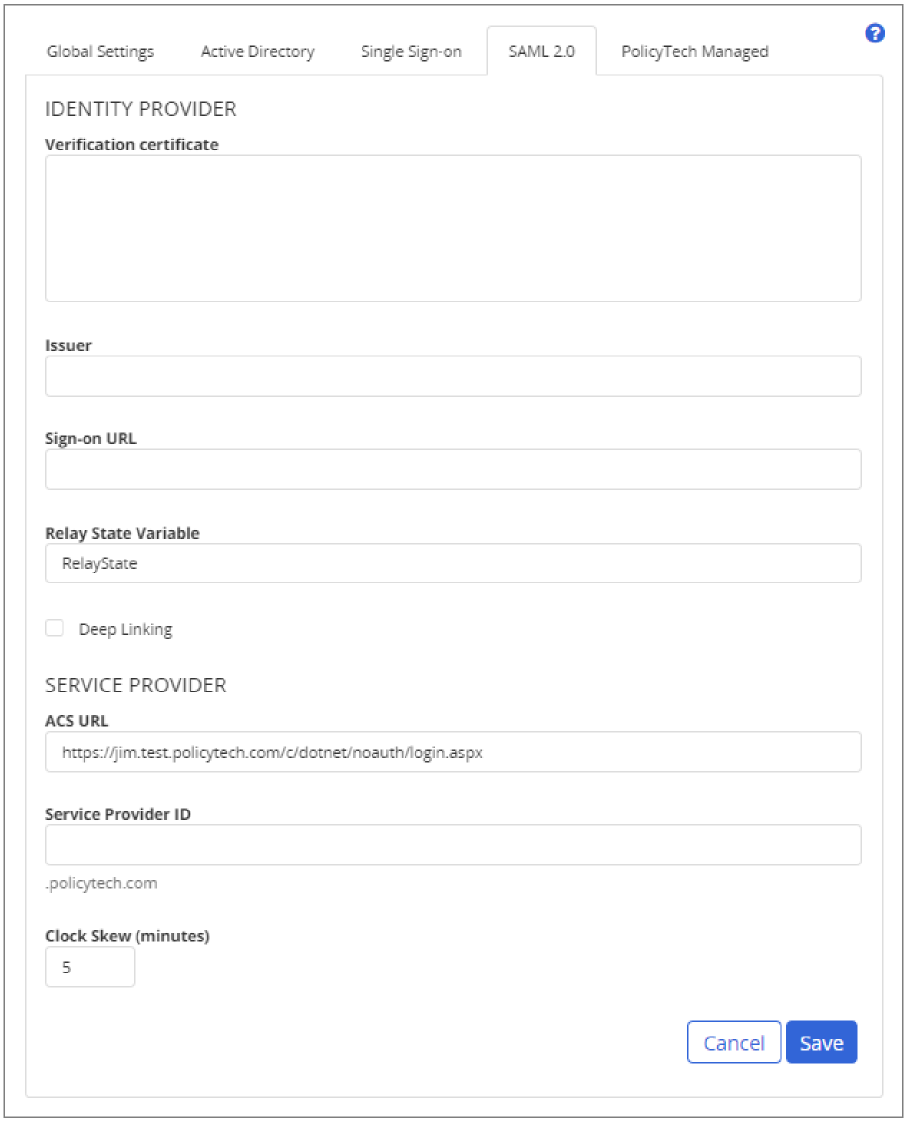
SAML 2.0 Settings

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.



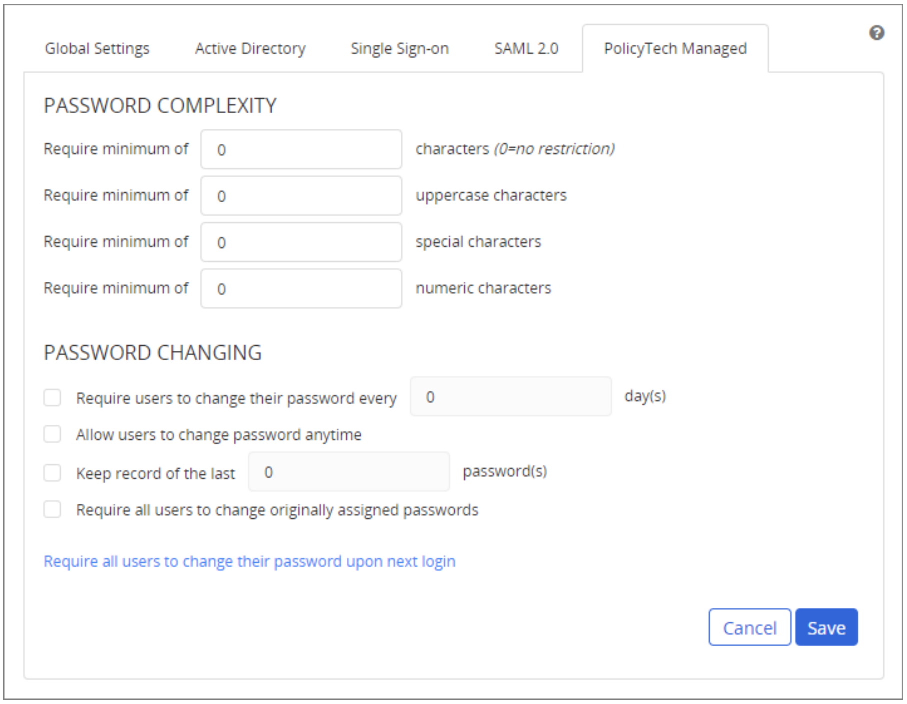
Password Settings for PolicyTech-Managed Users

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 Resetting a User's Password.
- If you need to clear a user lockout, see Clearing a User Lockout.

1. Click **System Settings**, click **System / IT Settings**, and then click **Login Settings**
2. Click **PolicyTech Managed**.



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

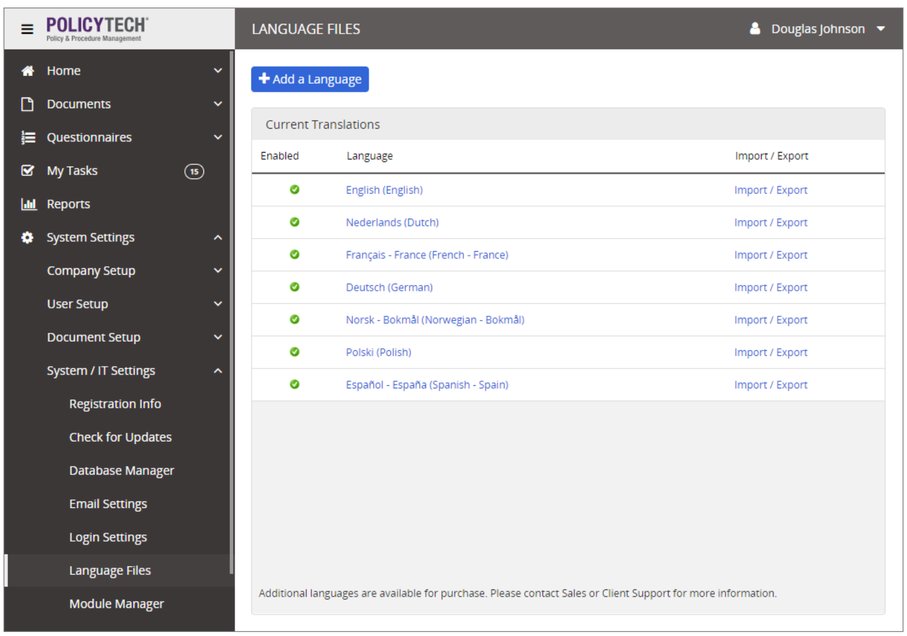
Activating a Language File

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 Registration Info).

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**.



2. Click the newly added custom language file to open it, and then see Editing a Language File in PolicyTech 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 Editing a Language File in Excel for details.

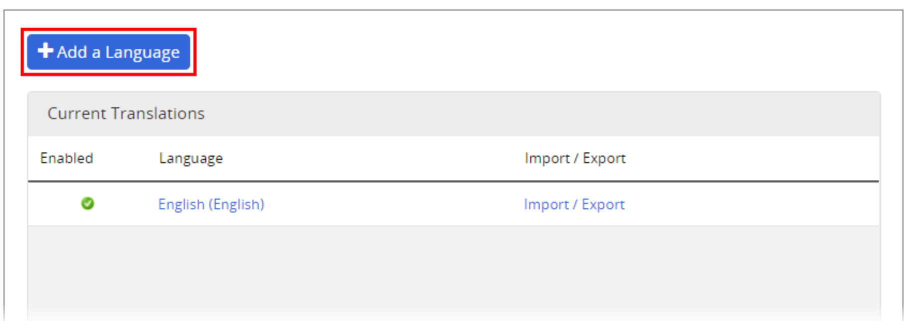
Creating a Custom Language File

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.

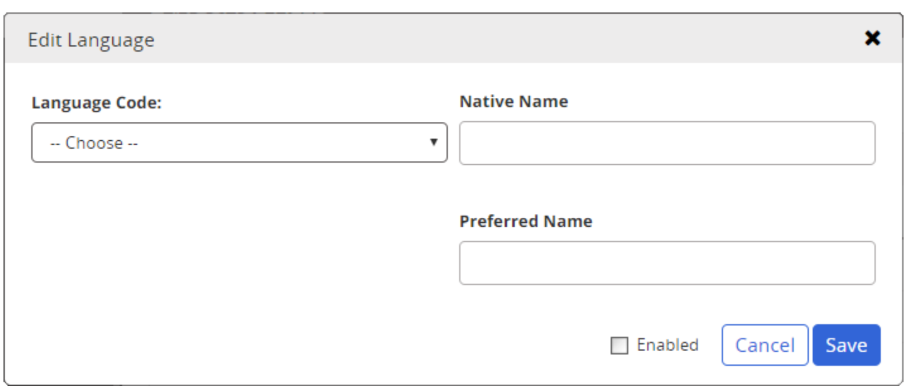
- Adding a Language Translation
- Exporting a Language File
- Editing a Language File in PolicyTech
- Editing a Language File in Excel
- Importing a Language File
- Enabling or Disabling a Language

Adding a Language Translation

1. Click **System Settings**, click **System / IT Settings**, and then click **Language Files**.
2. Click **Add a Language**.



3. For **Language Code** list, click a code (see Language Code Tables), and then click **OK** to clear the alert.



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.

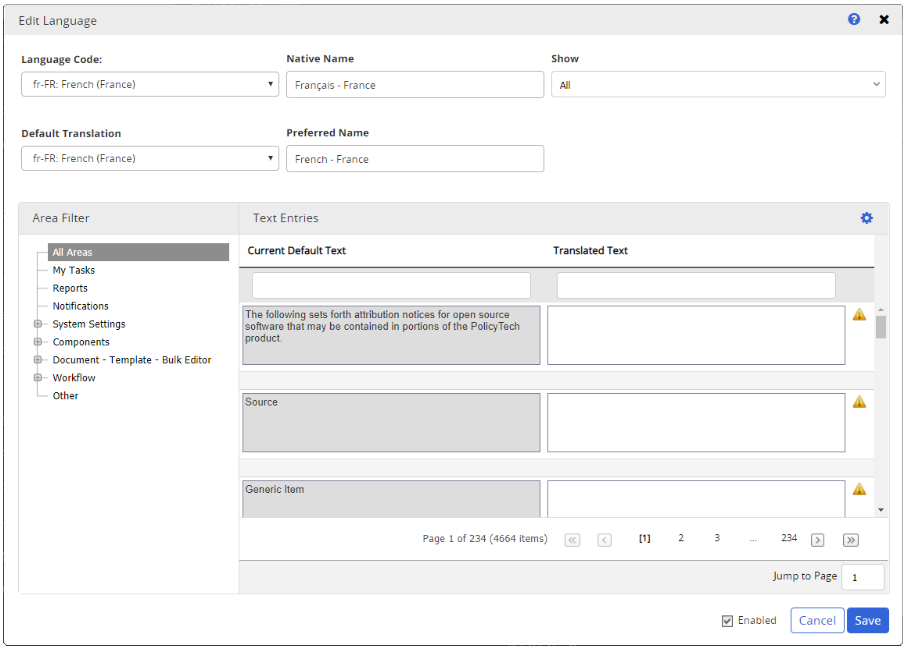
4. (Conditional) If your organization has purchased one or more language files, you'll also see a **Default Translation** option. Select the translation you want to use as the basis for this new language file.

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 General Properties) and for each site (see Adding a Site).

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.



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**.

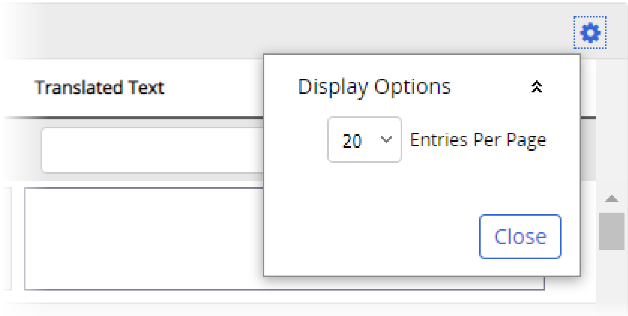
10. When you're finished adding translations, click **Save**, and then close the **Edit Language** window.

Finding Specific User Interface Text

PolicyTech provides the following tools to help find text strings that appear in the user interface.

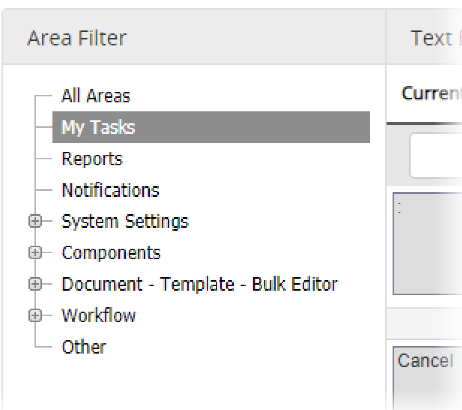
Navigation

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.



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.



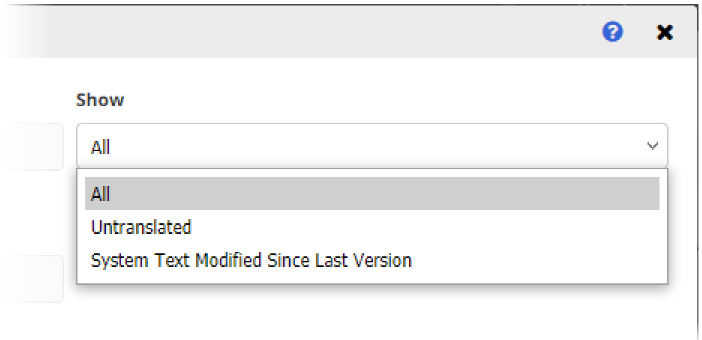
Important:

- 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

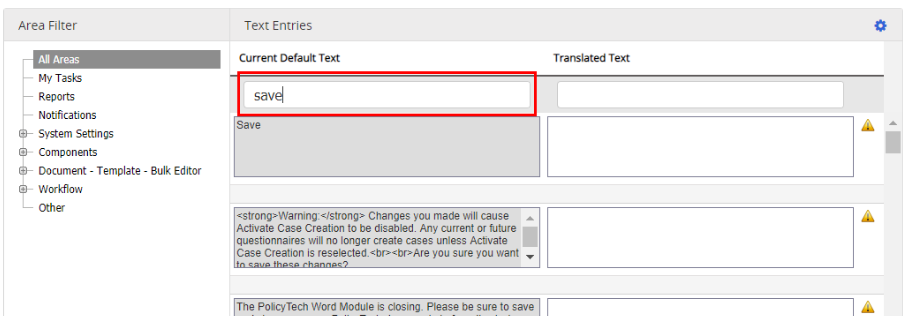
In the **Show** list, do one of the following:

- 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).



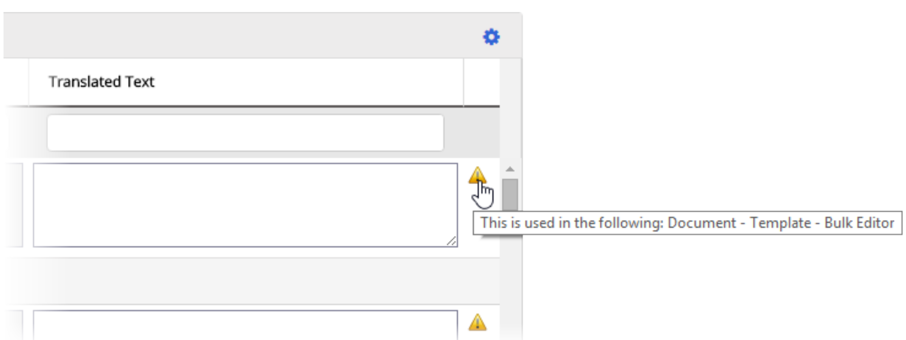
Search

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).



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 ⚠.



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-LI	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-SI	Slovenian	Slovenia
sq-AL	Albanian	Albania
sv-FI	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-LI	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	Viet Nam

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-FI	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-LI	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
Morocco	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-SI	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

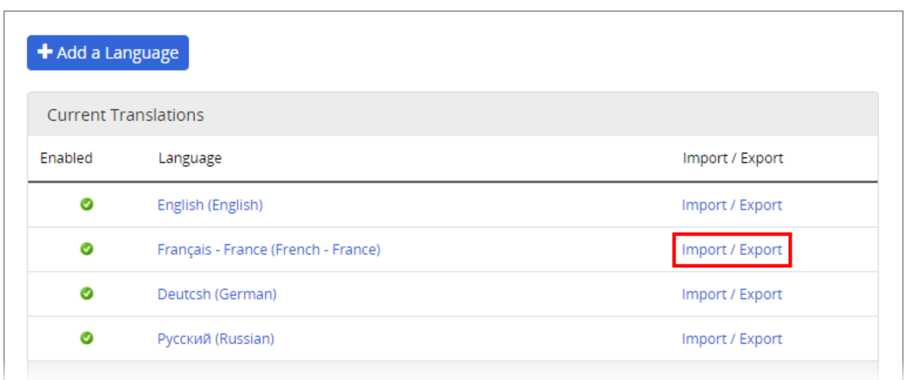
Trinidad and Tobago	en-TT	English
Tunisia	ar-TN	Arabic
Turkey	tr-TR	Turkish
U.A.E.	ar-BH	Arabic
Ukraine	uk-UA	Ukrainian
United Kingdom	en-GB	English
United States	en-US	English
Uruguay	es-UY	Spanish
Venezuela	es-VE	Spanish
Viet Nam	vi-VN	Vietnamese
Yemen	ar-YE	Arabic
Zimbabwe	en-ZW	English

RETURN TO TOP

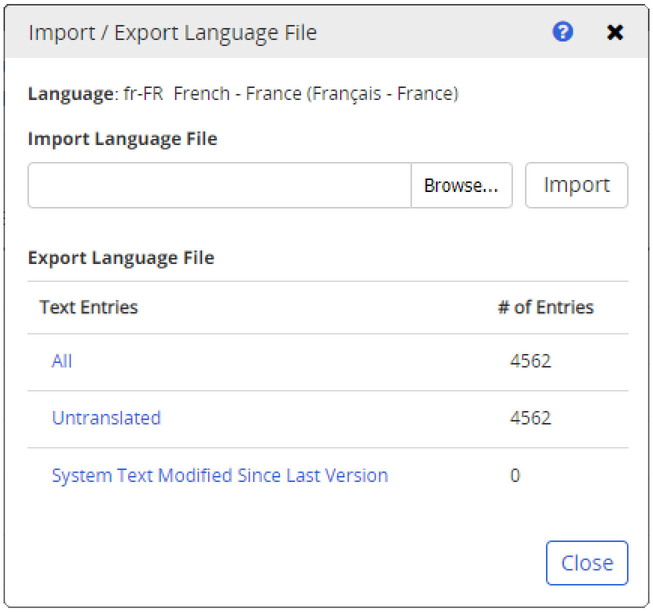
Exporting a Language File

To export a file containing a list of all the current default and translated text,

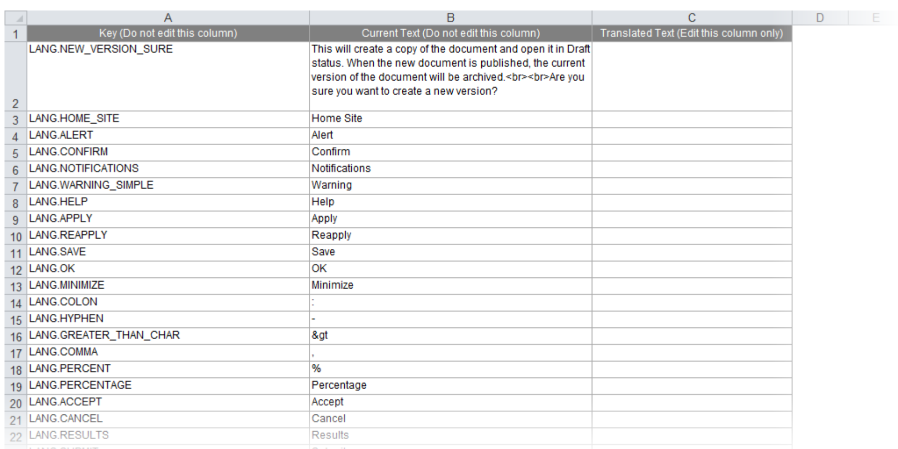
1. Click **System Settings**, click **System / IT Settings**, and then click **Language Files**.
2. Click **Import / Export** for the language file you want to export.



4. Click **All**, **Untranslated**, or **System Text Modified Since Last Version**.



5. Follow the prompts to open or save the exported Excel® (.xls) file.



	A	B	C	D	E
1	Key (Do not edit this column)	Current Text (Do not edit this column)	Translated Text (Edit this column only)		
2	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?			
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	OK			
13	LANG.MINIMIZE	Minimize			
14	LANG.COLON	:			
15	LANG.HYPHEN	-			
16	LANG.GREATER_THAN_CHAR	&gt			
17	LANG.COMMA	,			
18	LANG.PERCENT	%			
19	LANG.PERCENTAGE	Percentage			
20	LANG.ACCEPT	Accept			
21	LANG.CANCEL	Cancel			
22	LANG.RESULTS	Results			
23	LANG.SUBMIT	Submit			

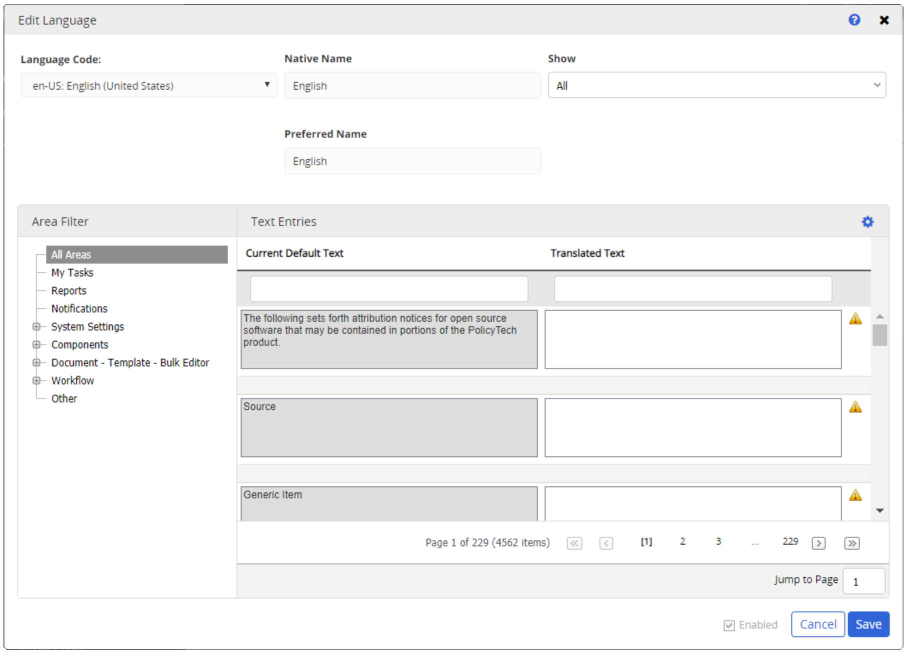
6. In the **Import / Export Language File** window, click **Close**.

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.



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 Working with a Purchased a Language File.

4. Find and edit text in the **Translated Text** column as necessary. For details on the tools provided for locating a text string, see Finding Specific User Interface Text.

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.

6. (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.
7. (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	B	C	D	E
1	Key (Do not edit this column)	Current Text (Do not edit this column)	Translated Text (Edit this column only)		
2	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?			
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	OK			
13	LANG.MINIMIZE	Minimize			
14	LANG.COLON	:			
15	LANG.HYPHEN	-			
16	LANG.GREATER_THAN_CHAR	&gt			
17	LANG.COMMA	,			
18	LANG.PERCENT	%			
19	LANG.PERCENTAGE	Percentage			
20	LANG.ACCEPT	Accept			
21	LANG.CANCEL	Cancel			
22	LANG.RESULTS	Results			
23	LANG.SUBMIT	Submit			

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.)

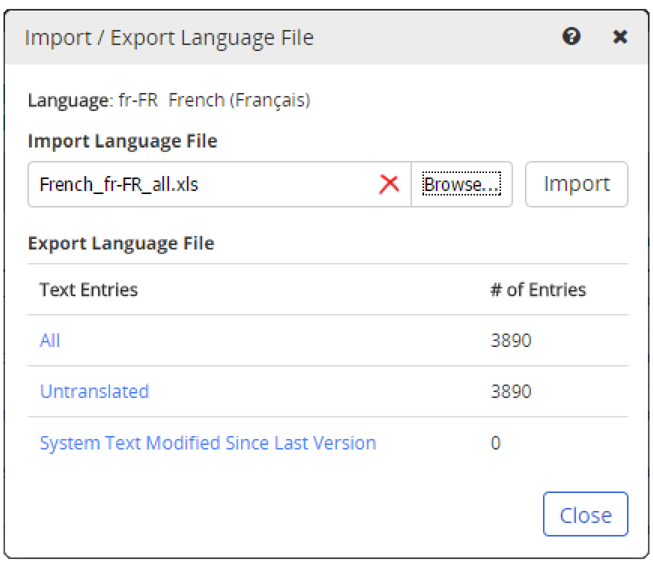
3. Save the file.

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 Exporting a Language File). In addition, a language file can only be imported into an existing PolicyTech language file. See Adding Language Translations 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**.

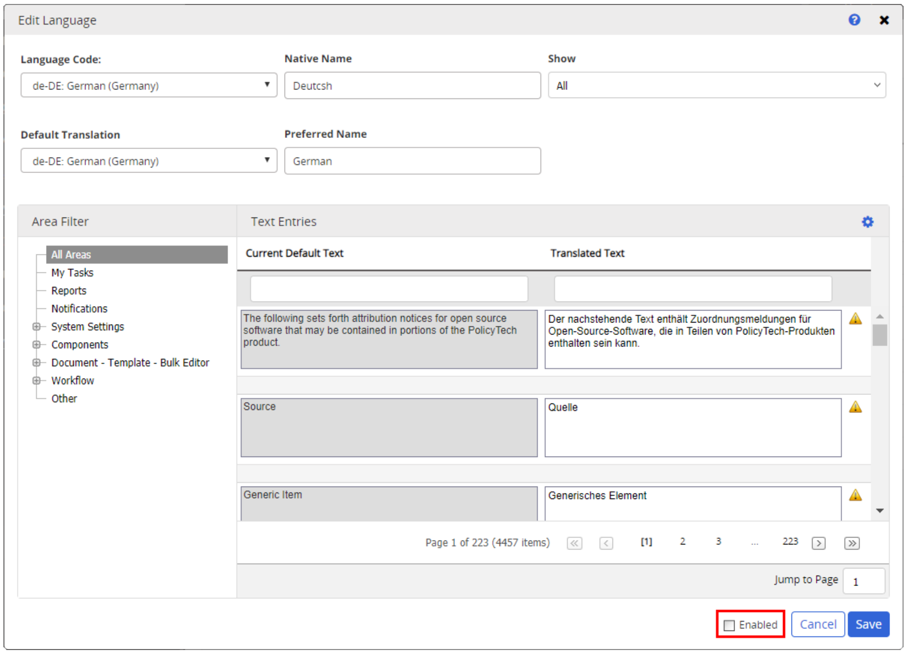


5. Click **Close**.

Enabling or Disabling a Language

1. Click **System Settings**, click **System / IT Settings**, and then click **Language Files**.

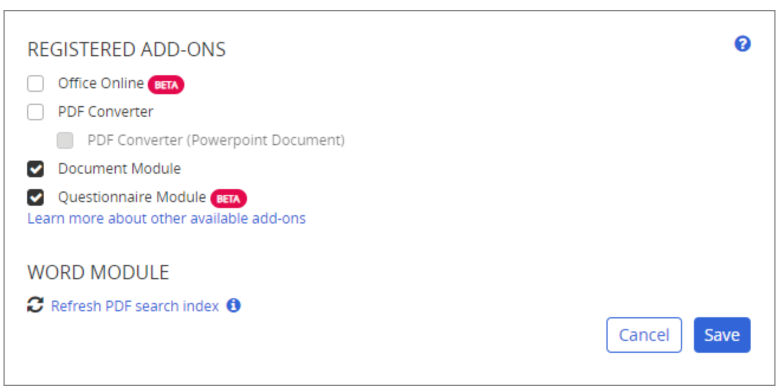
2. Click the language you want to enable or disable.
3. Select or click to clear the **Enabled** check box.



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

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 Set Up PDF Converter 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 User's Guide 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 Activate PDF Converter 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 Pro—to 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.

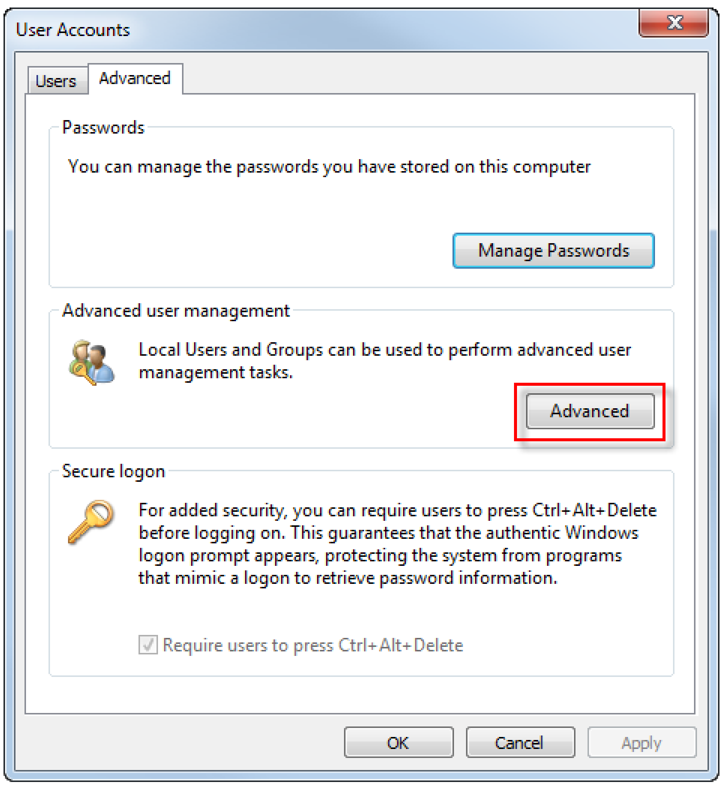
If you're reinstalling PolicyTech on the same server, use the serial number from the previous Document Converter Pro installation. If you don't know that serial number, contact Client Support at one of the numbers listed above to retrieve it.

Create a Local Administrator Account

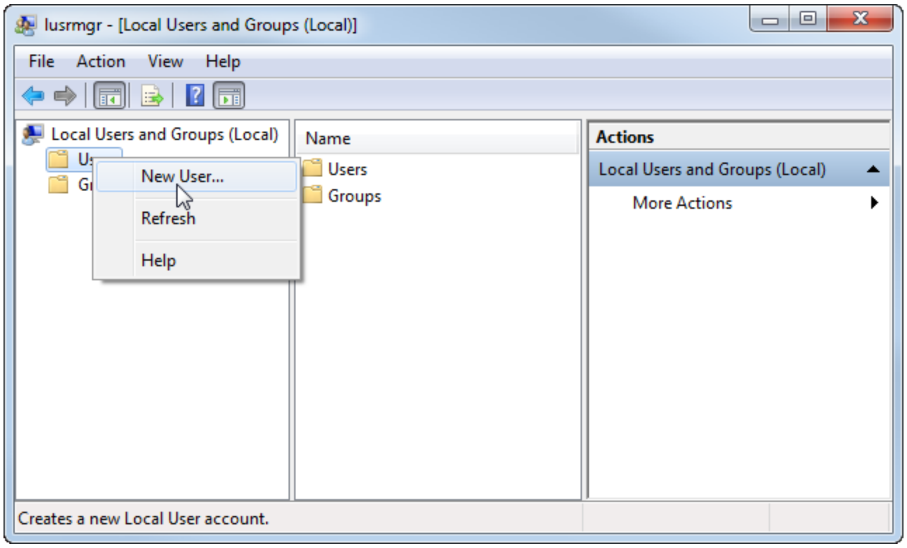
On the computer where PDF Converter will be installed (usually the server where the PolicyTech website is installed), you need to create an administrator user account that will be used by PDF Converter.

Note: PDF Converter should not be installed on a server that is an Active Directory domain controller.

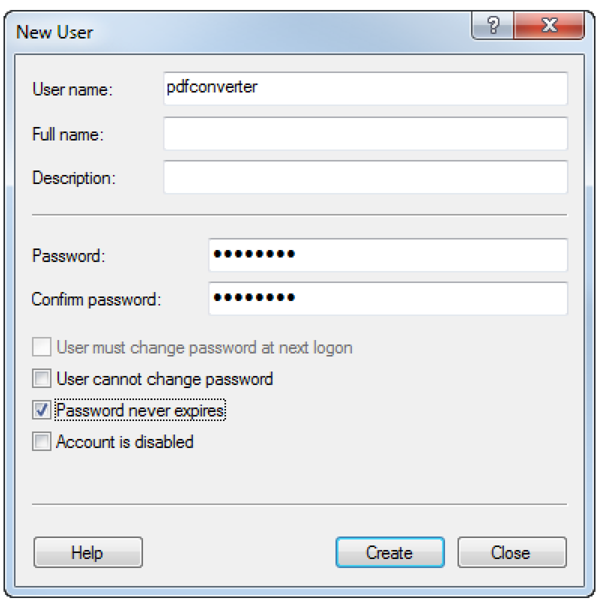
1. Log in to the computer as an administrator.
2. Click **Start**, and then click **Control Panel**.
3. In the search box, type **user accounts**, and then click **Give other users access to this computer**.
4. Click the **Advanced** tab, and then click **Advanced**.



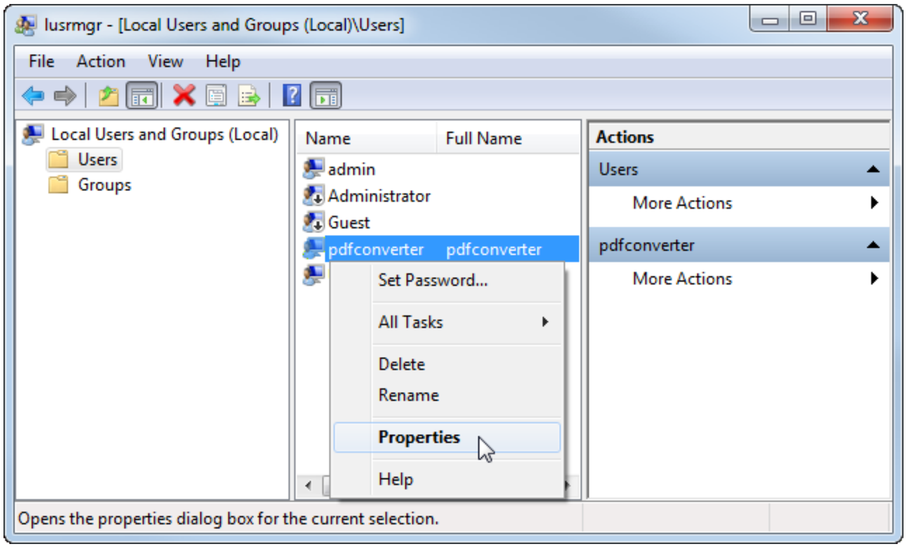
5. In the left panel, right-click **Users**, and then click **New User**.



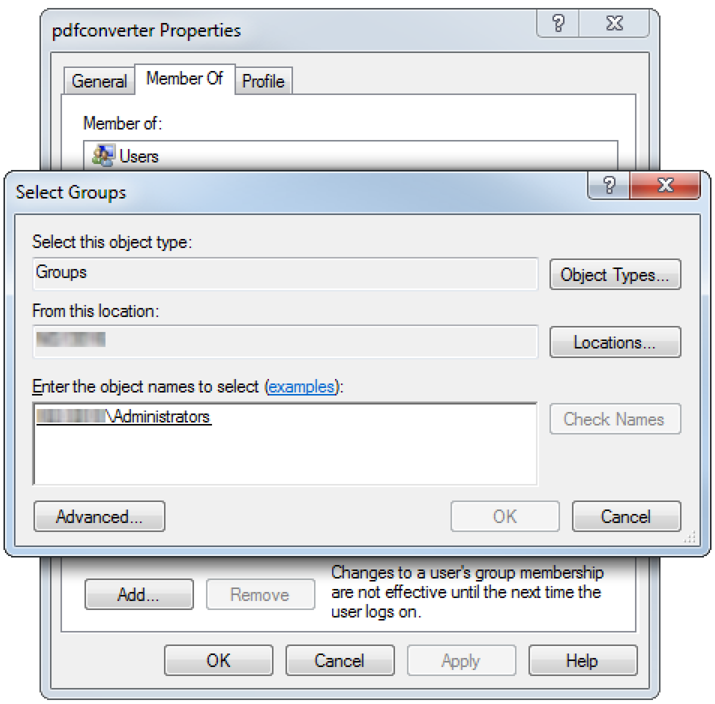
6. Type a user name, such as **pdfconverter**.
7. Type a password, and then, for **Confirm Password**, type it again.
8. Make note of the user name and password.
9. Click to clear the **User must change password at next logon** check box.
10. Select **Password never expires**.



11. Click **Create**, and then click **Close**.
12. In the middle panel, right-click the user you just added, and then click **Properties**.



13. Click the **Member Of** tab, and then click **Add**.



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 Client Resource Center. 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.

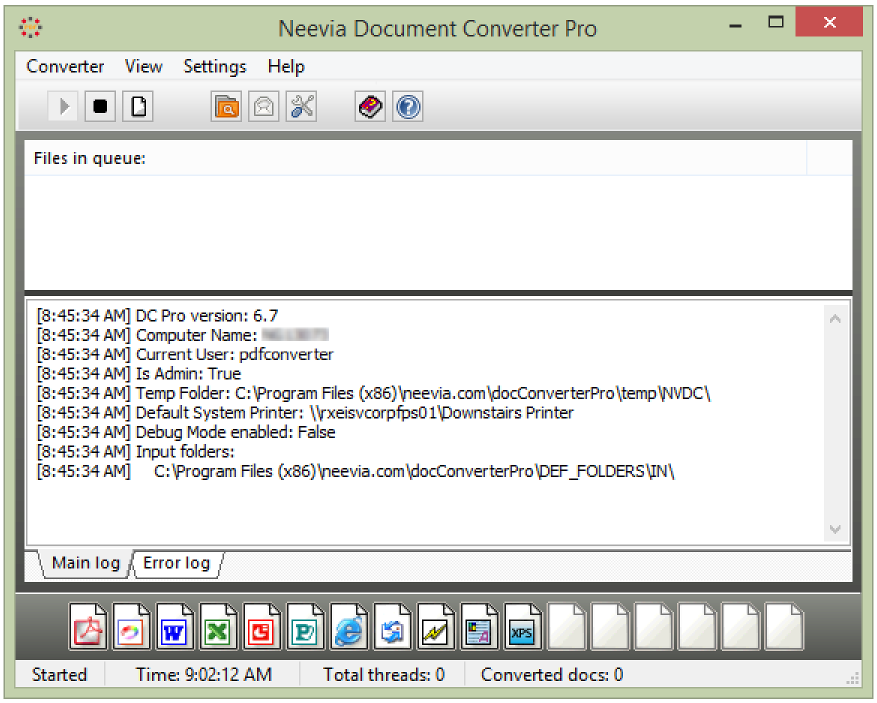
2. Run the downloaded file as an administrator and follow the prompts.

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

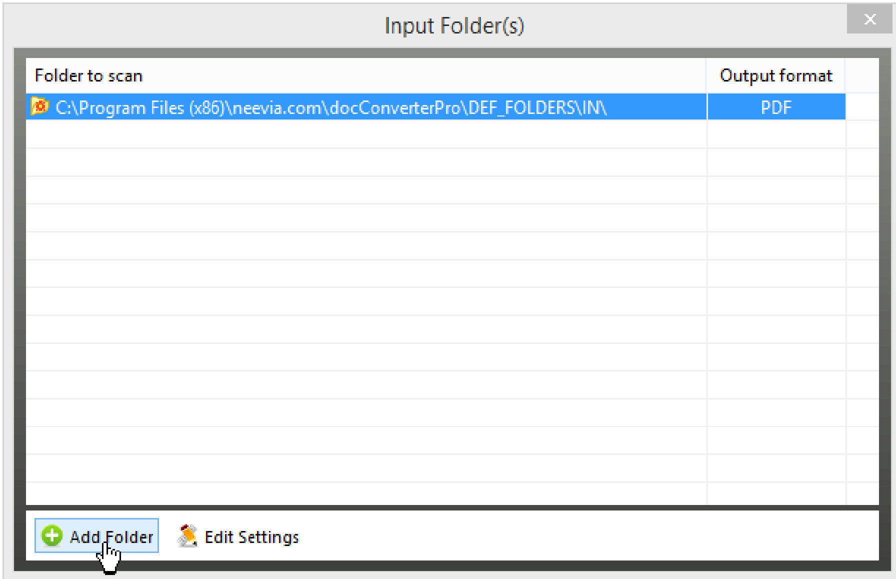
Important: If you are reinstalling Document Converter Pro and saved a copy of the **configs** folder from the previous installation, you can copy the **configs** folder into the directory structure of the new installation now, replacing the existing folder and its contents, and skip the remainder of 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**.



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**.



3. Click the button next to the **Folder to scan** box, find and click the following folder, and then click **OK**.

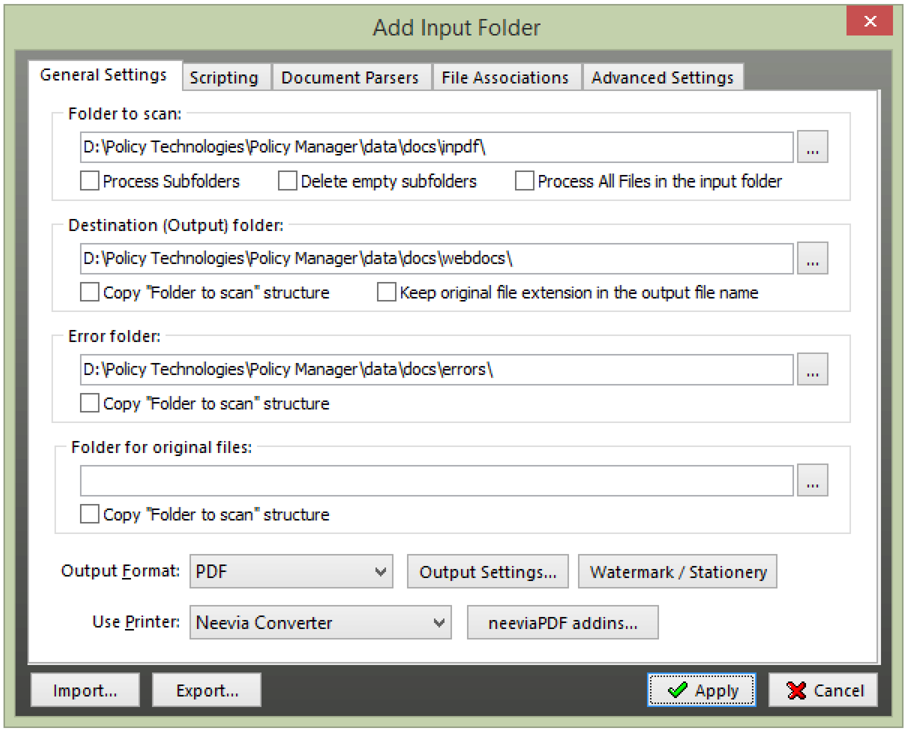
   [*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\inpdf

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

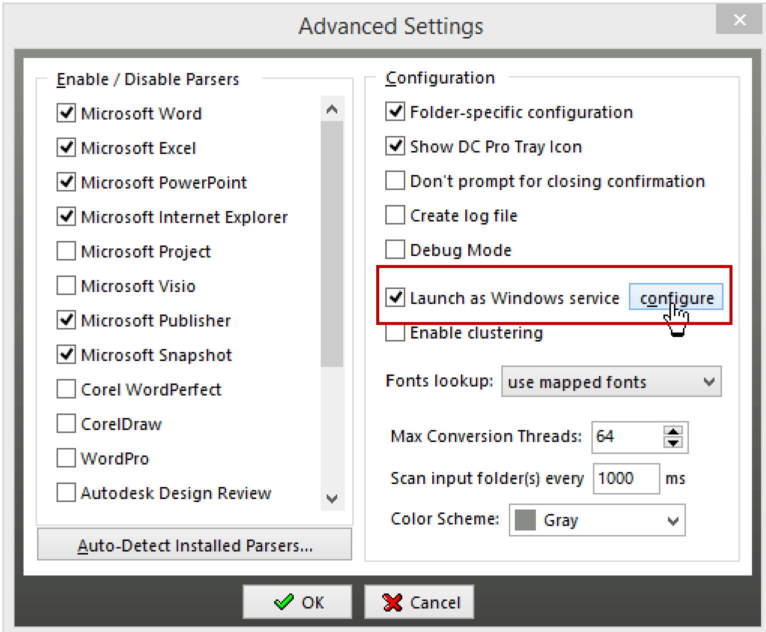
5. The error folder is not automatically created when installing PolicyTech. Copy the **Destination (Output) folder** path, paste it into the **Error** folder box, and then change **webdocs** to **errors** so that it looks like the path below. (The **errors** folder will be added when you run the Document Converter Pro service.)

   [*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\errors



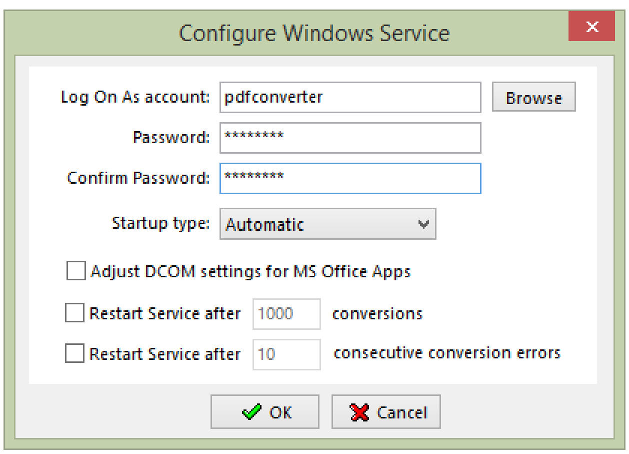
Because the PolicyTech document copies are no longer needed after PDF versions of those documents have been created, leave the **Folder for original files** box blank.

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**.



10. For **Log On As account**, click **Browse**, click the local user you created for PDF Converter, and then click **Select**.

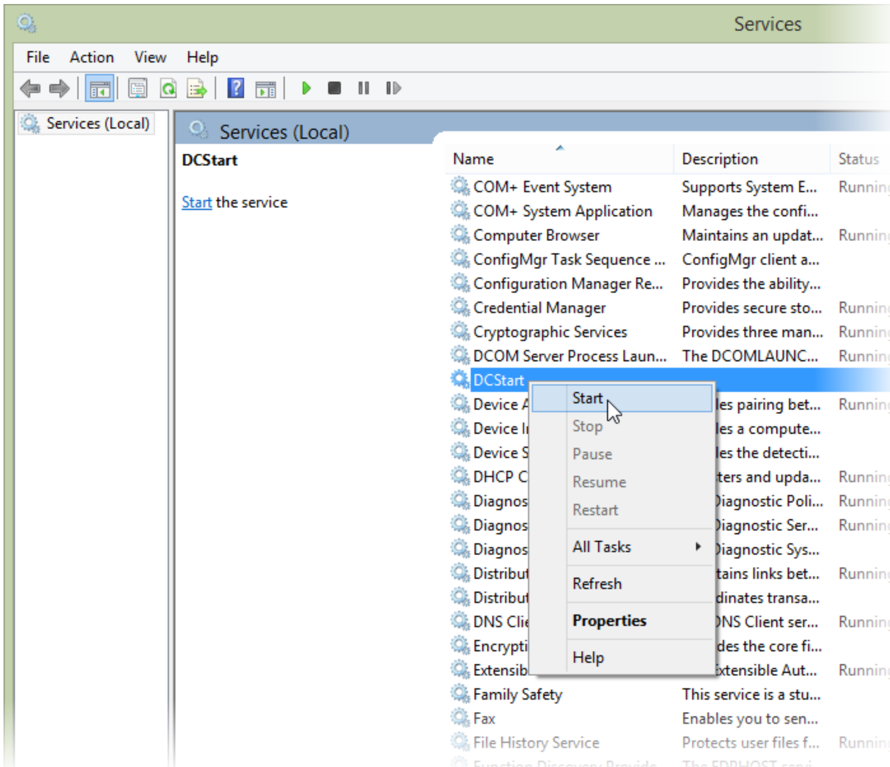
11. For **Password** and **Confirm Password**, type the user's password, and then click **OK** twice.



12. Close the **Neevia Document Converter Pro** window.

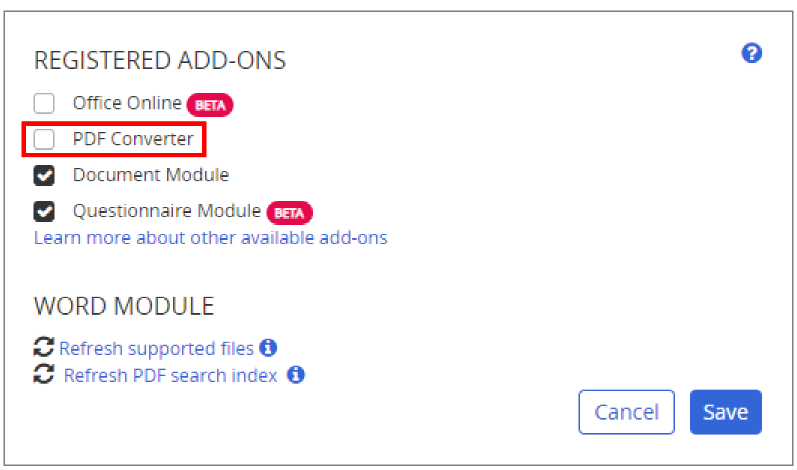
Start Document Converter Pro Service

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**.



2. Select **PDF Converter**, and then click **Save**.

Automated User Synchronization

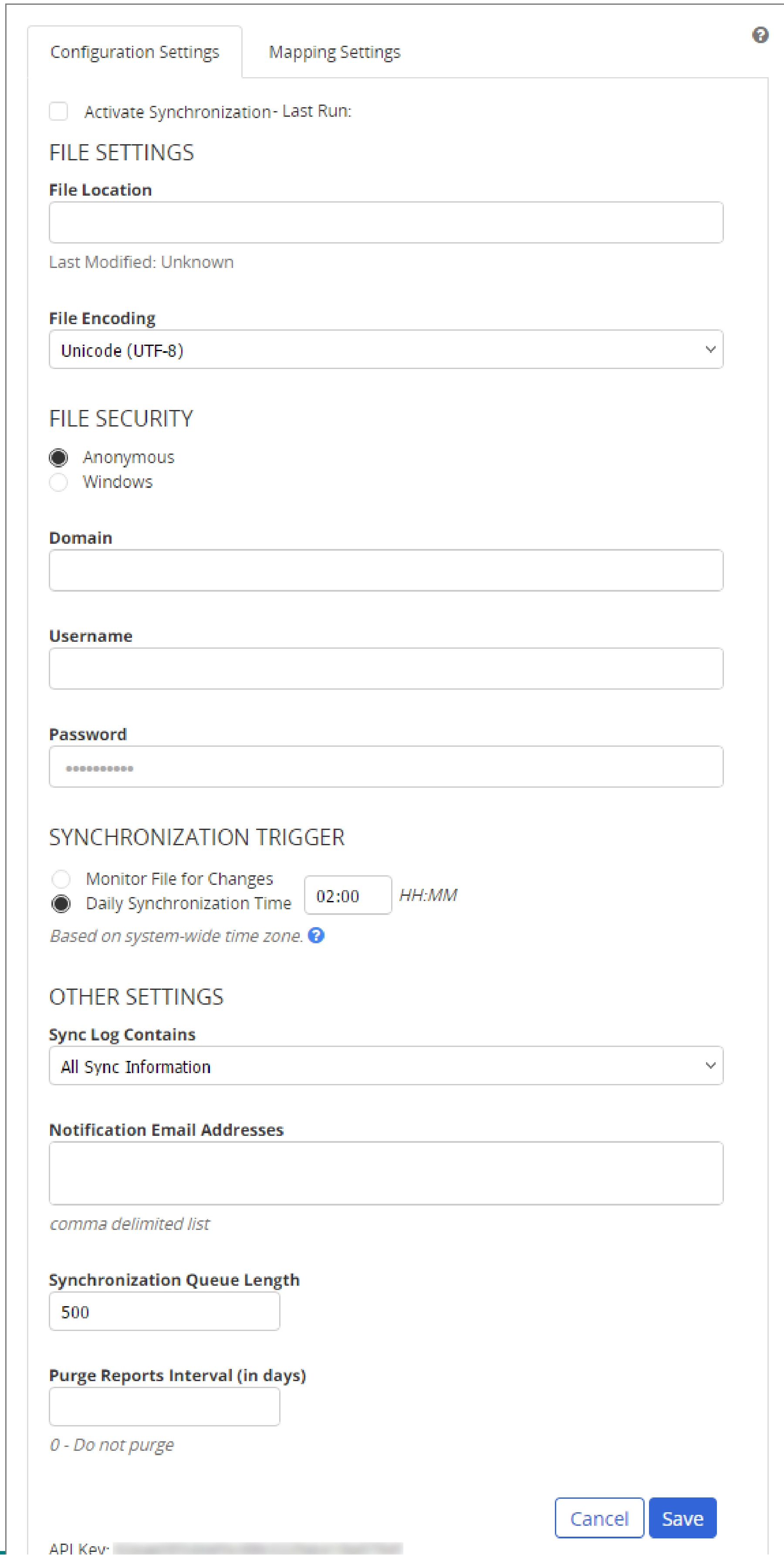
Use the **Automated User Synchronization** settings to schedule a daily, full synchronization of users from an import file. The way you use this feature depends on whether you have installed PolicyTech on your organization's premises or whether your PolicyTech system is hosted by NAVEX Global. Click 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 Synchronization - Last Run:
FILE SETTINGS
File Location
Last Modified: Unknown
File Encoding
Unicode (UTF-8)
FILE SECURITY
Anonymous
Windows
Domain
Username
Password
SYNCHRONIZATION TRIGGER
Monitor File for Changes
Daily Synchronization Time
02:00
HH:MM
Based on system-wide time zone.
OTHER SETTINGS
Sync Log Contains
All Sync Information
Notification Email Addresses
comma delimited list
Synchronization Queue Length
500
Purge Reports Interval (in days)
0 - Do not purge
Cancel
Save
API Key:

2. In the **File Settings** area, you designate the name and location of the tab-delimited user import file that you will periodically update. (See Importing and Syncing Users from Another Database 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:

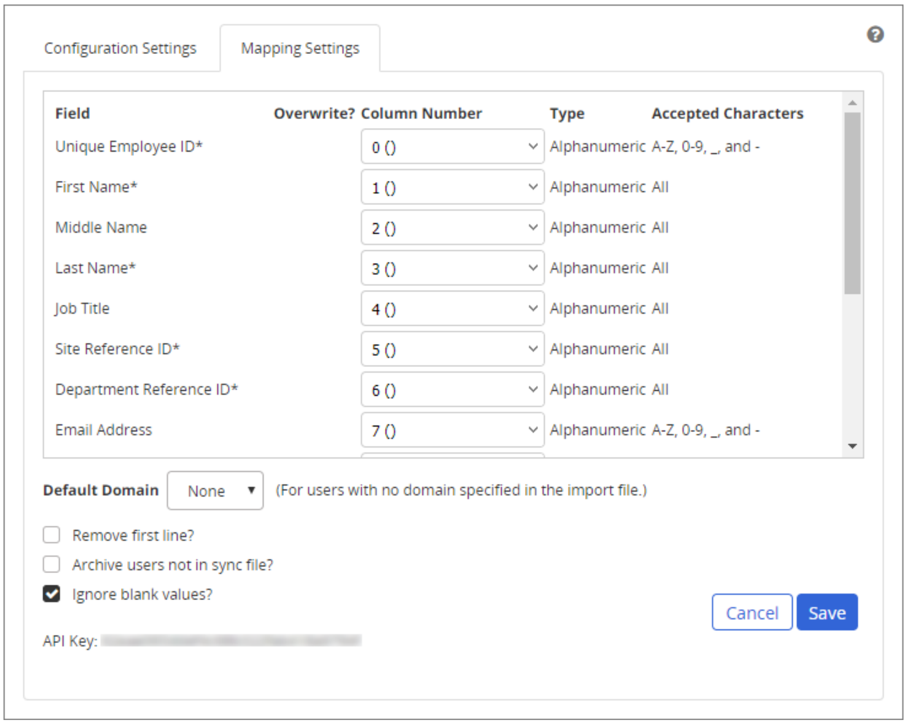
   - For **Sync Log Contains**, click **All Sync Information**, **ONLY Changes**, **ONLY Errors**, or **Errors and Changes**.
   - Type one or more email addresses separated by commas if you want a notification email sent to specific users whenever an error occurs during the import and sync process.
   - 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.



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**.

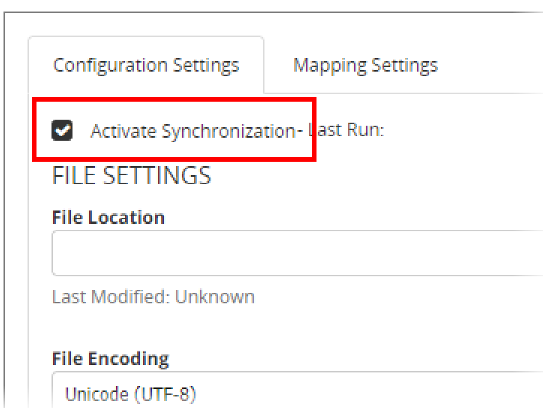
Note: Fields marked with an asterisk (*) are required.

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.

10. (Optional) If you're using Microsoft® Active Directory® and have defined domains in PolicyTech (see Active Directory Settings), 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 Archiving a User).

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**.



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

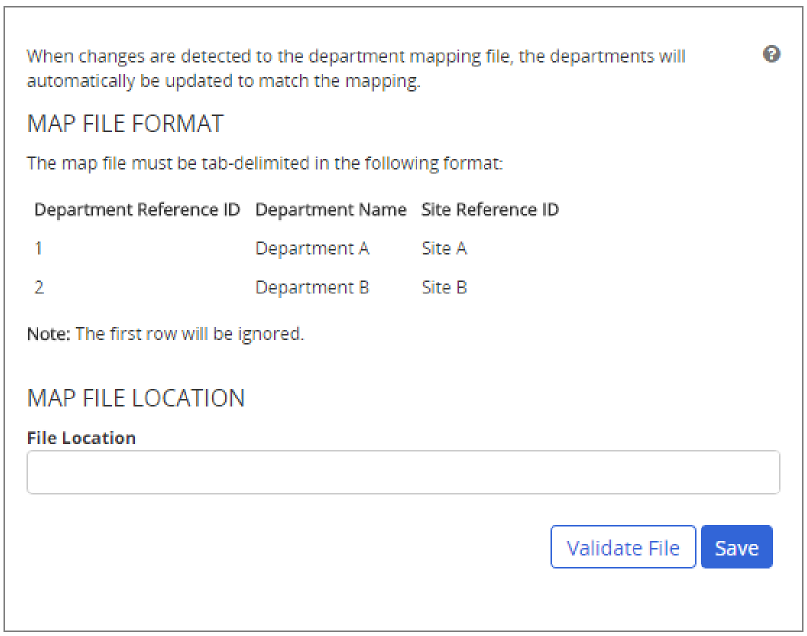
Use the **Automated User Synchronization** settings to activate a daily, full synchronization of departments from an import file. The way you use this feature depends on whether you have installed PolicyTech at your site or whether your PolicyTech system is hosted by NAVEX Global. Click the link below 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**.



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

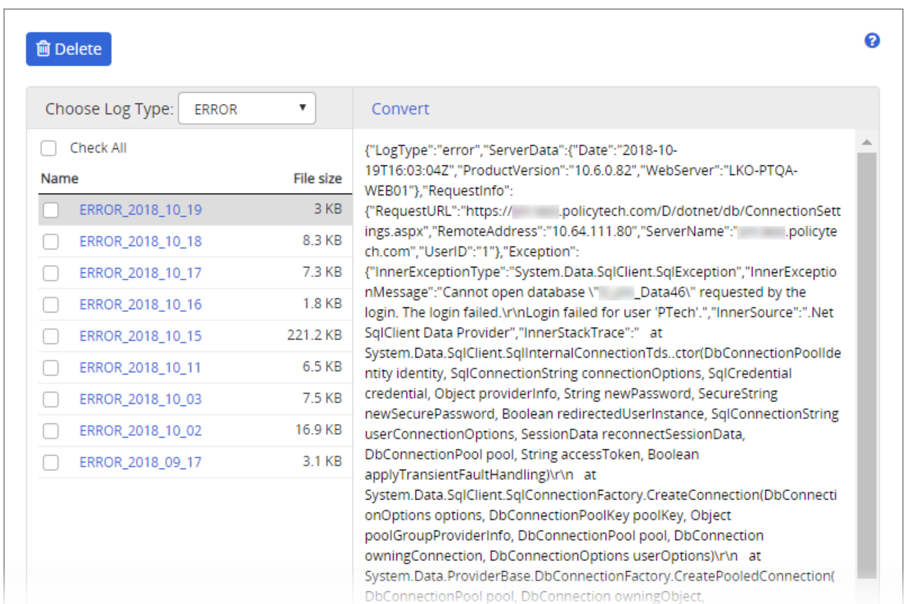
Because you do not have direct access to the server hosting your PolicyTech installation, you must use a tool called User Provisioning Service to get your sync files to the PolicyTech server. See the Installation & Configuration Guide: User Provisioning Service for details.

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**.



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**.

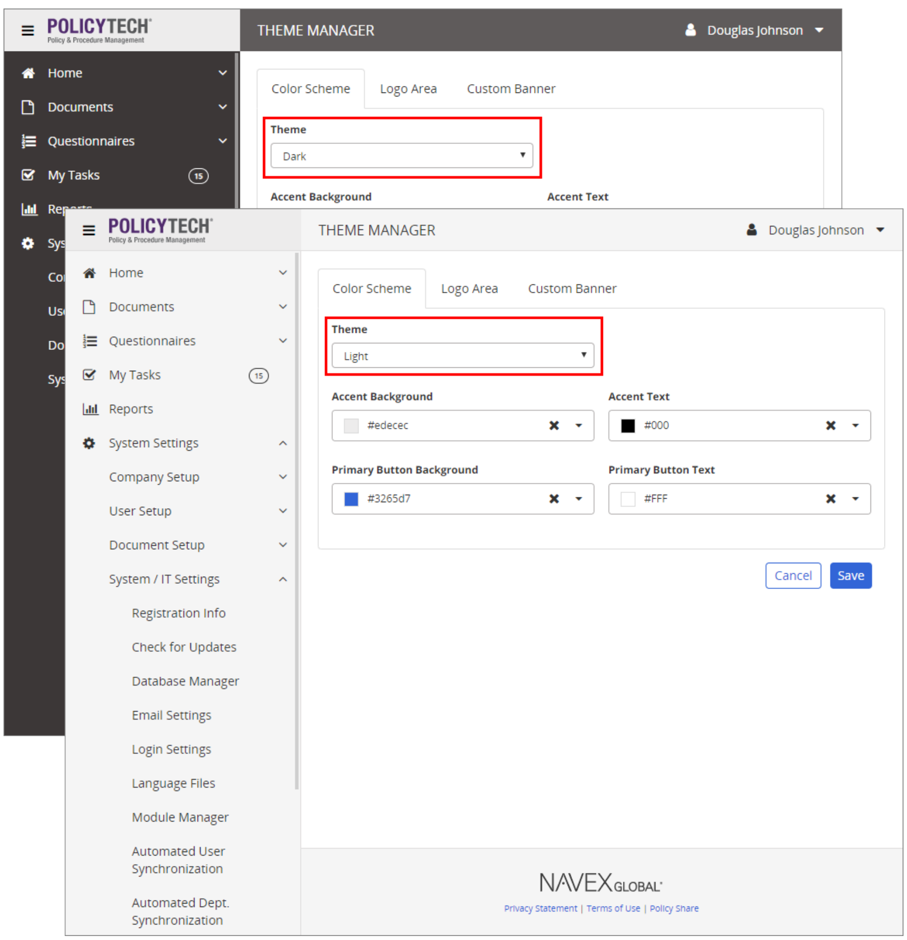
Theme Manager

Use Theme Manager to customize various aspects of the user interface, including the color scheme, logo, and custom banner.

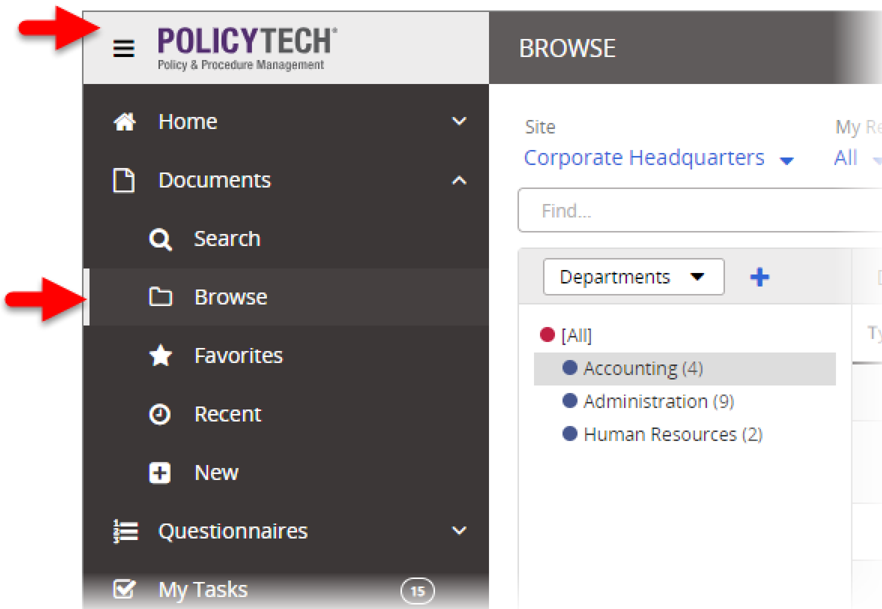
Color Scheme

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.

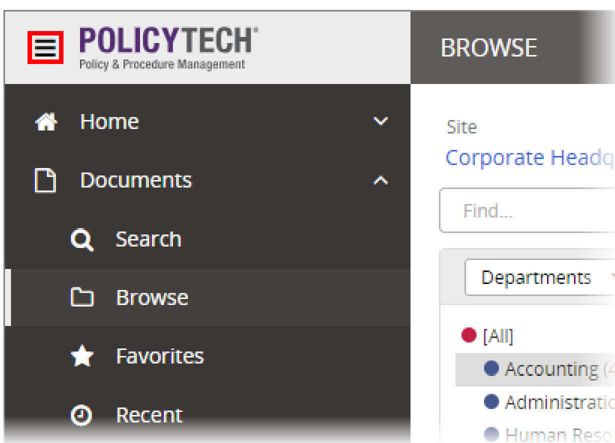
Note: The change will not be made until you click **Save**.



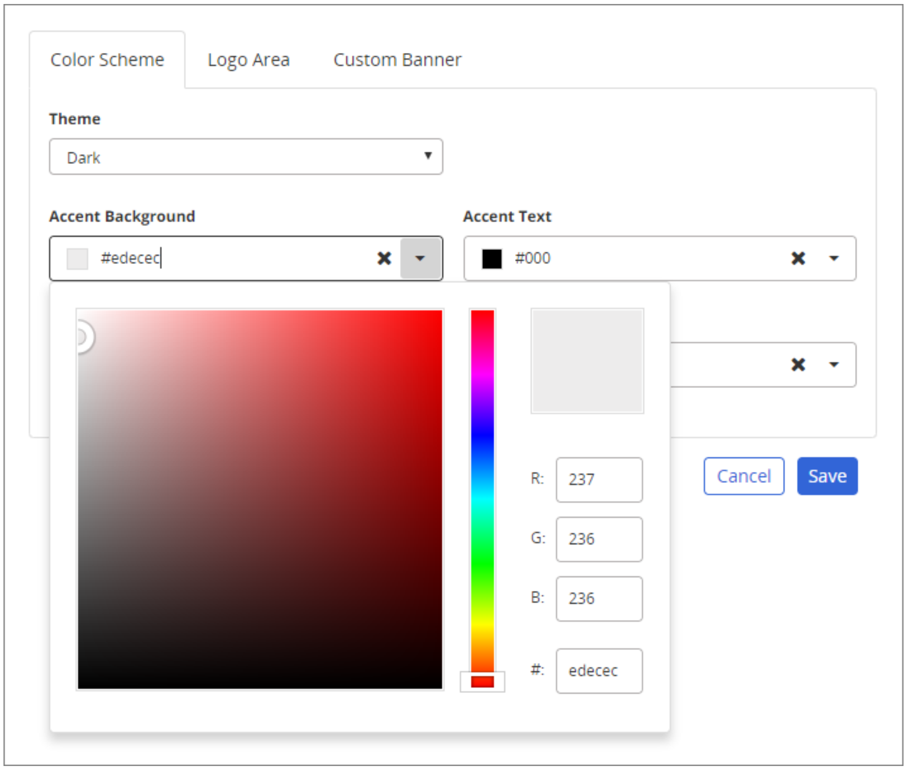
- The **Accent Background** option affects the background of the rectangular logo area in the upper left corner and the "selected" indicator in the sidebar menu.



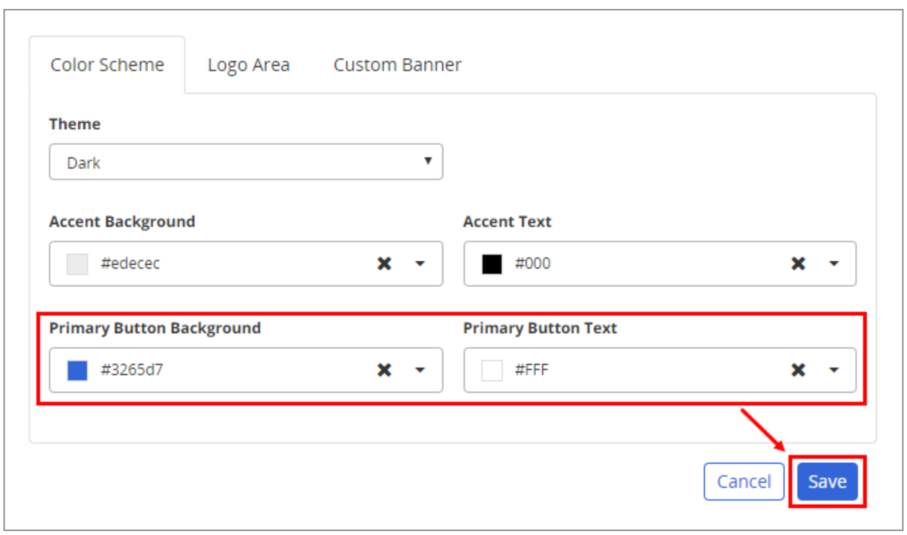
The **Accent Text** option affects the **Toggle Sidebar** icon as well as the custom logo labels (see [Logo Area](#) below).



For **Accent Background** and **Accent Text**, select a color or type an RGB or hexadecimal color code.



- The **Primary Button Background** and **Primary Button Text** options affect action buttons (such as **Save** in the **Color Scheme** tab) throughout the PolicyTech application.

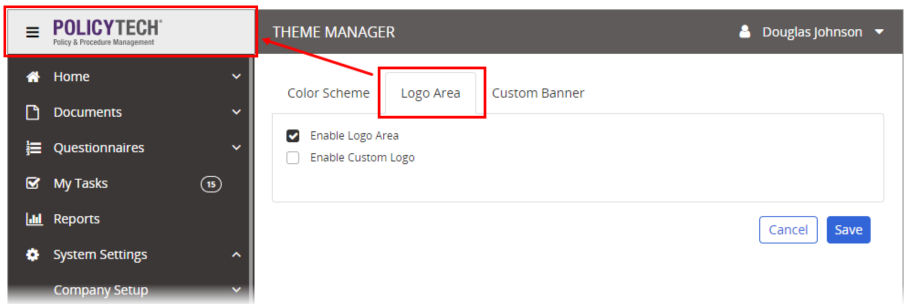


For **Primary Button Background**, and **Primary Button Text**, select a color or type an RGB or hexadecimal color code.

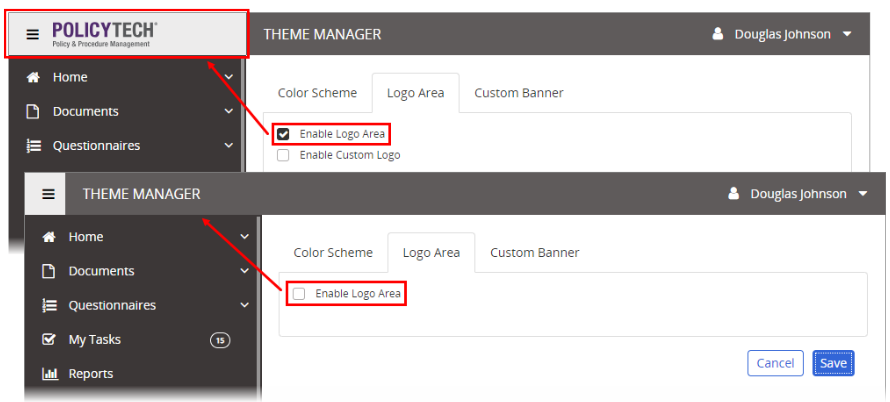
3. Click **Save**.

Logo Area

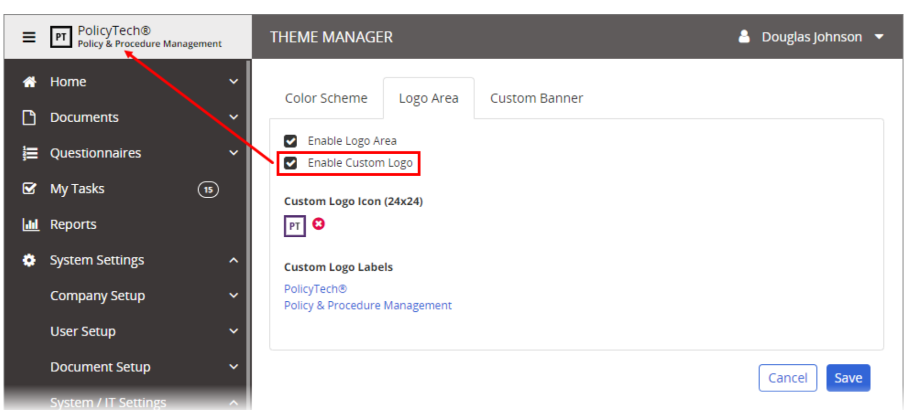
1. Click **System Settings**, click **System / IT Settings**, and then click **Theme Manager**.
2. Click the **Logo Area** tab, and then do any of the following to customize the rectangular area in the upper left corner.



- To hide the logo area, click to clear the **Enable Logo Area** check box.



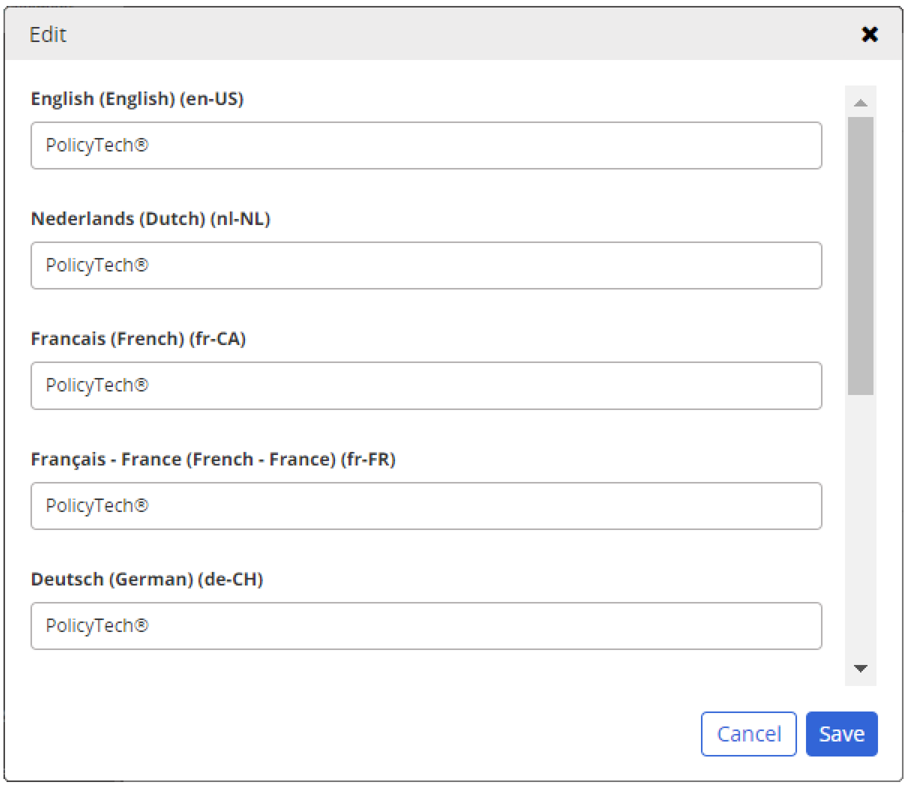
- To create a custom logo, make sure **Enable Logo Area** is selected, and then select **Enable Custom Logo**.



To change the logo, under **Custom Logo Icon** click 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:

Important: For best results, create an icon image that is exactly 24 by 24 pixels in size. If the image file you select is a different size, it will be reduced or enlarged to fit in the 24 by 24 pixel area.

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 Language Files), you can enter different text for each language. When finished, click **Save**.



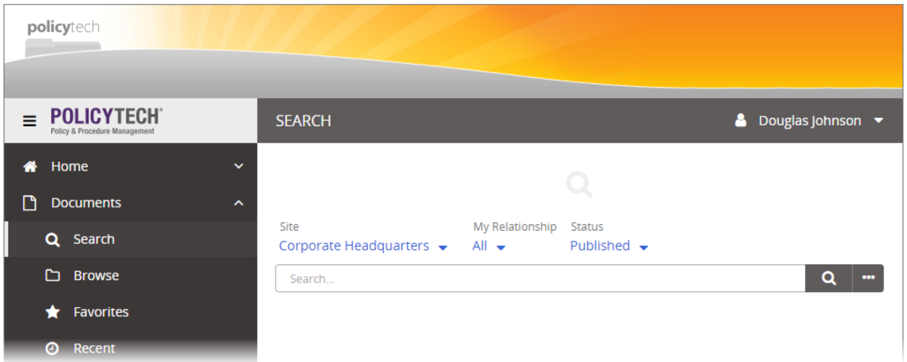
Notes:

- 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.

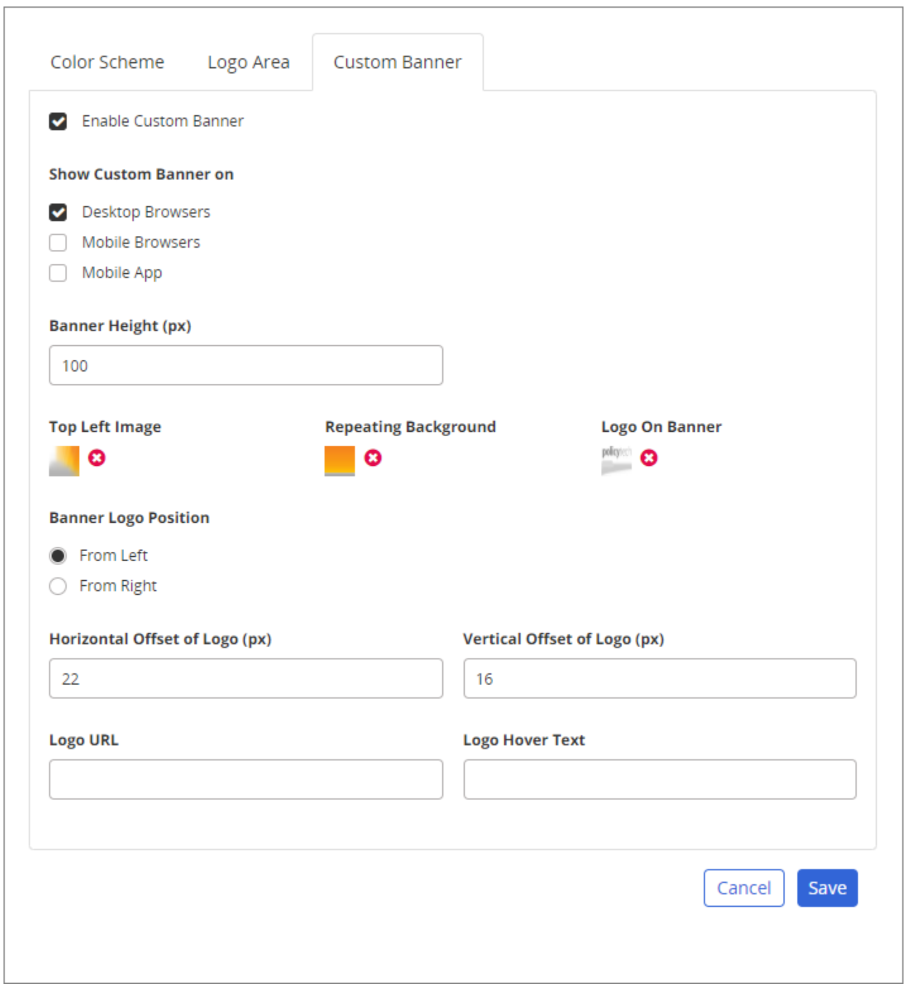
3. Click **Save** to apply your changes.

Custom Banner

You can enable and customize the legacy PolicyTech banner .

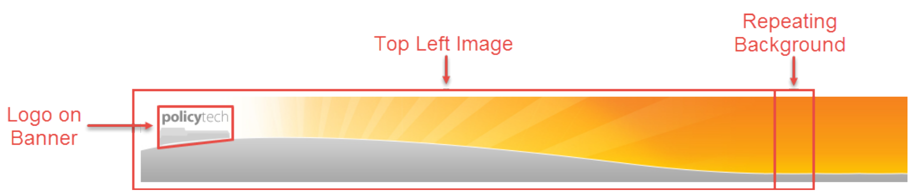


1. Click **System Settings**, click **System / IT Settings**, and then click **Theme Manager**.
2. Click the **Custom Banner** tab, and then select **Enable Custom Banner**.



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 ✖ 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 ✖ 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 Theme Manager).

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 SharePoint 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.

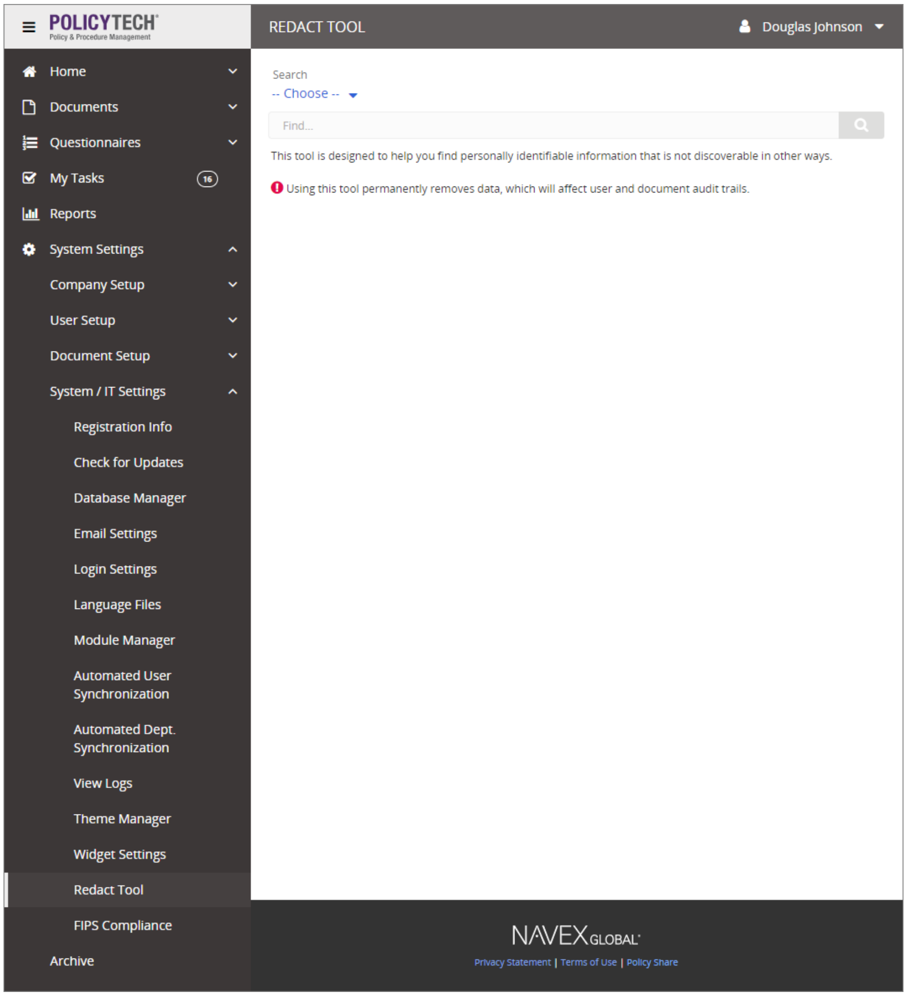
The redaction text is in the following format:

Redacted by User [*unique PolicyTech-generated user ID*] on [*date*]

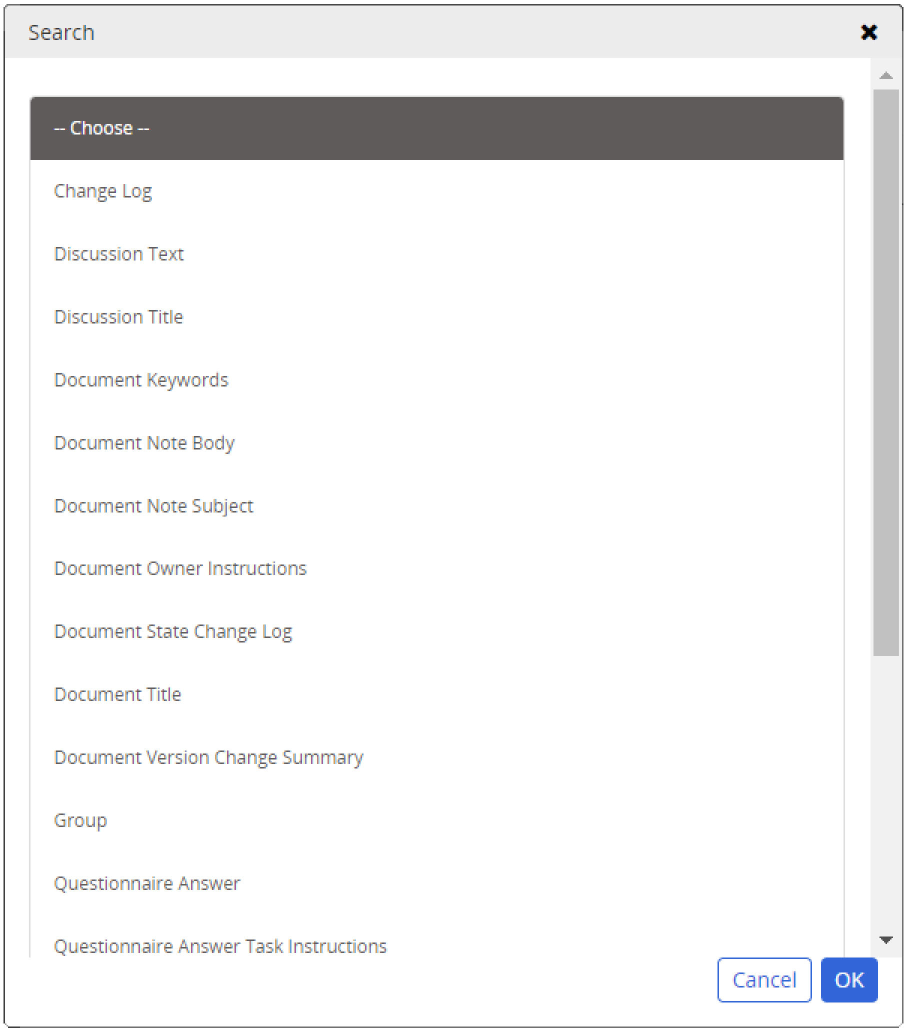
Important: Be aware that the Redact Tool is destructive and use it with extreme caution. Redacted data cannot be restored and may break audit trails and reports.

To use the Redact Tool:

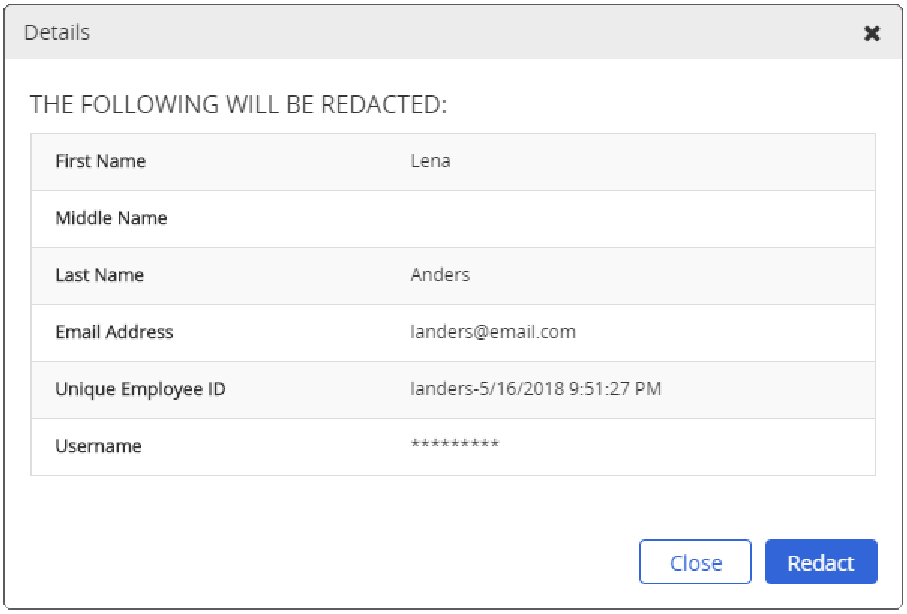
1. Log in as a global administrator.
2. Click **System Settings**, click **System / IT Settings**, and then click **Redact Tool**.



3. Under **Search**, select a data type, and then click **OK**.



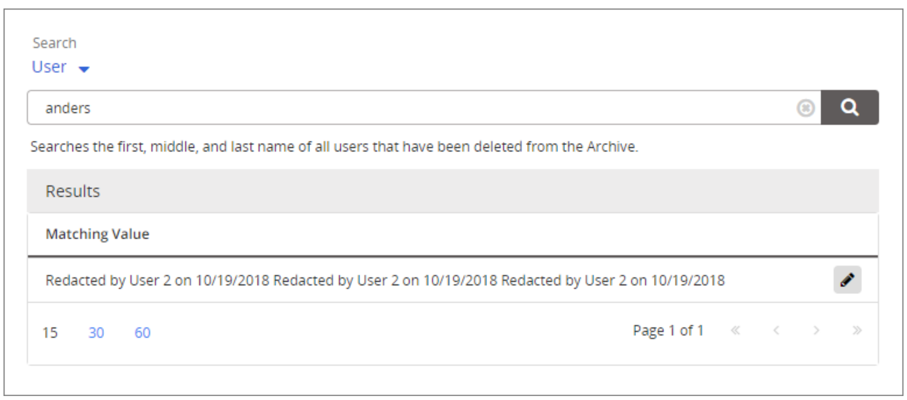
4. In the **Find** box, type part or all of the text you need to find, and then click .
5. For the data value you want to redact, click , and then check the **Details** information to make sure it is actually what you need to redact.



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.



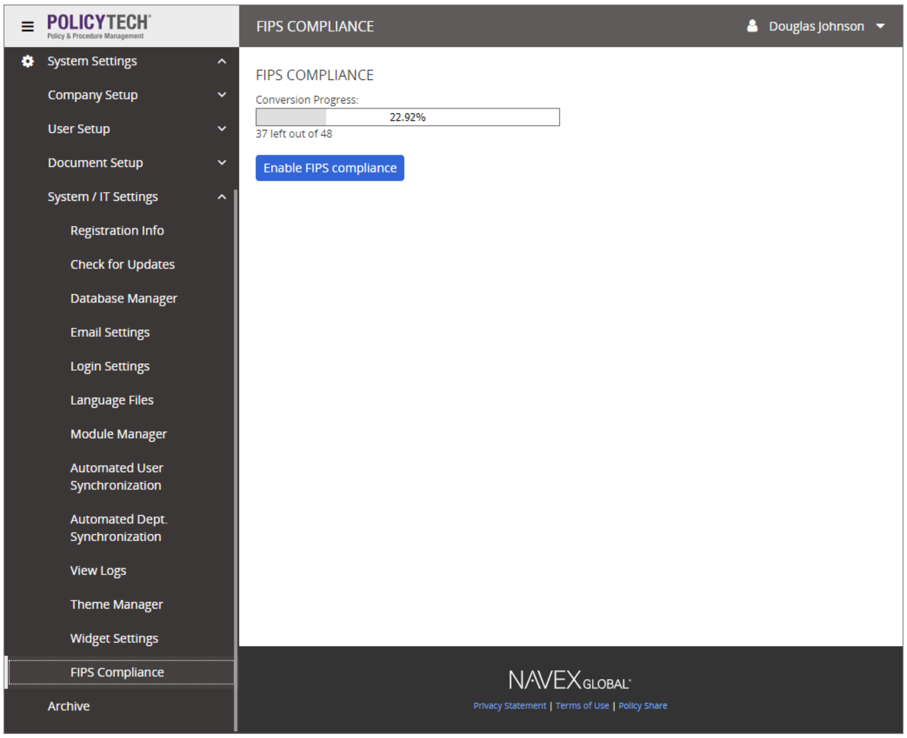
FIPS Compliance

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 re-encrypted 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.



3. (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 Resetting a User's Password).

API Keys

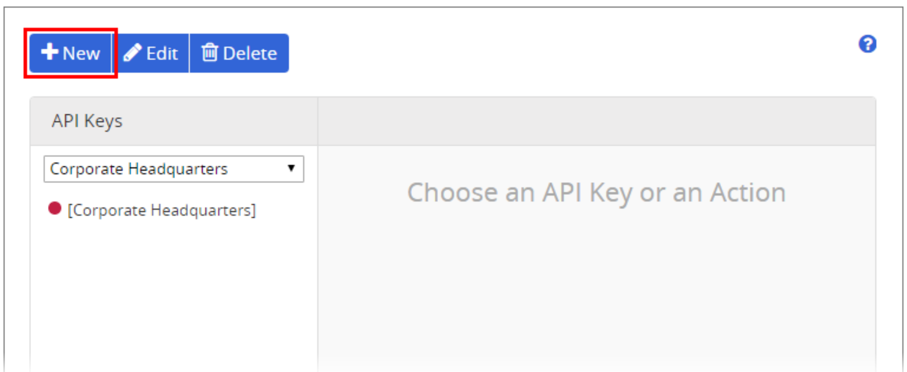
Important: This feature is only available if it has been enabled. See Enable an Advanced Feature Add-On for details.

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 Sharepoint Integration via Federated Search.

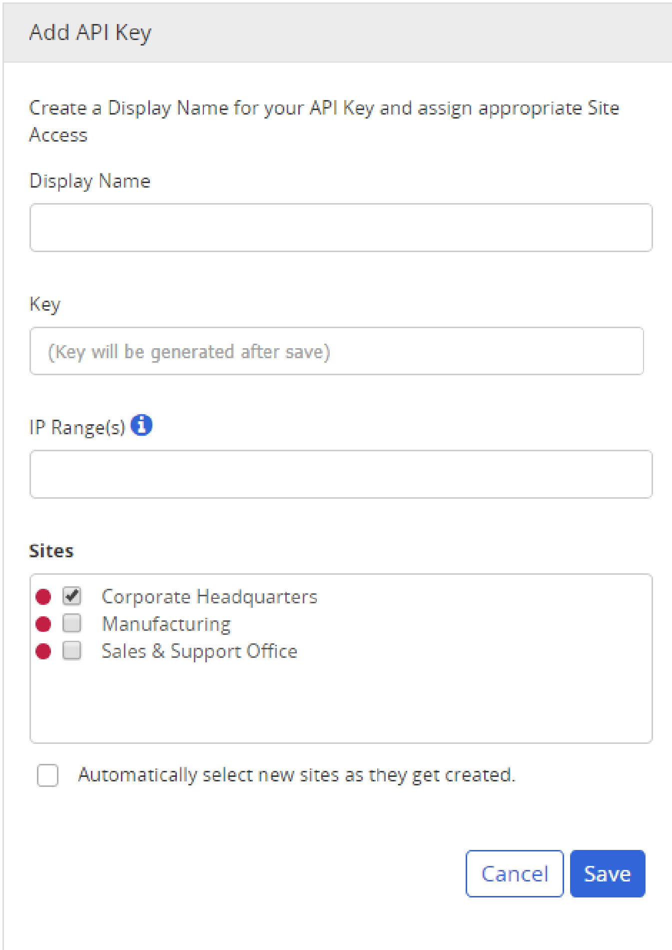
Note: Using the PolicyTech API only gives access to documents assigned the **All Users** or **Public** security level. Documents assigned **Restricted - High** or **Restricted - Severe** are not accessible.

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**.



3. Type a display name. This is for your own use in managing keys.



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.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

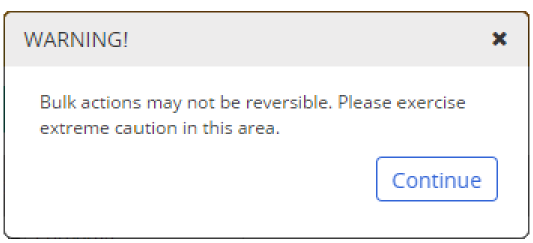
If you ever feel that a key has been compromised, disable the key by regenerating or deleting it.

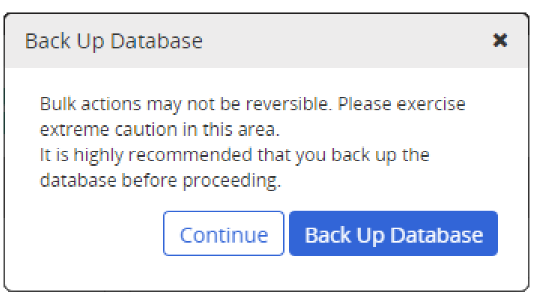
1. Click **System Settings**, click **System / IT Settings**, and then click **API Keys**.
2. Click the key name to show its details.
3. Do either of the following:
   - To regenerate the key, click to the right of the **Key** box, and then copy and send the new key to the programmer.
   - To delete 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).

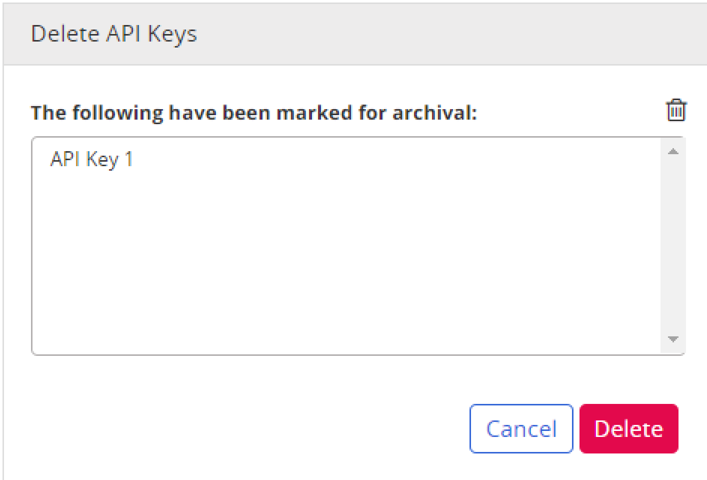
     Do one of the following:

     - 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**.





Click the red **Delete** button, and then create a new key if necessary.


Delete API Keys
The following have been marked for archival:
API Key 1
Cancel
Delete

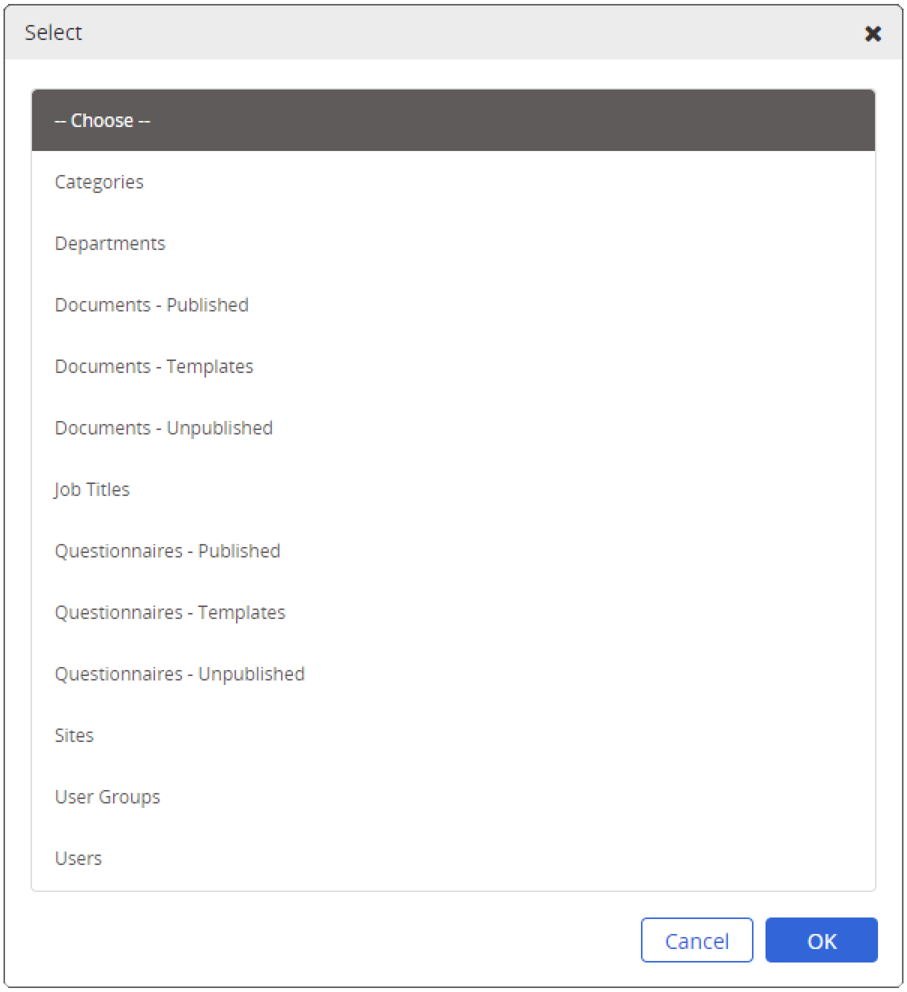
The Archive

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.



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:

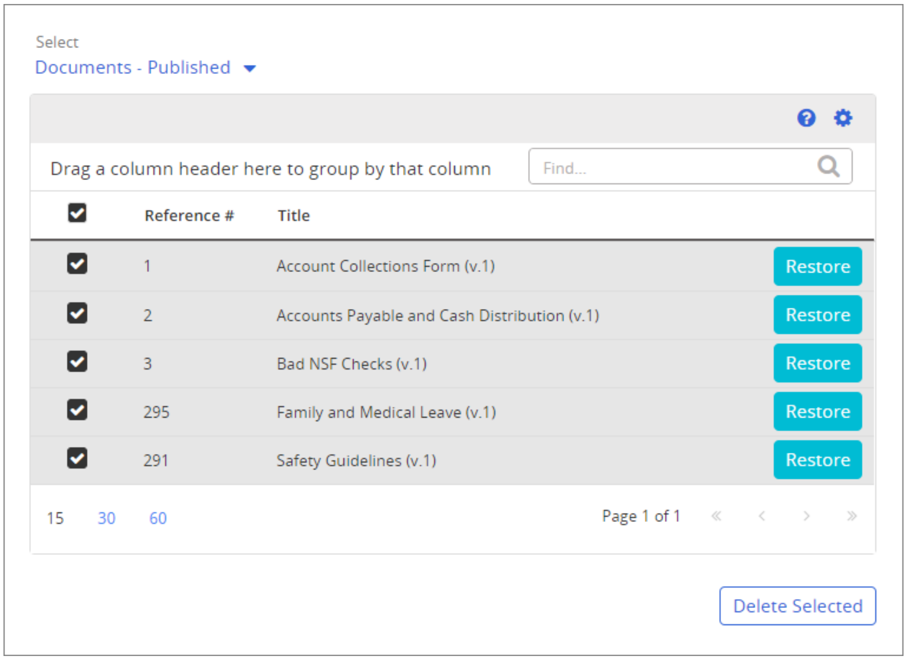
- With filters on, start typing in a filter box to limit the list to only those items containing matching column text.
- By default, the filter operator is **Contains**. To change the filter

operator, point to after the filter box, and then click a different operator, such as **Starts with** or **Equals**.

- To clear a column filter, point to , 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.



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

As an administrator, you can force a document or questionnaire from one workflow status to another. See the sections below for details:

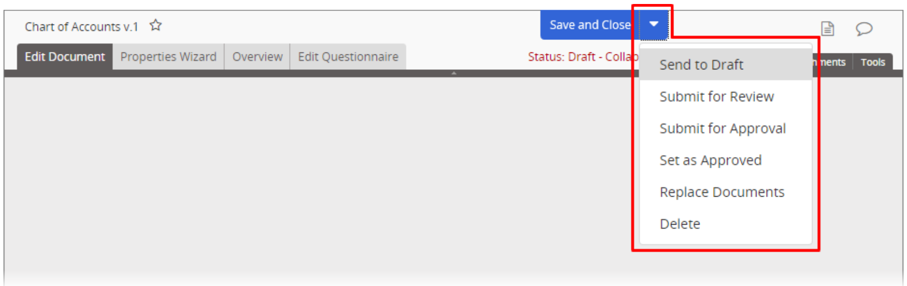
Returning a Document or Questionnaire to Draft Status

As an administrator, you can return any document or questionnaire currently in the Review or Approval status back to draft.

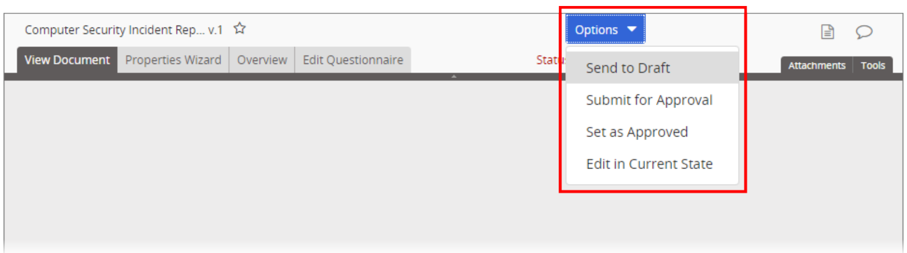
Notes:

- 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.

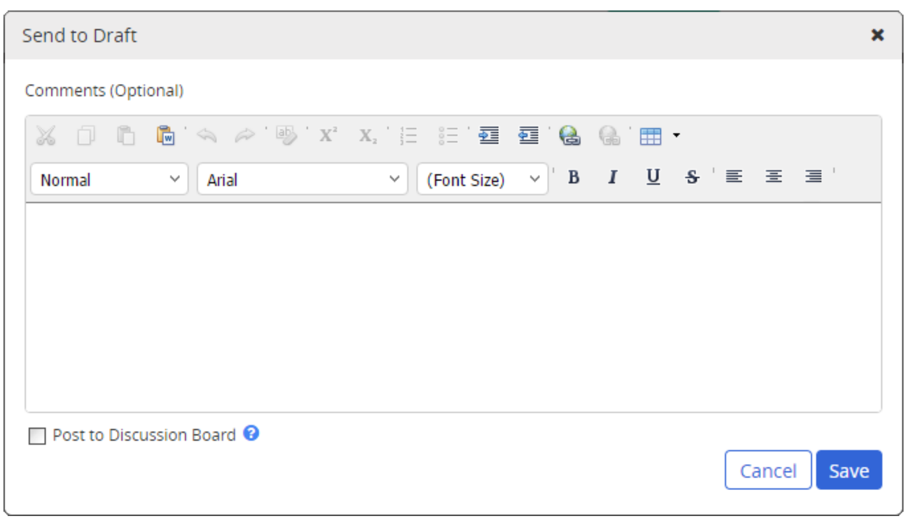
1. Find and open the document or questionnaire you need to send back to Draft status (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the User's Guide).
2. Do one of the following:
   - If the document/questionnaire is in Collaboration status, click ▾, and then click **Send to Draft**.



- If the document/questionnaire is in Review or Approval status, click **Options**, and then click **Send To Draft**.



3. (Optional) Write a reason for sending the document/questionnaire back to draft.



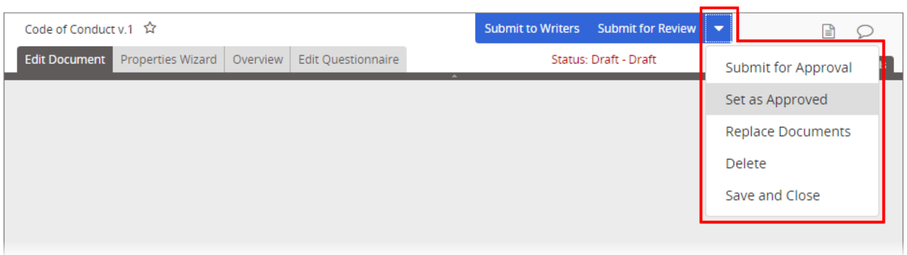
4. Click **Save**, and then in the **Results** window, click **OK**.

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.

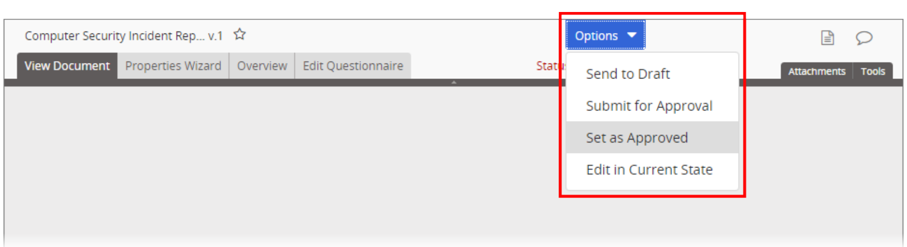
Setting a Document or Questionnaire as Approved

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.

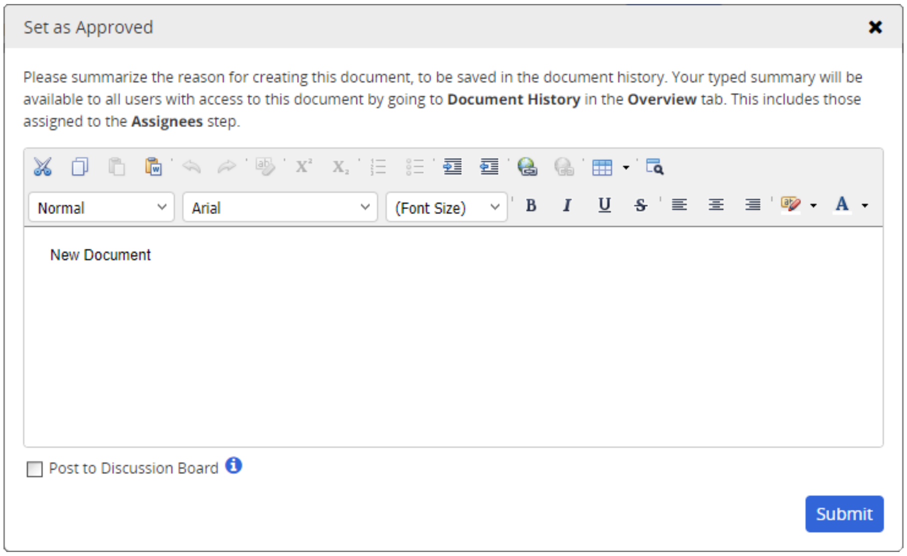
1. Find and open the document or questionnaire you need to set as approved (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the User's Guide).
2. Do one of the following:
   - If the document/questionnaire is in Draft or Collaboration status, click , and then click **Set as Approved**.



   - If the document/questionnaire is in Review or Approval status, click **Options**, and then click **Set As Approved**.



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.



5. (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 User's Guide for details on adding recipients and making the discussion private).

6. Click **Submit**, and then click **OK**.

Manually Archiving a Document or Questionnaire

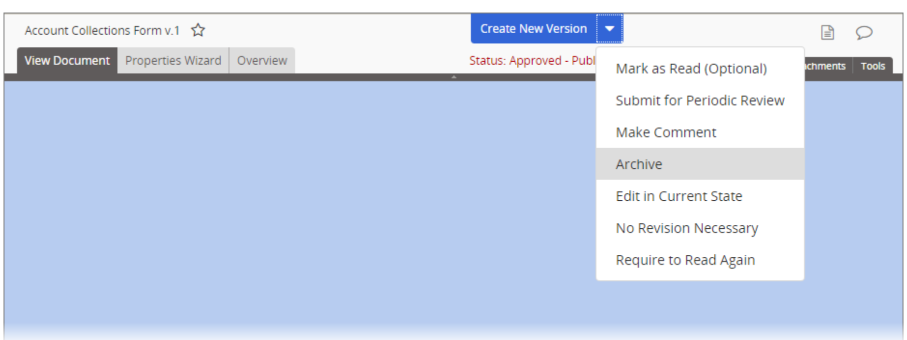
You can manually archive any document or questionnaire in the Draft, Pending, or Published status.

1. 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 User's Guide).

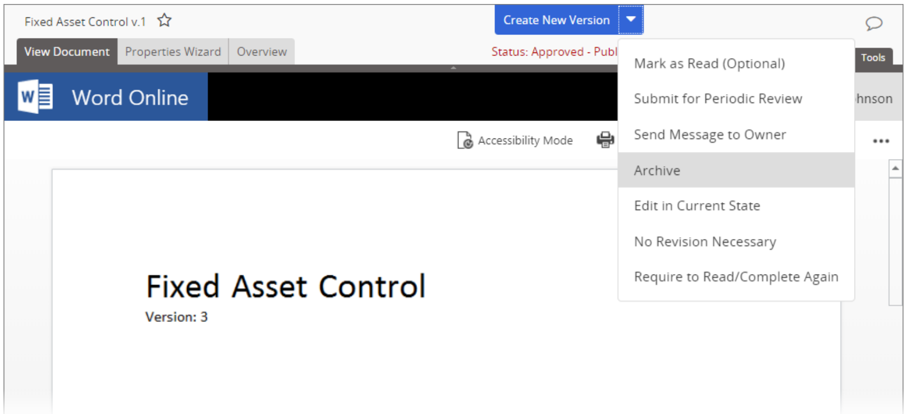
2. Do one of the following:

   - If the document/questionnaire is in Published status, click , and then click **Archive**.

With WordModulePlus enabled

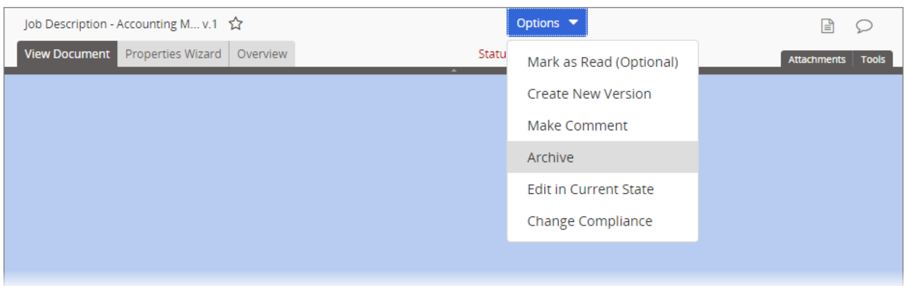


With Office Online integration enabled

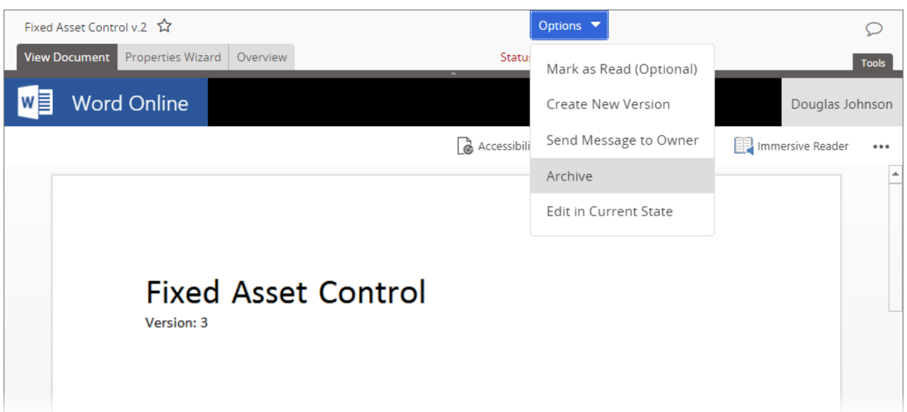


- If the document/questionnaire is in Pending status, click **Options**, and then click the **Archive**.

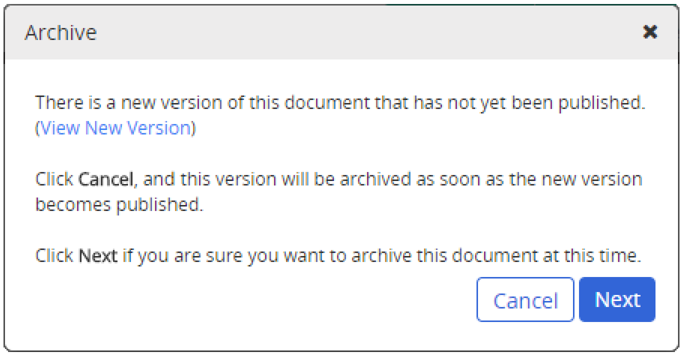
With WordModulePlus enabled



With Office Online integration enabled



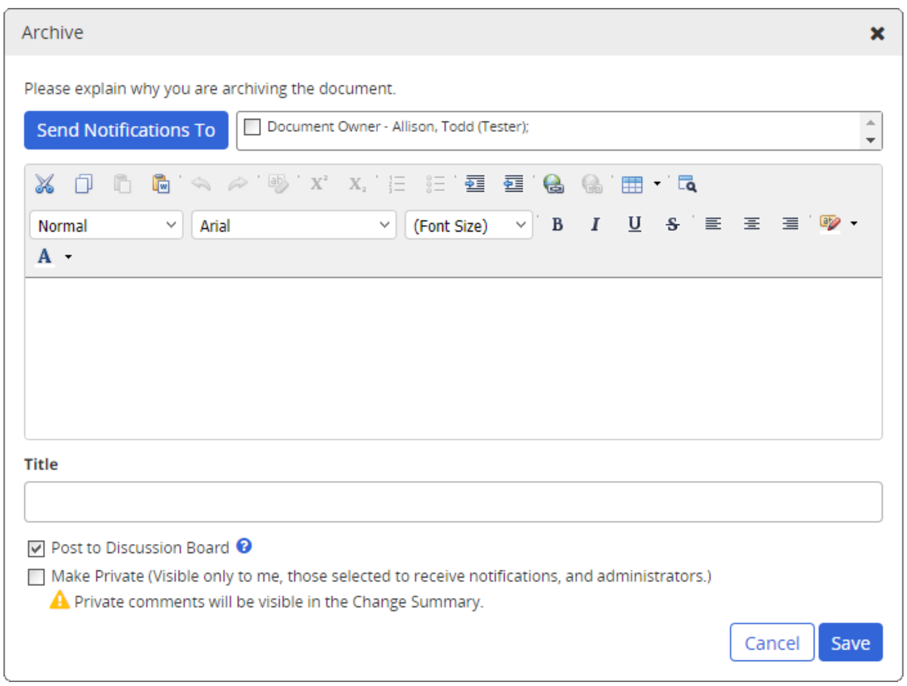
2. (Conditional) If a new version of this document/questionnaire has been started and currently resides in the Draft, Collaboration, Review, or Approval status, you will see the following alert after clicking **Archive**.



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.



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 User's Guide 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.)

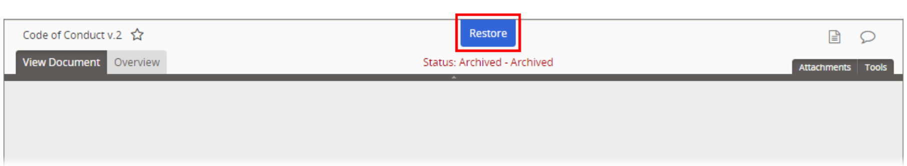
6. Click **Save**.

Restoring a Manually Archived Document

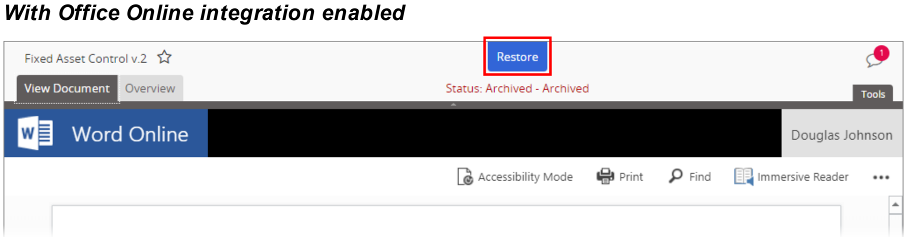
An archived document or questionnaire can be restored as long as a new version of the document/questionnaire has not been approved.

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 User's Guide).
2. Click **Restore**.

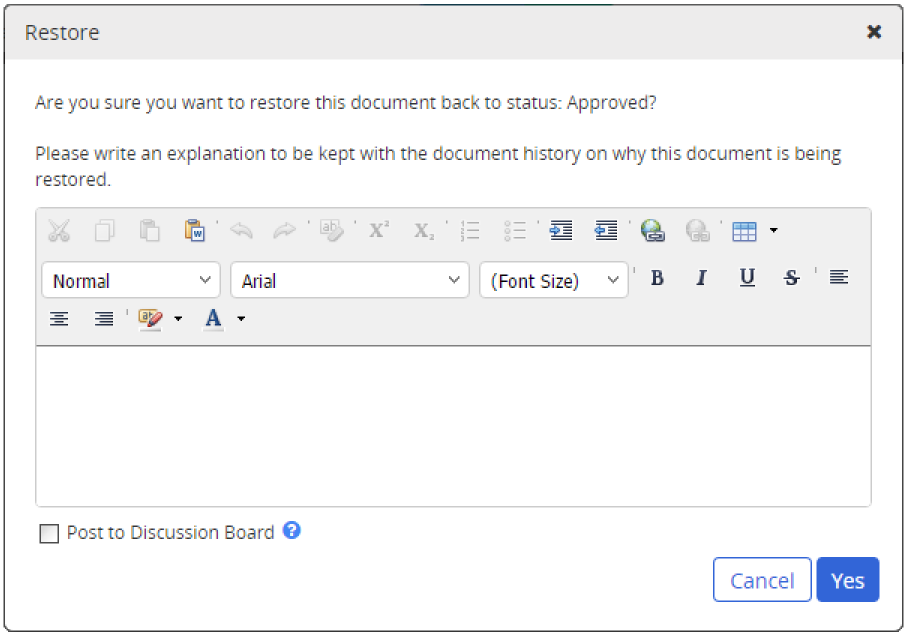
With WordModulePlus enabled



With Office Online integration enabled



3. Type the reason for restoring the document/questionnaire.



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 User's Guide 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.

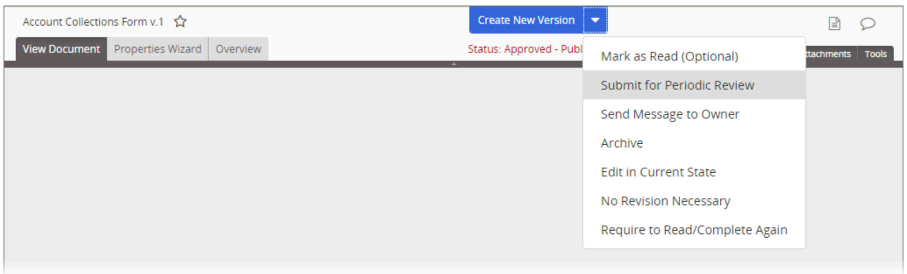
Restoring an Archived Document or Questionnaire

See The Archive for instructions on restoring an archived document or questionnaire.

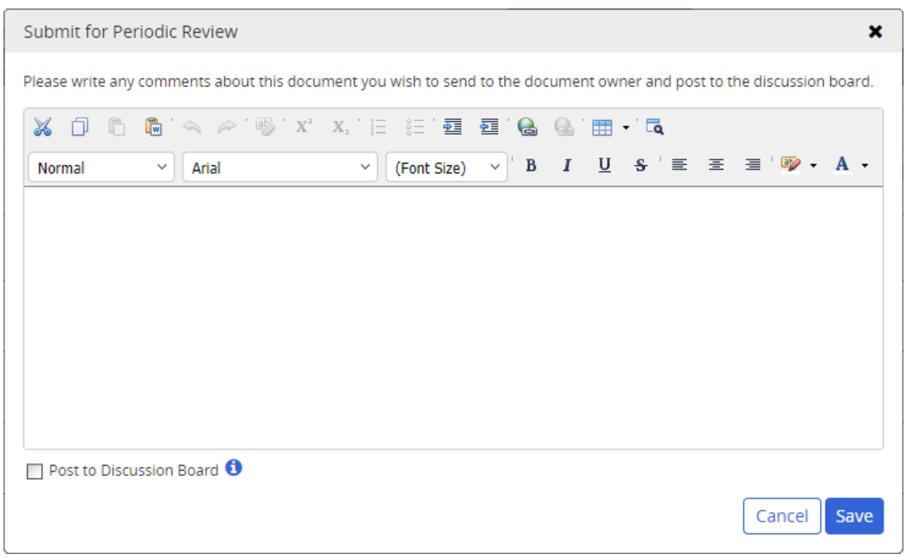
Forcing Submission for Periodic Review

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 User's Guide 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.

Changing Document Elements

Document Element	Editing Method by Status						
	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

*****Edit in same way as the document owner would.*

†*Use the **Edit in Current State** feature.*

Changing Stand-Alone Questionnaire Elements

Ques-tionnaire Ele-ment	Editing Method by Status						
	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 Editing a 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"

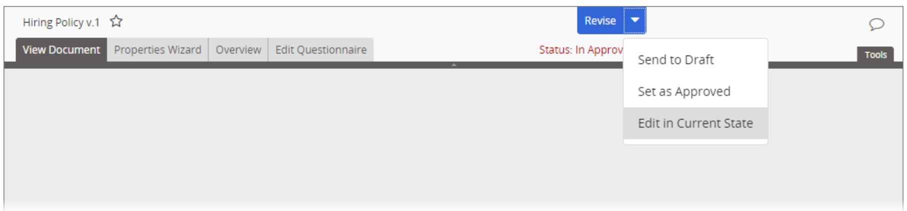
Editing a Document or Questionnaire in Its Current Status

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.

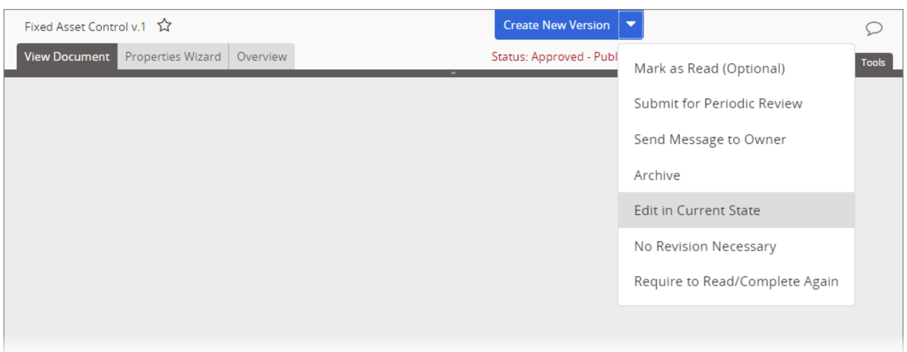
Note: You cannot edit the content of a published stand-alone questionnaire in its current state.

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**.

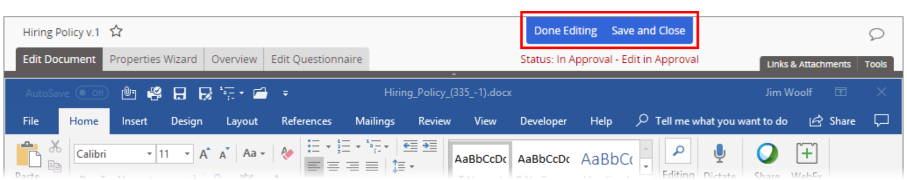


   - If the document/questionnaire is in Published status, click , click **Edit in Current State**, and then click **OK**.

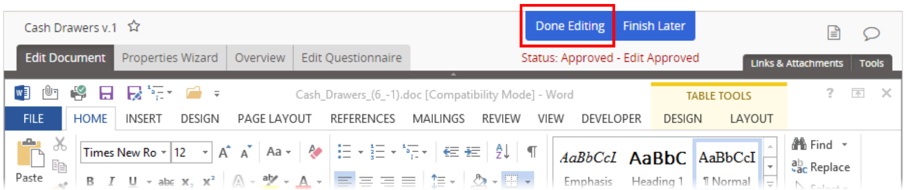


3. With the **Edit Document** or **Edit Questionnaire** tab (in a stand-alone questionnaire) selected, make changes to the content.
4. Click **Done Editing**.

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**.

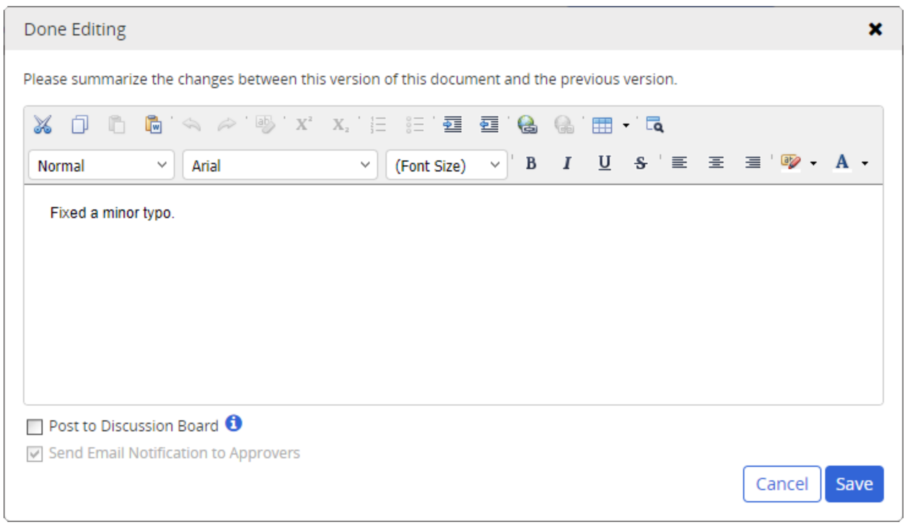


If the document/questionnaire is in Pending or Published status, click **Done Editing**.



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.



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 User's Guide) and either set it as approved (see "Setting a Document as Approved" in the User's Guide) 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 User's Guide).

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 Comments/Discussions and Notifications)

9. Click **Save**, and then, in the **Results** window, click **OK**.

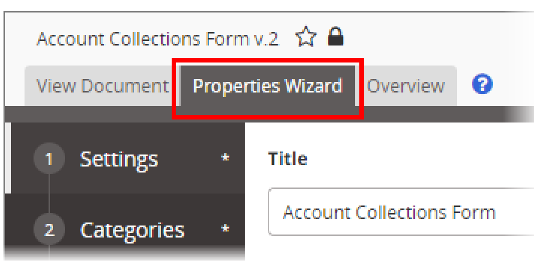
> **Note:** A new snapshot of the document/questionnaire is taken when it is saved. Previous snapshots are accessible, along with change summaries, in the **Version History** page of the **Overview** (see "Working with the Document Overview" in the User's Guide).

10. Close the document/questionnaire.

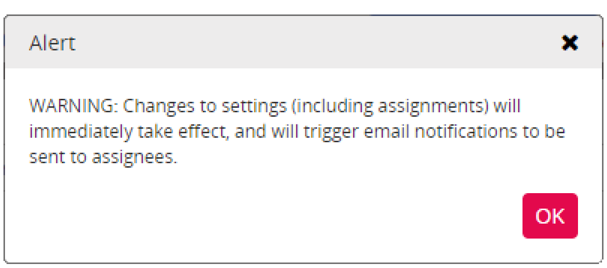
Change Properties

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.

1. 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 User's Guide), 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.

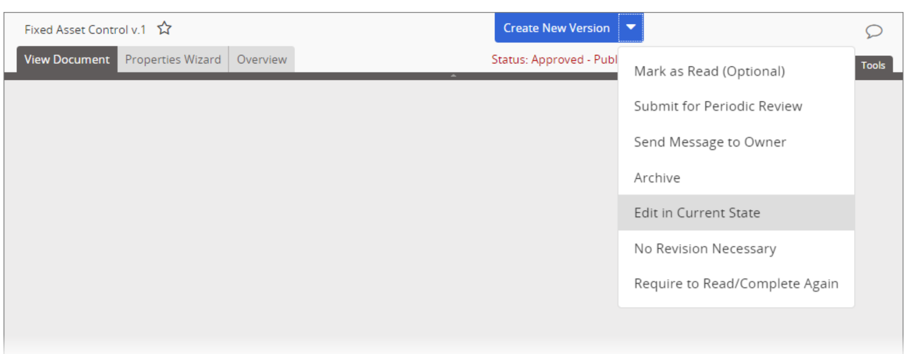
Draft, Collaboration, Review, or Approval

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.

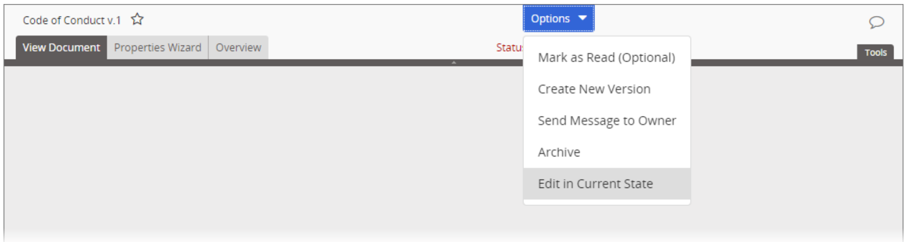
Pending or Published

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.

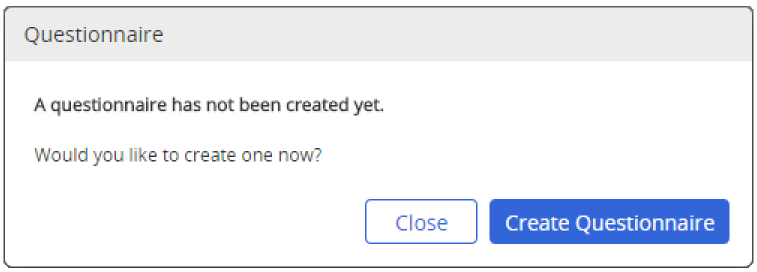
1. Find and open the document you want to change (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the User's Guide).
2. Do one of the following:
   - If the document is in Published status, click , click **Edit in Current State**, and then click **OK**.



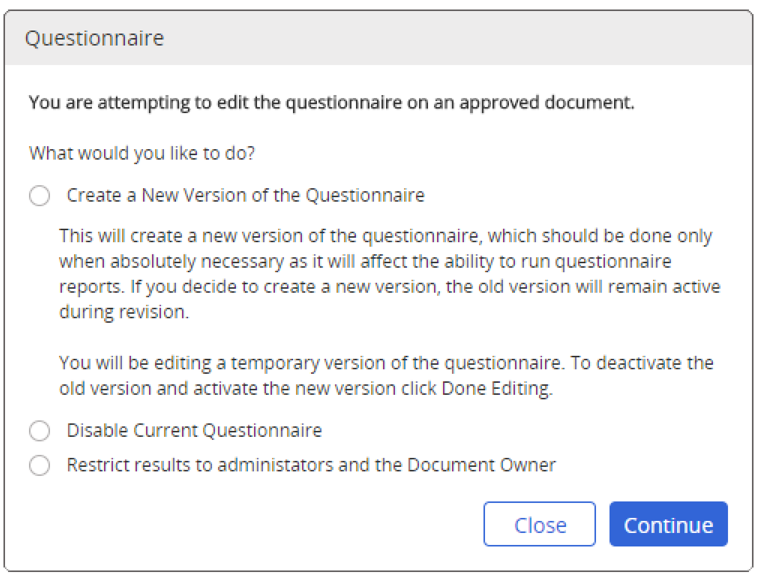
   - If the document is in Pending status, click **Options**, click **Edit in Current State**, and then click **OK**.



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.



   - 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.



     - 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).

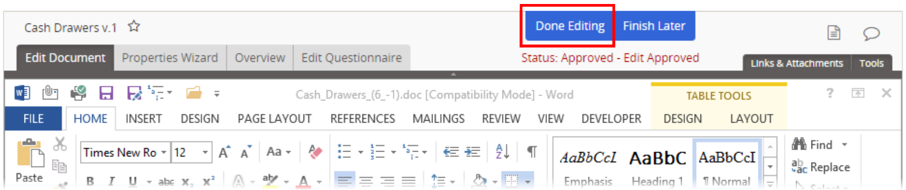
- This option lets you change the **Enable/Disable Questionnaire** setting without having to create a new version of the questionnaire. The option label depends on the current state of the questionnaire. If it is currently enabled (available to any assignee of this document), you will see **Disable Current 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.

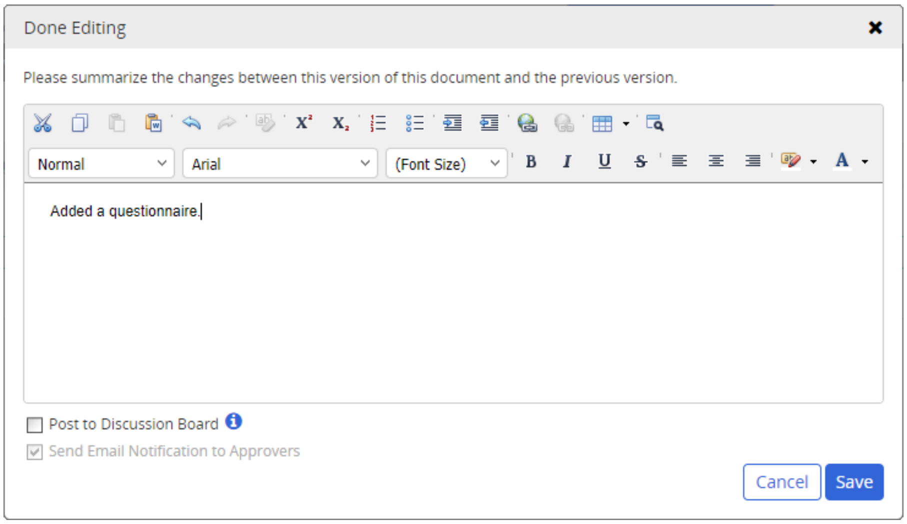
Note: Restricting questionnaire report access affects only the management questionnaire reports. It does not affect each user's ability to run personal questionnaire reports.

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.



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 Discussions" in the User's Guide).

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 Comments/Discussions and Notifications)

9. Click **Save**, and then, in the **Results** window, click **OK**.

10. Close the document.

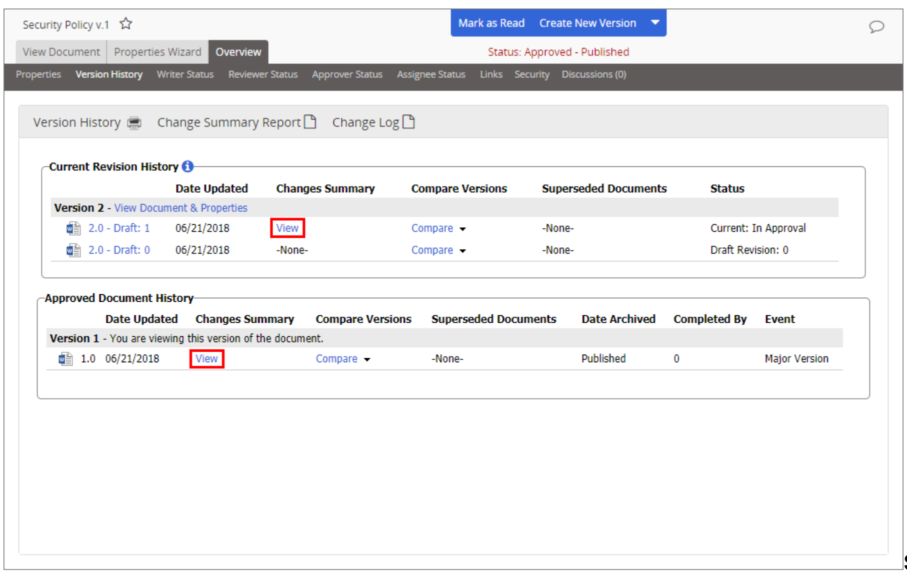
Editing a Document's or Questionnaire's Change Summary

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.).

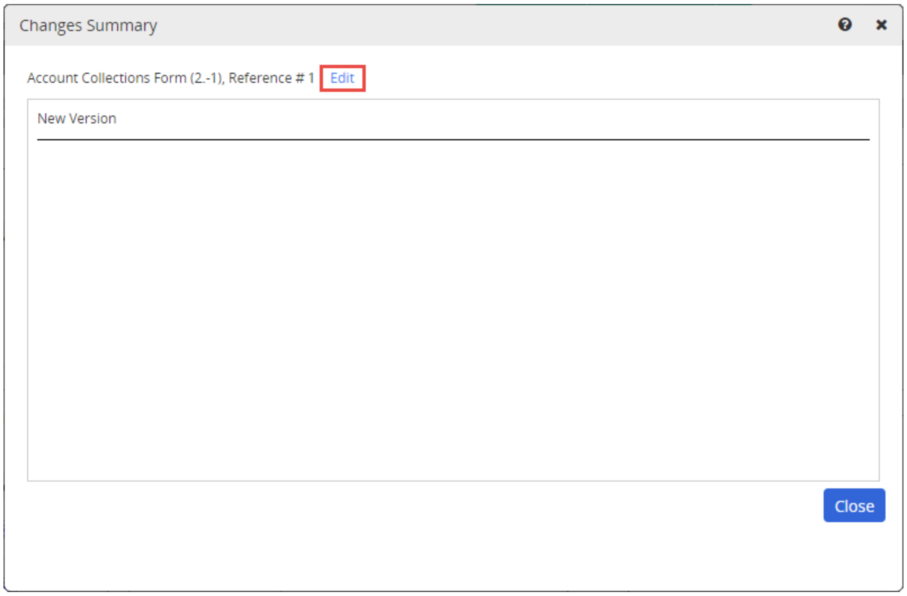
1. Open a document/questionnaire in any status except archived.
2. Click the **Overview** tab, and then click **Version History**.
3. In the **Changes Summary** column, for a major version (with a .0 extension), click **View**.

Note: The version history may list archived versions, whose change summaries cannot be edited.



s

4. Click **Edit**.



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 Reports Supplement.

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

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 Set Up PDF Converter).
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 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 Federated Search	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: - 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 Activate PDF Converter 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 Pro—to 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.

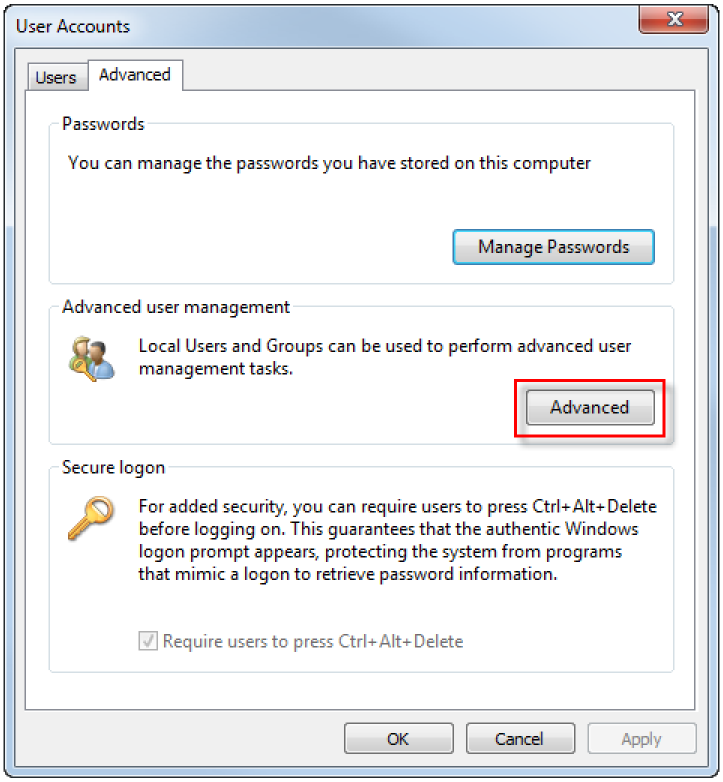
If you're reinstalling PolicyTech on the same server, use the serial number from the previous Document Converter Pro installation. If you don't know that serial number, contact Client Support at one of the numbers listed above to retrieve it.

Create a Local Administrator Account

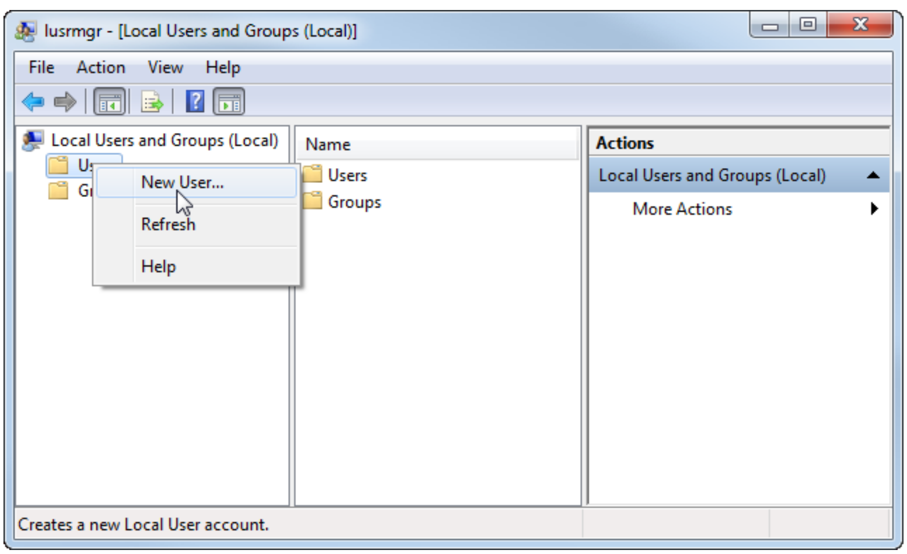
On the computer where PDF Converter will be installed (usually the server where the PolicyTech website is installed), you need to create an administrator user account that will be used by PDF Converter.

> **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**.

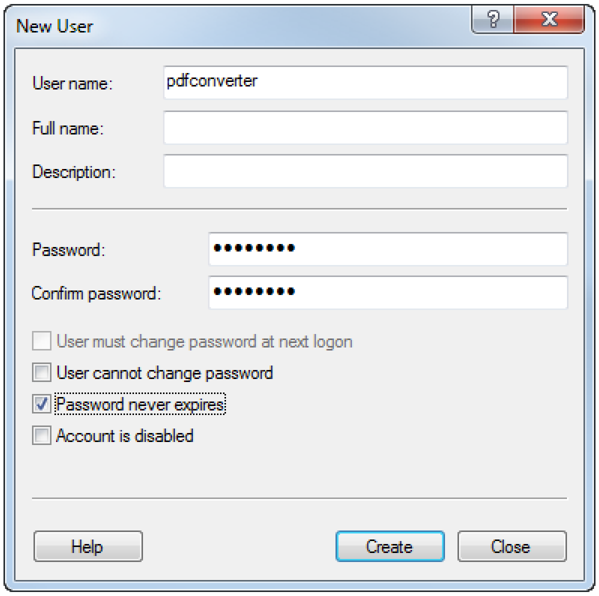


5. In the left panel, right-click **Users**, and then click **New User**.

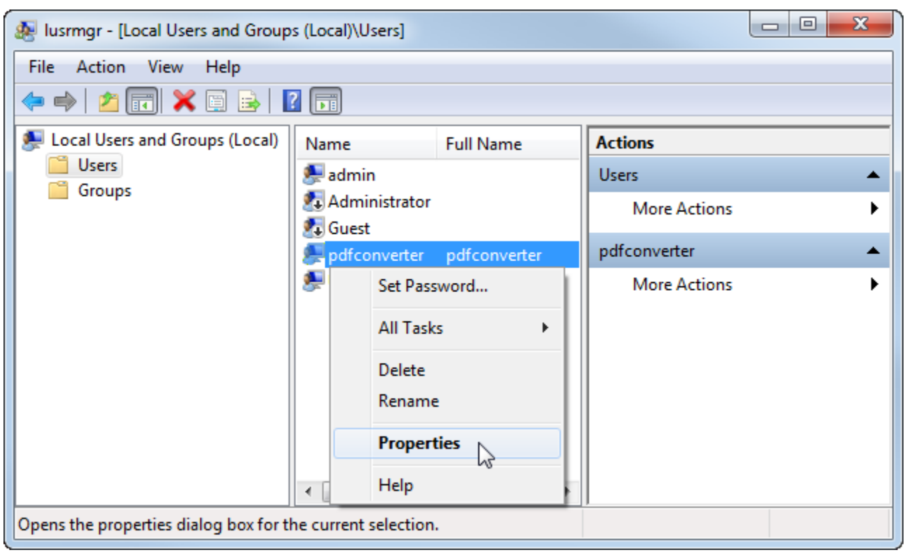


6. Type a user name, such as **pdfconverter**.
7. Type a password, and then, for **Confirm Password**, type it again.
8. Make note of the user name and password.

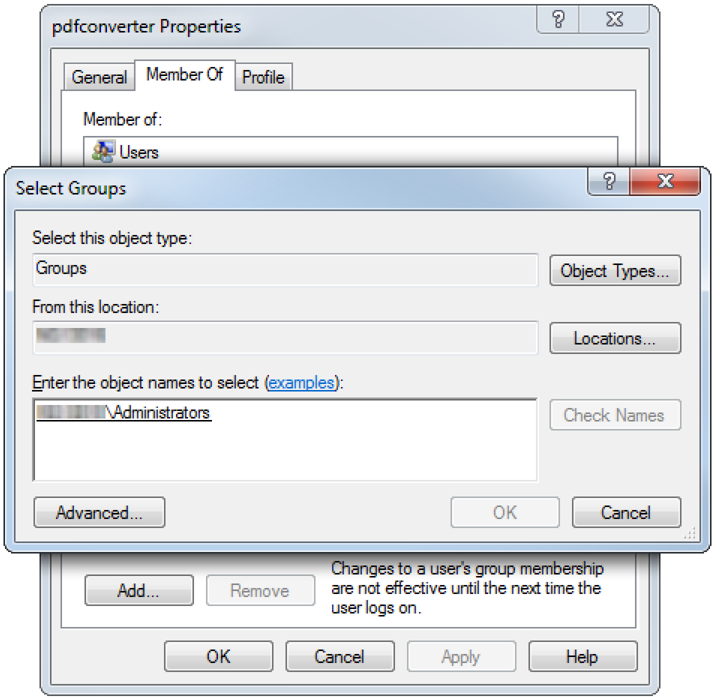
9. Click to clear the **User must change password at next logon** check box.
10. Select **Password never expires**.



11. Click **Create**, and then click **Close**.
12. In the middle panel, right-click the user you just added, and then click **Properties**.



13. Click the **Member Of** tab, and then click **Add**.



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

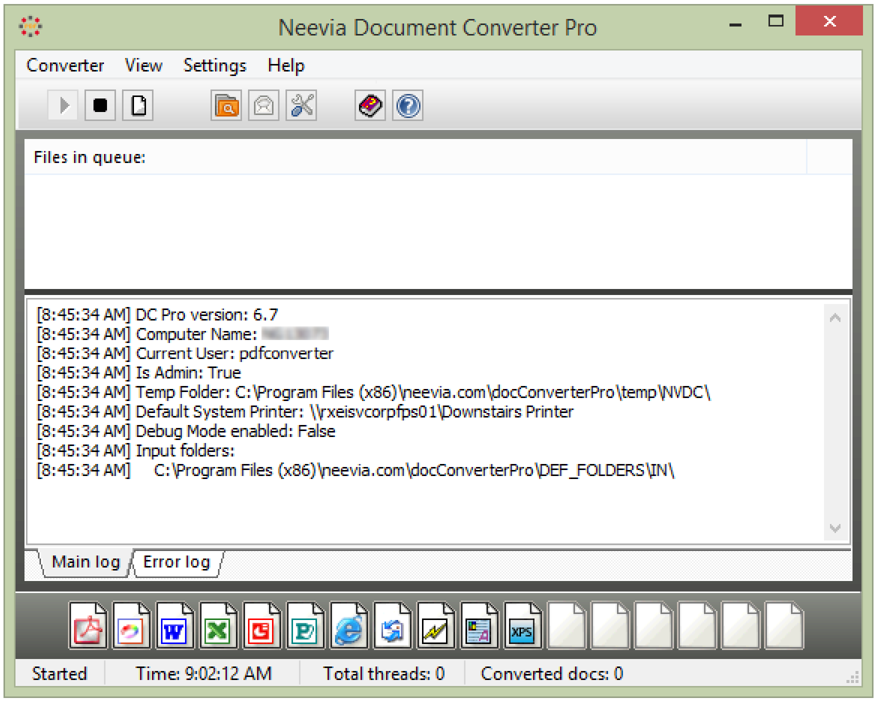
Important: A Document Converter Pro serial number is tied to a specific version of the application. If you're reusing a serial number, you may need an earlier Document Converter Pro version , which you can download from the Client Resource Center. If you're not sure which version you need, contact Client 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

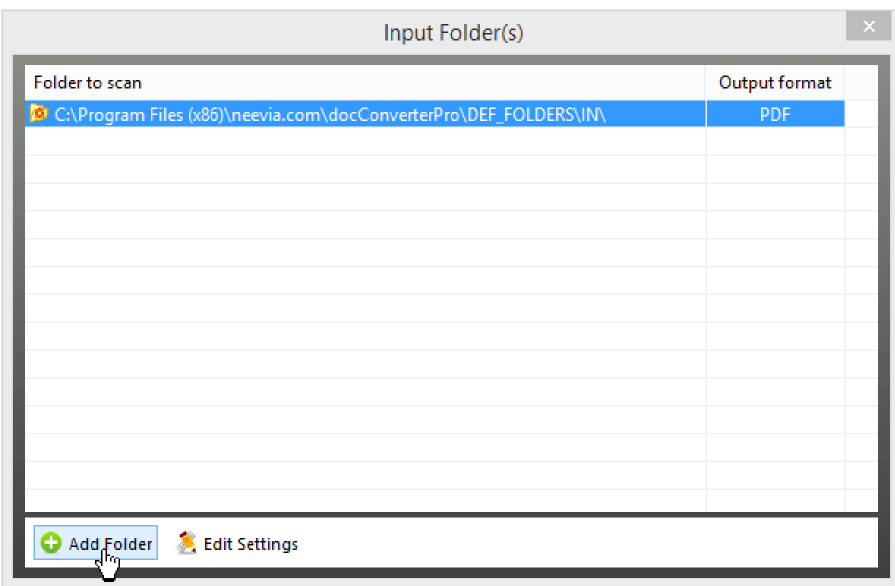
Important: If you are reinstalling Document Converter Pro and saved a copy of the **configs** folder from the previous installation, you can copy the **configs** folder into the directory structure of the new installation now, replacing the existing folder and its contents, and skip the remainder of 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**.



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**.



3. Click the button next to the **Folder to scan** box, find and click the following folder, and then click **OK**.

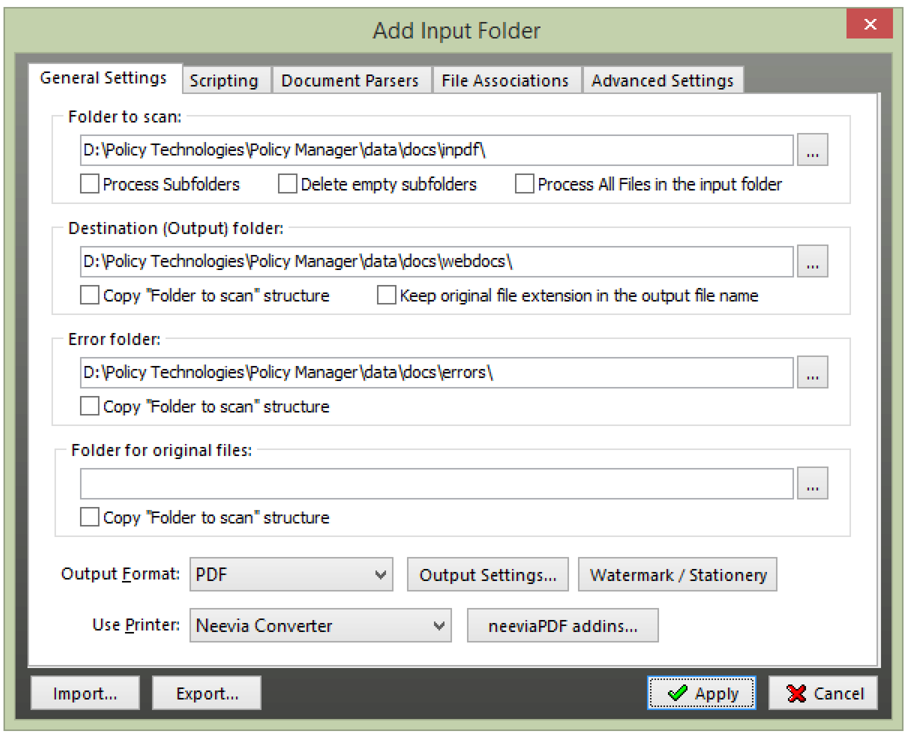
[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\inpdf

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

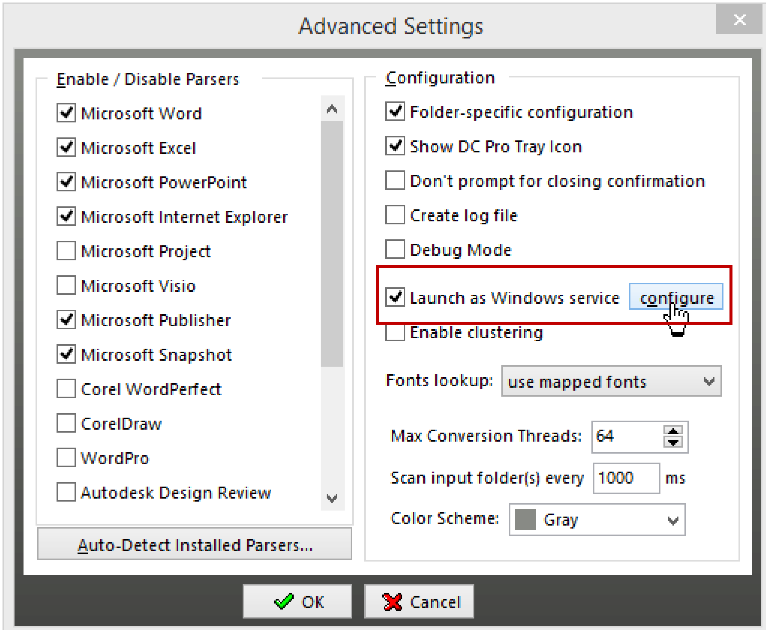


   Because the PolicyTech document copies are no longer needed after PDF versions of those documents have been created, leave the **Folder for original files** box blank.

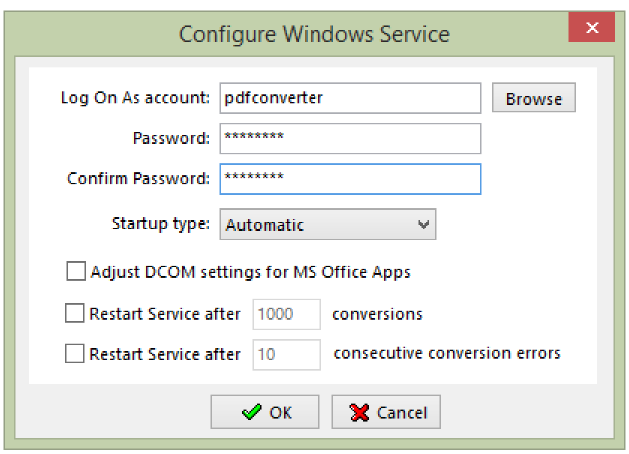
6. Click **Apply**, and then click **Yes** to confirm that you want PolicyTech document copies deleted once they've been processed.

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**.



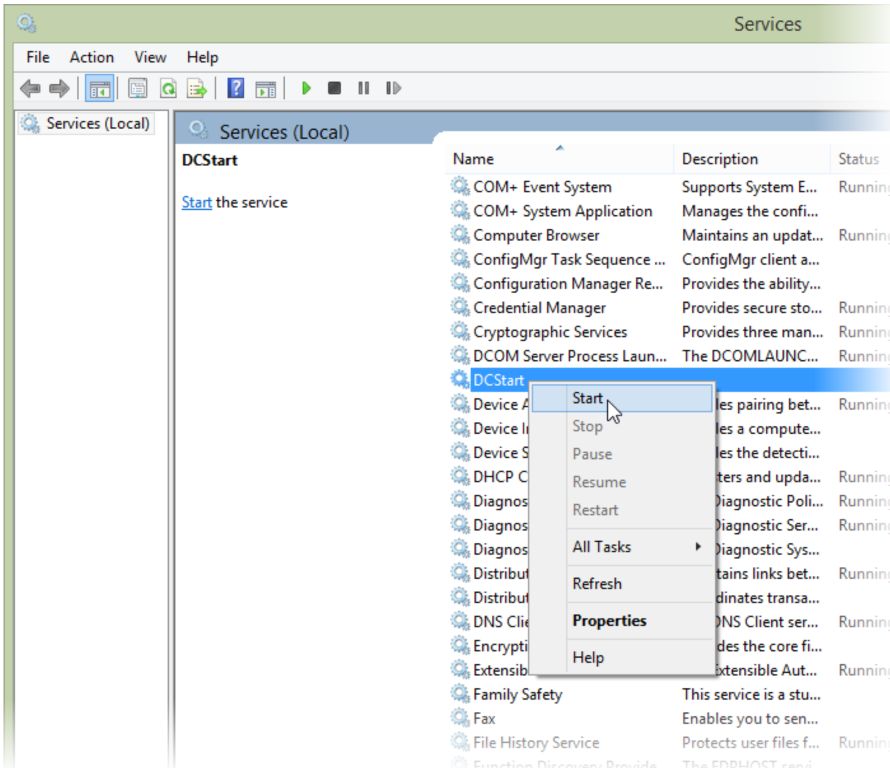
10. For **Log On As account**, click **Browse**, click the local user you created for PDF Converter, and then click **Select**.
11. For **Password** and **Confirm Password**, type the user's password, and then click **OK** twice.



12. Close the **Neevia Document Converter Pro** window.

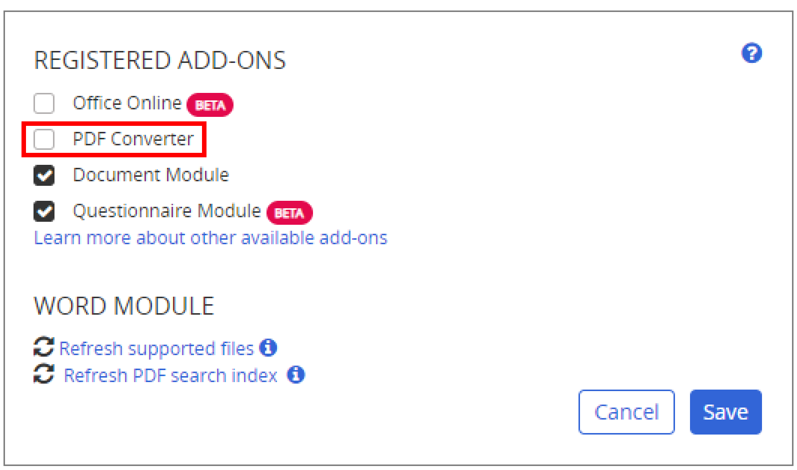
Start Document Converter Pro Service

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**.



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 User's Guide 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.

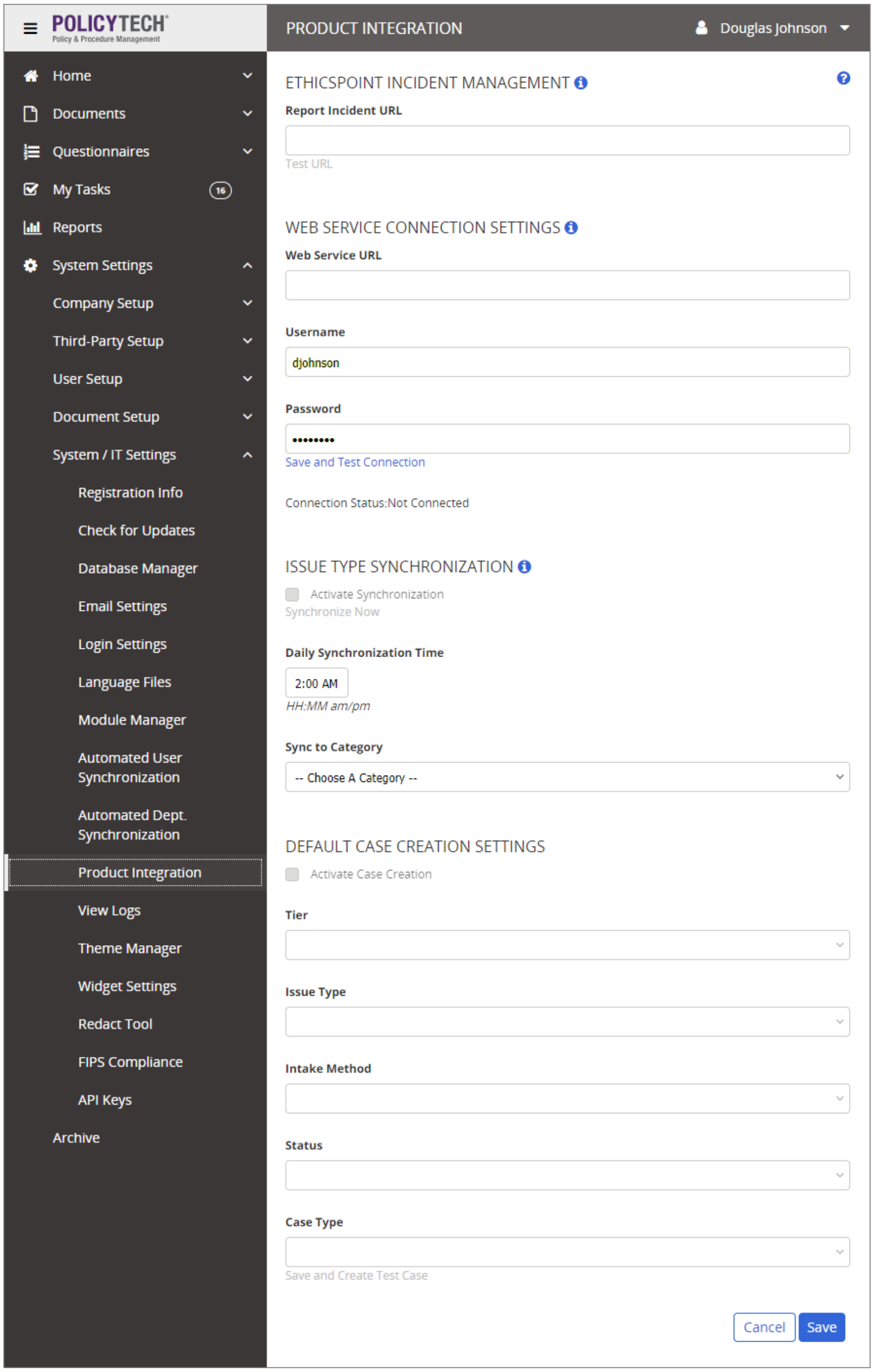
Note: To avoid site mismatches between categories and case managers, we recommend making the category available to all sites and then assigning the case manager permission to users at specific sites.

See Adding a Category 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 Enable an Advanced Feature Add-On for details.



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.

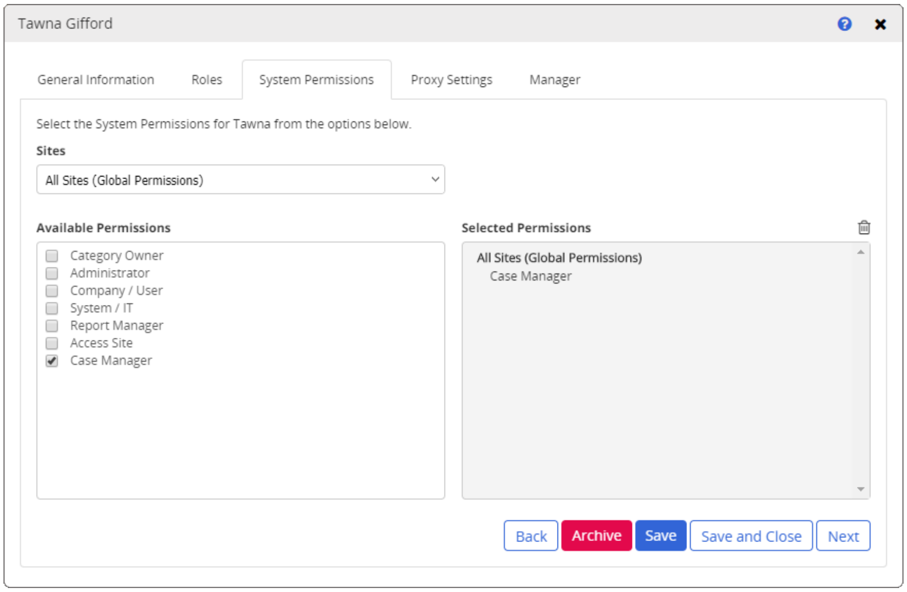
   c. Click **Save and Create Test Case**.
   d. When you're alerted that the test case has been sent, click **OK**. You can then sign into EthicsPoint to verify that the test case was created.
   e. Click **Activate Case Creation**.

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 Adding a User Manually or Editing a User 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**.



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 WordModule*Plus* 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

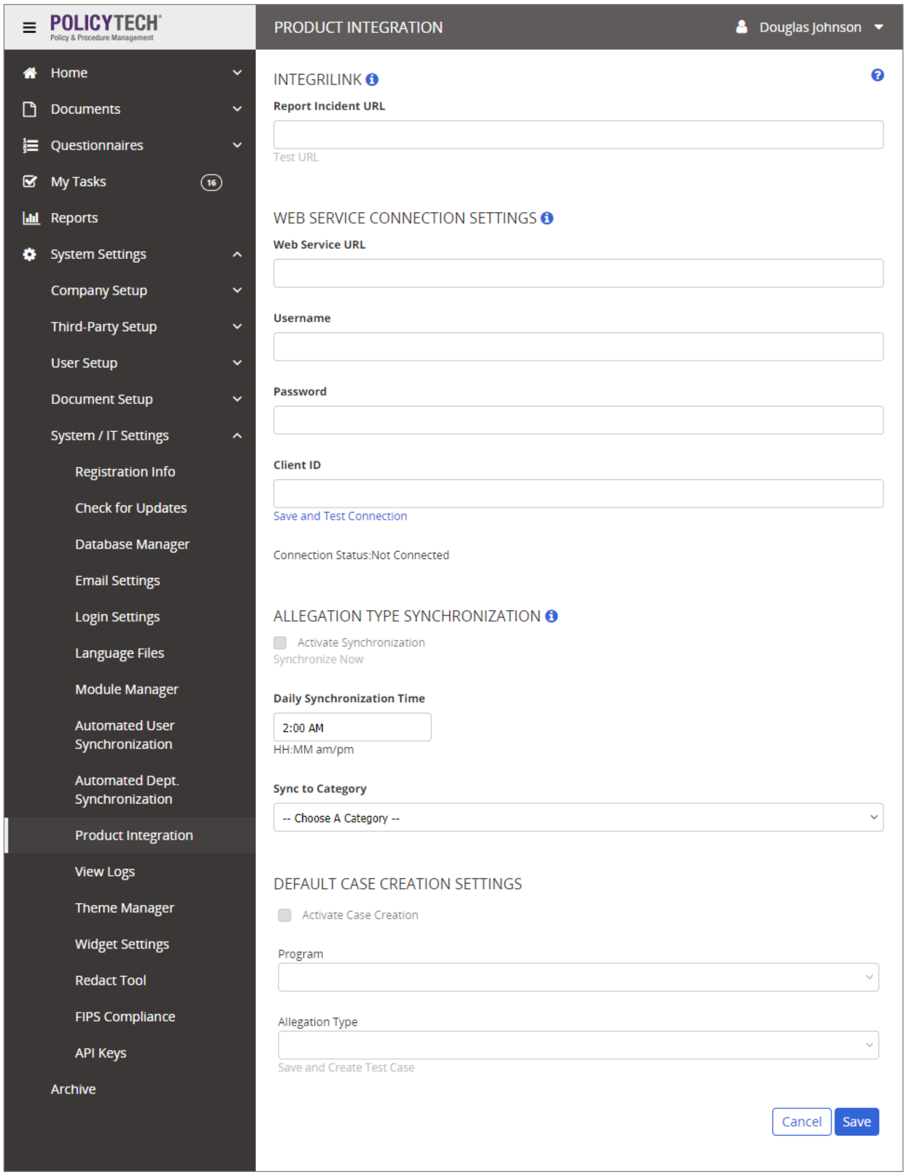
Part of the integration functionality is syncing IntegriLink allegation types with PolicyTech categories. You need to define a top-level category, such as one called Allegation Types, that will hold the allegation type categories that will be created with the initial sync and then updated whenever a sync is performed thereafter.

See Adding a Category 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 Enable an Advanced Feature Add-On for details.



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.

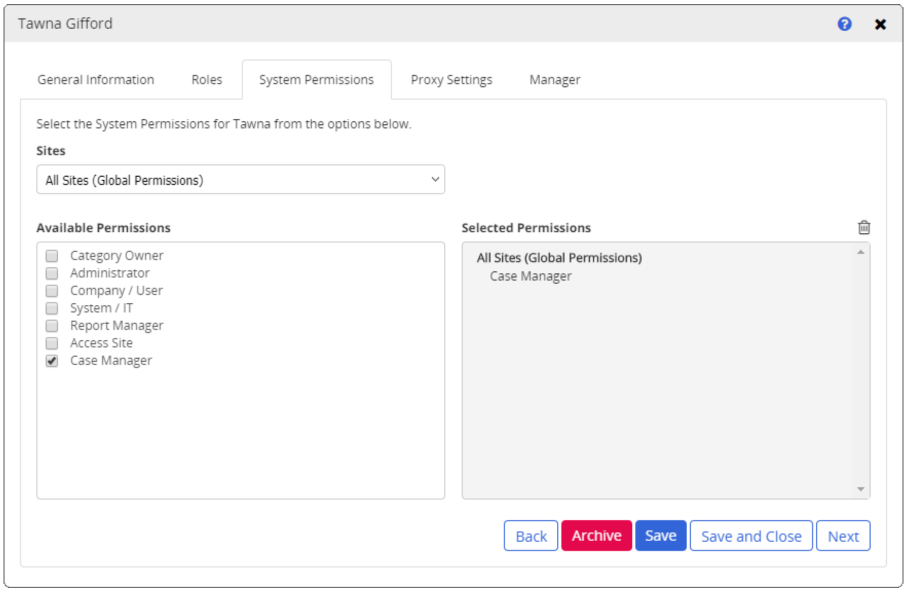
4. Click **Save and Test Connection**. After a few moments, **Connection Status** should change to **Connected**. If the connection fails, troubleshoot the connection settings and try again until the connection is made.
5. In the **Allegation Type Synchronization** area, provide the following information:
   - **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 Adding a User Manually or Editing a User 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**.



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 SharePoint Integration via Federated Search 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 Setting Up the Public Viewer.
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 Third-Party Contacts Supplement.
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 Localization Workflow Supplement.
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](#)

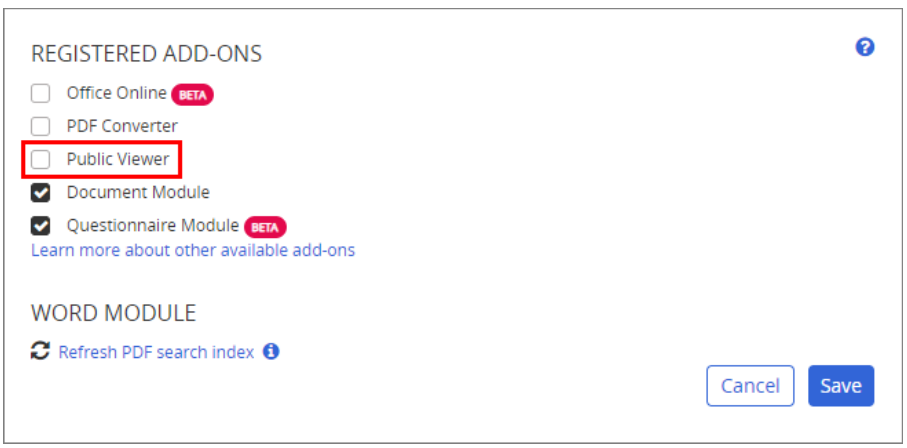
Setting Up Public Viewer

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

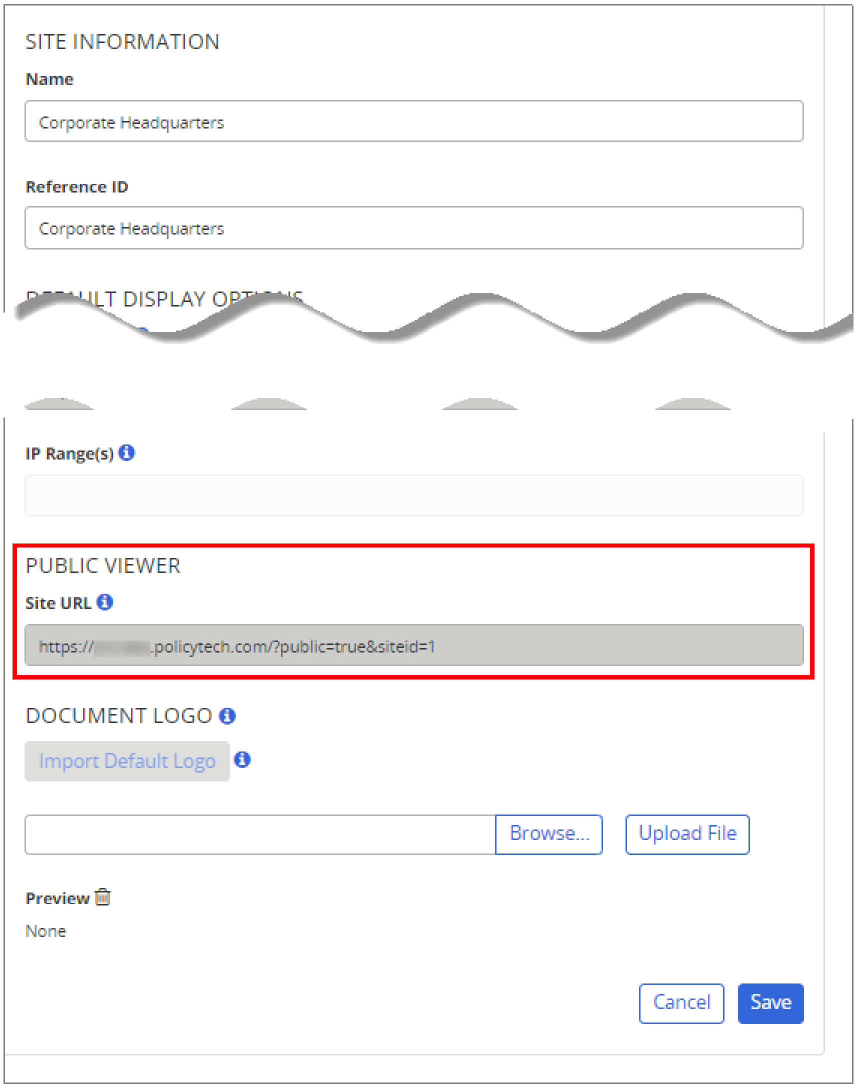
    To include multiple ranges, separate each range with a comma.

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.



6. Inform document owners that the **Public Viewer** is available and refer them to the following topic in the User's Guide for instructions on making documents accessible in the **Public Viewer**: "Making a Document Accessible in the Public Viewer".

7. Distribute the **Public Viewer** web address and refer users to the following topic in the User's Guide 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 Registration Info).

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	✓	✓
Access documents with All Users and Public security levels	✓	✓
Single search for both SharePoint and PolicyTech with results on the same web page	✓	
Access documents with restricted security levels (specifically allowed users only)		✓

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

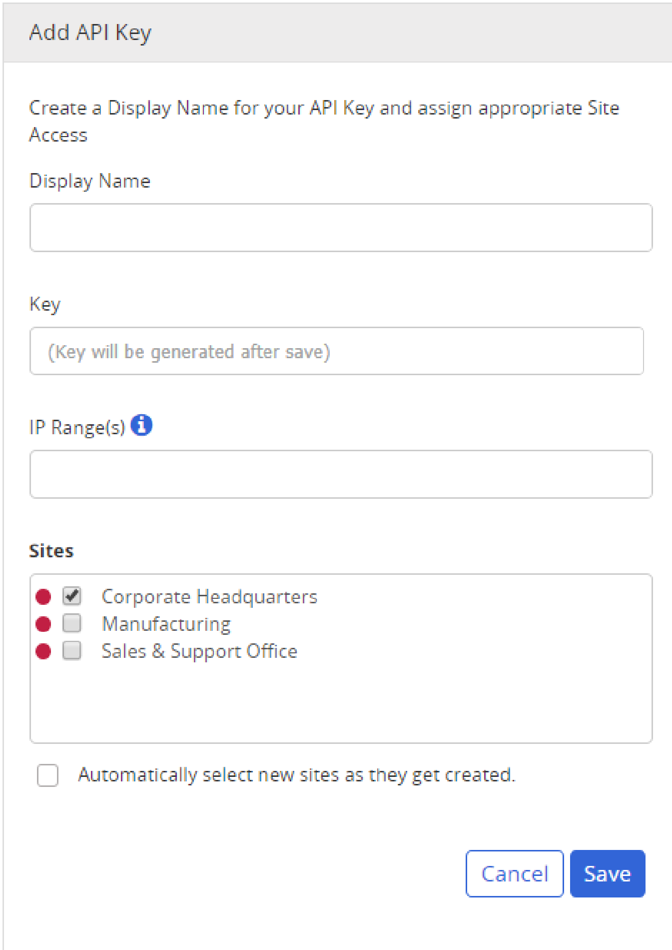
Also be aware that, if the SharePoint server is installed on a local server computer, .NET Framework 4.6.2 must be installed on that Windows server.

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 Search Interface Web Page Details). 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**.



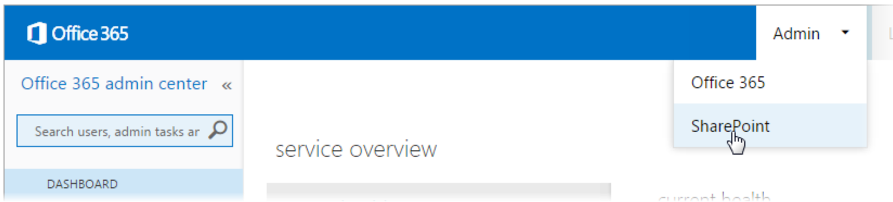
8. Type a name for the new key.
9. (Optional) If you want to limit access to PolicyTech via the API, in the **IP Range(s)** box type one or more IP ranges containing the addresses of one or more servers. Type ranges in the following format: xxx.xxx.xxx.xxx-xxx.xxx.xxx.xxx, xxx.xxx.xxx.xxx-xxx.xxx.xxx.xxx
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.

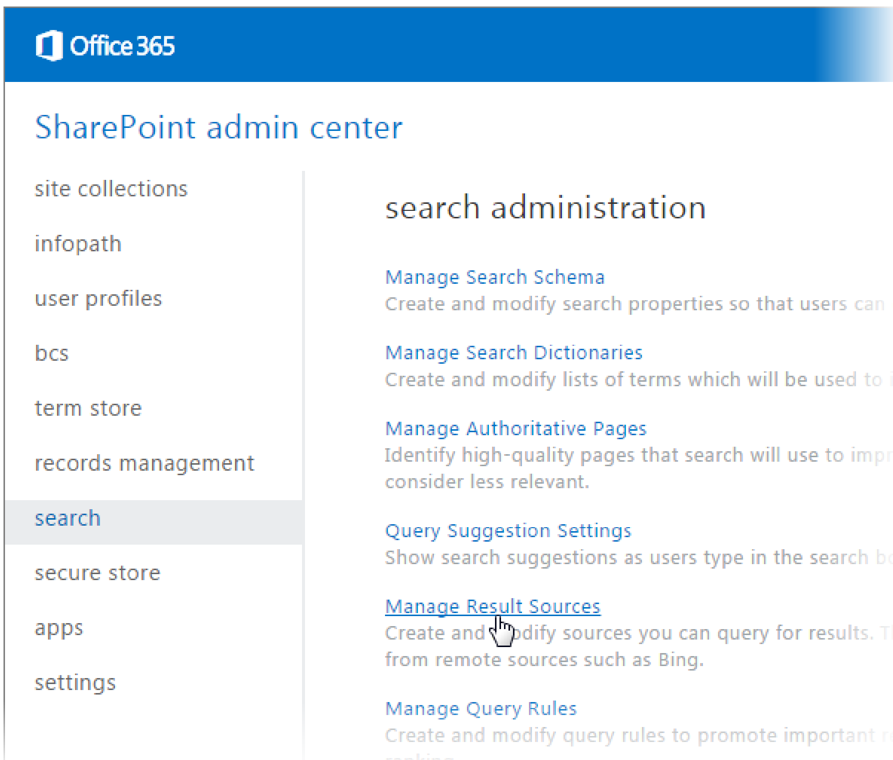
Create and Test a Search Result Source in SharePoint

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.

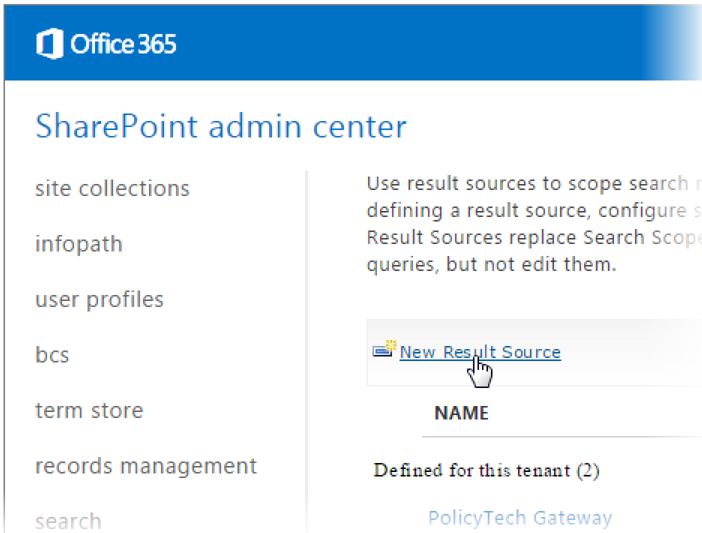
1. Log in to Office 365 as an administrator.
2. Click **Admin**, and then click **SharePoint**.



3. Click **Search**, and then click **Manage Result Sources**.



4. Click **New Result Source**.



5. Type or select the following settings.

Name	PolicyTech Search
Description	(optional)
Protocol	OpenSearch 1.0/1.1
Type	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}

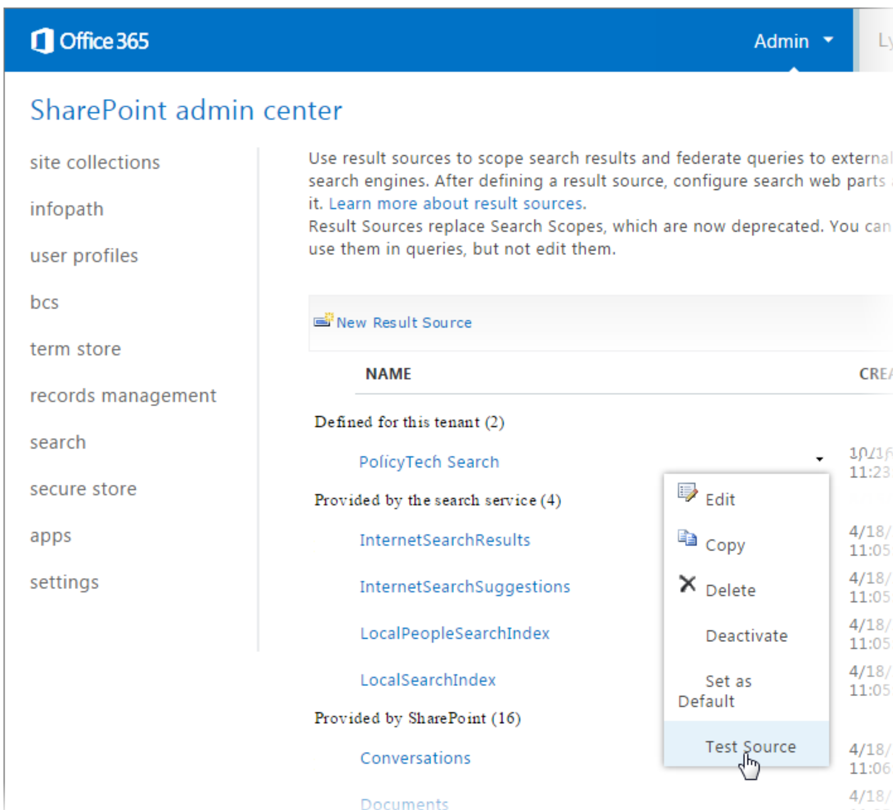
     Make sure the protocol is https:// (secure). Replace [*your PolicyTech URL*] with the URL used to access your PolicyTech site. Replace [*PolicyTech API key*] with the key you created earlier in PolicyTech Preferences. Your completed URL should look similar to the following:

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 [Search Interface Web Page Details](#) 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**.

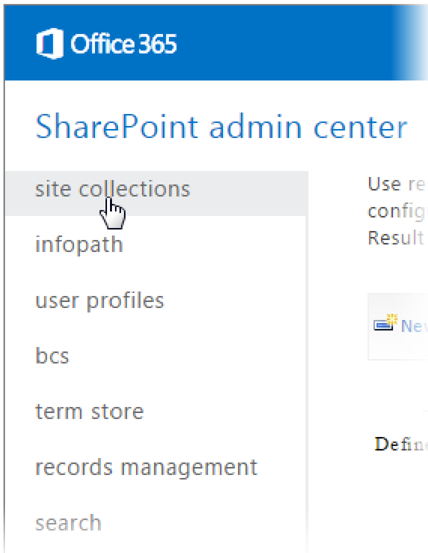


9. When the test finishes, you should see a **Succeeded** message. Click **OK**.

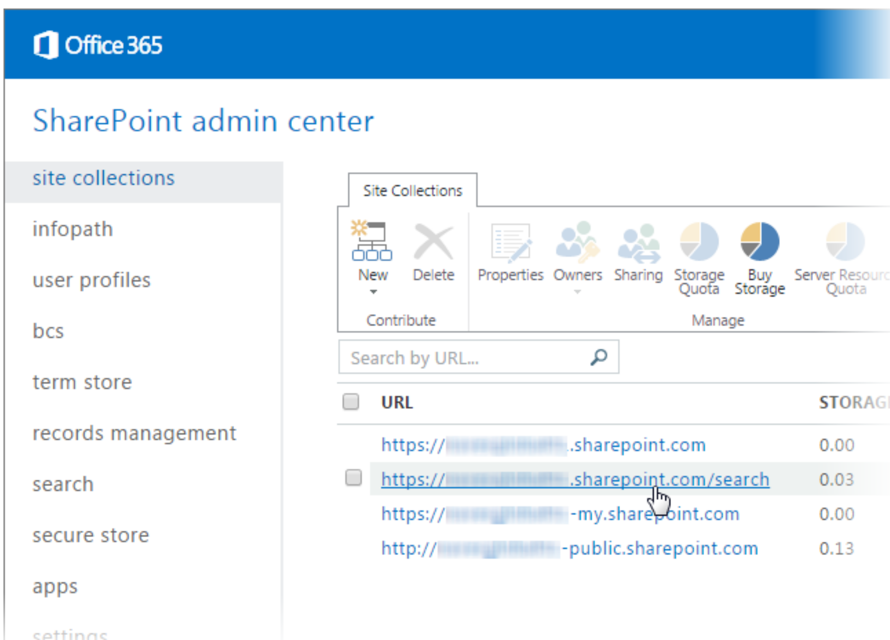
Important: If the test fails, try executing it again. If it continues to fail, there is a configuration issue. Check the Result Source settings, especially the source URL. Also check the PolicyTech logs (see [View Logs](#)).

Adding and Configuring a Web Part

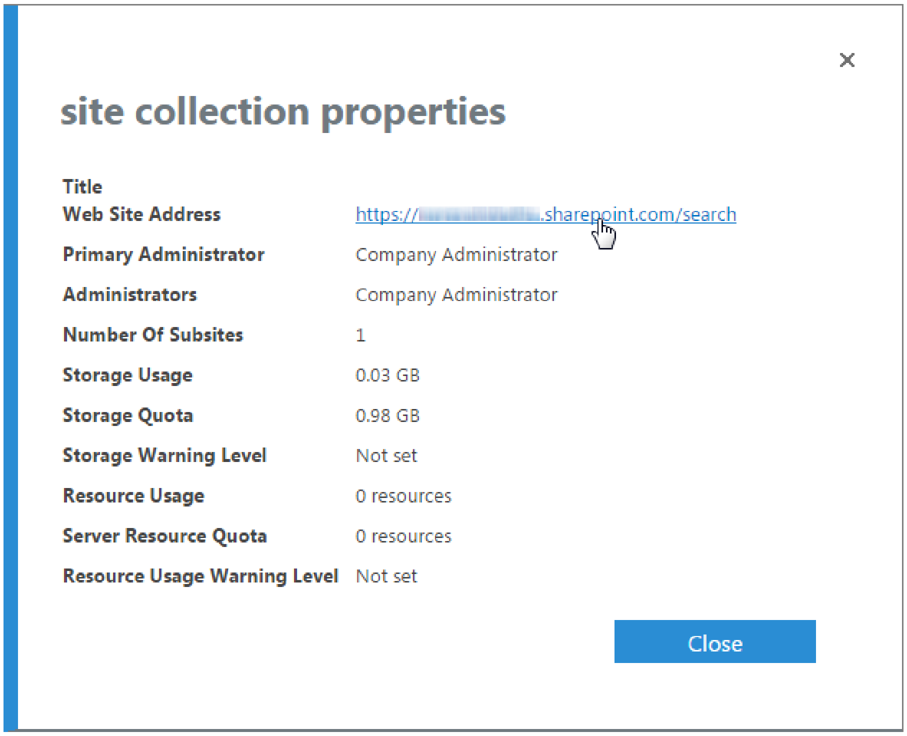
1. In the **SharePoint admin center**, click **site collections**.



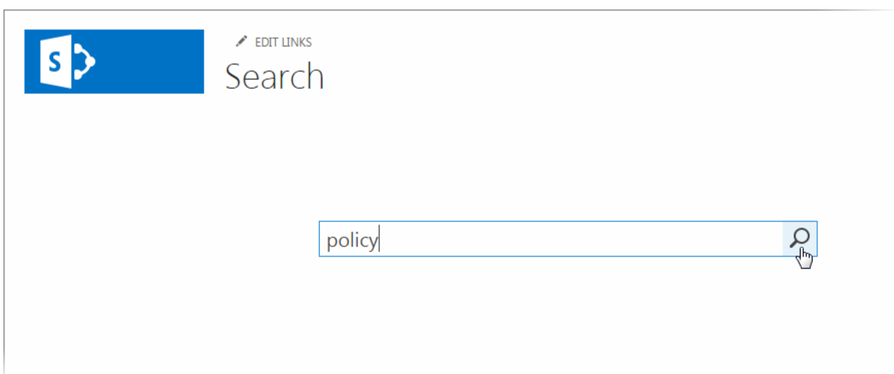
2. Click the search site.



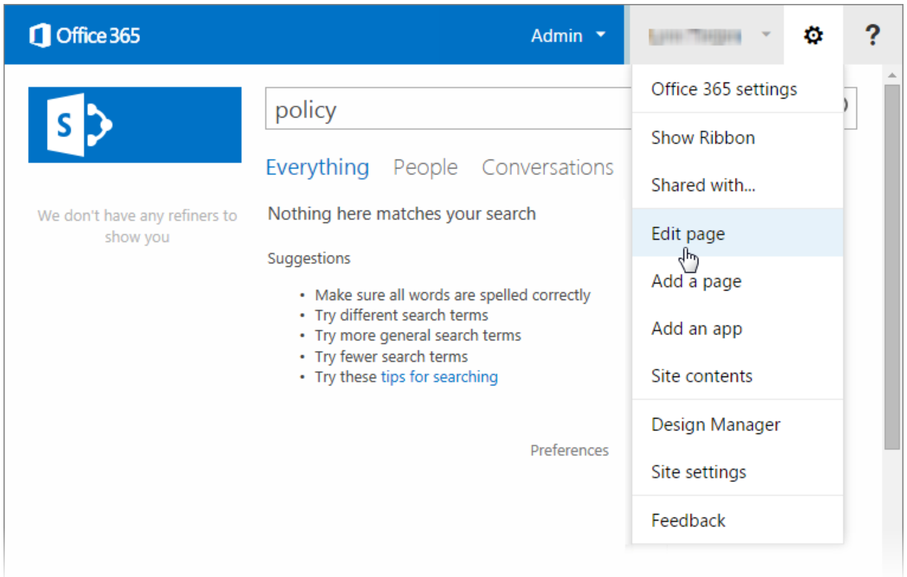
3. In the **site collection properties** window, click the **Web Site Address** link.



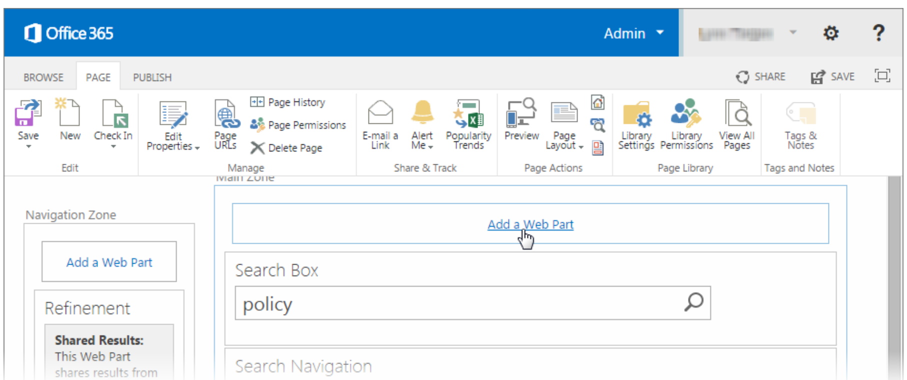
4. Type any keyword, and then click .



5. In the results page, click , and then click **Edit Page**.

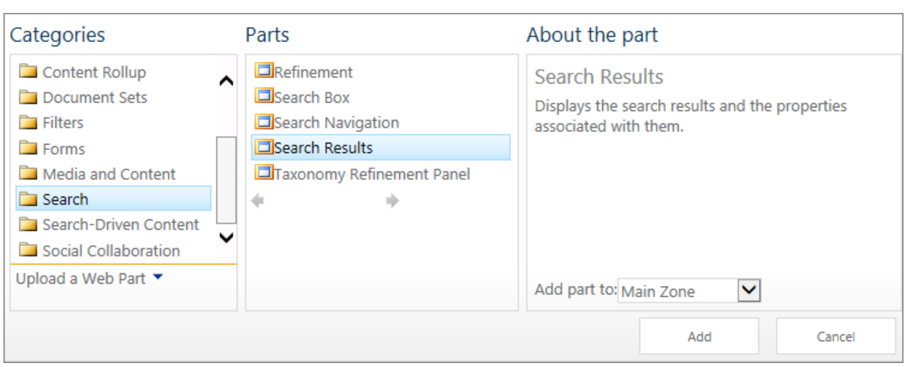


6. Click **Add a Web Part**.

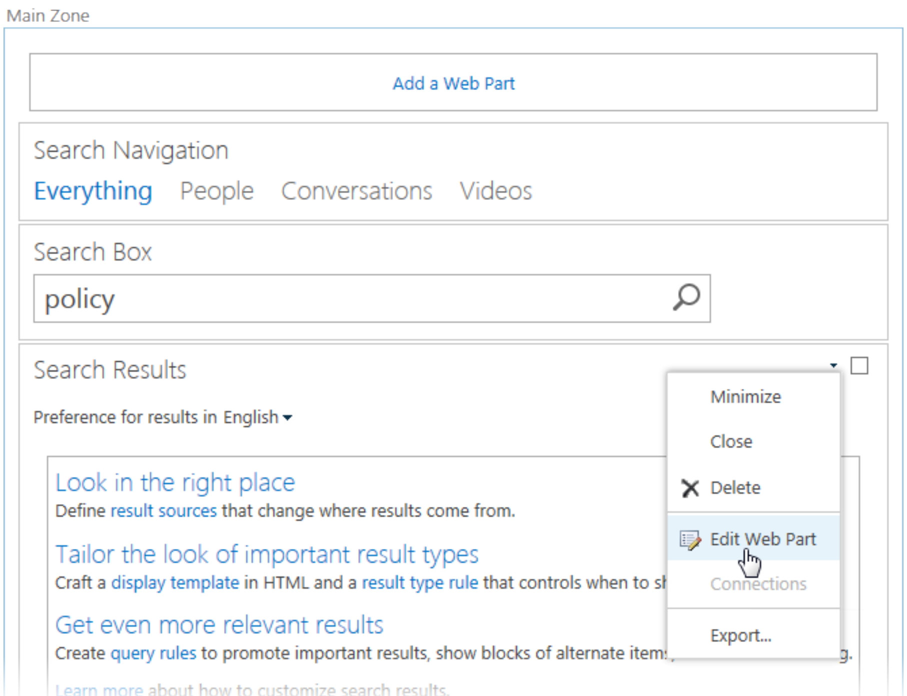


7. In **Categories**, click **Search**; in **Parts**, click **Search Results**; for **Add part to**, click **Main Zone**; and then click **Add**.

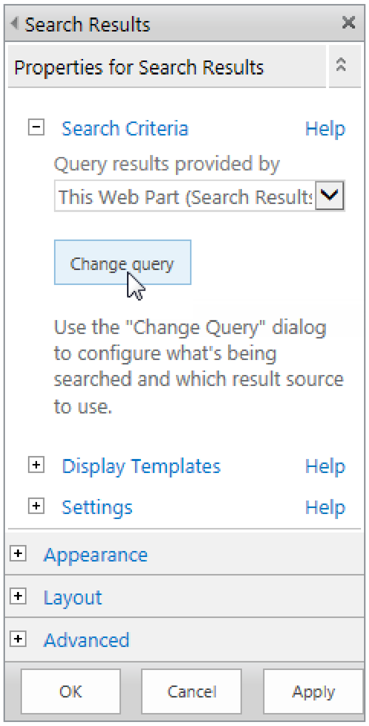
Note: If the **Add** button is not visible, try accessing the page in Internet Explorer® with Compatibility View enabled.



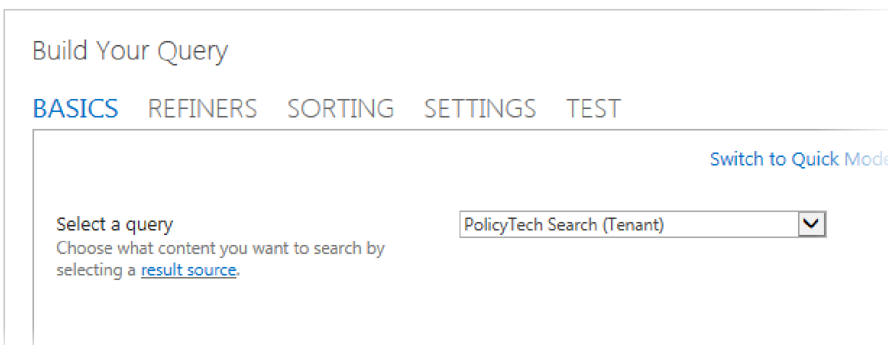
8. The newly added web part is displayed at the top of the **Main Zone**. Click and drag the new web part below the **Search Navigation** part (or below another Search Result part) so that **Search Box** and **Search Navigation** are the first and second parts at the top.
9. In the new web part, click the down arrow near the upper right corner, and then click **Edit Web Part**.



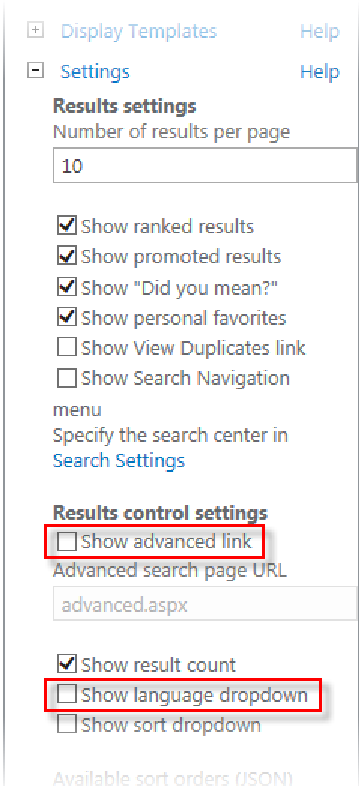
10. In the settings pane displayed on the right, click **Change Query**.



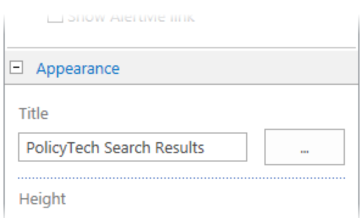
11. For **Select a query**, click the name of the result source you created earlier, and then click **OK**.



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.

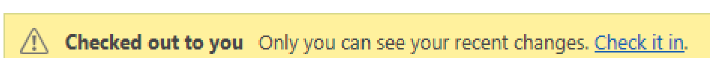


13. Expand **Appearance**, and then update the web part title.



14. At the bottom of the settings pane, click **OK**.

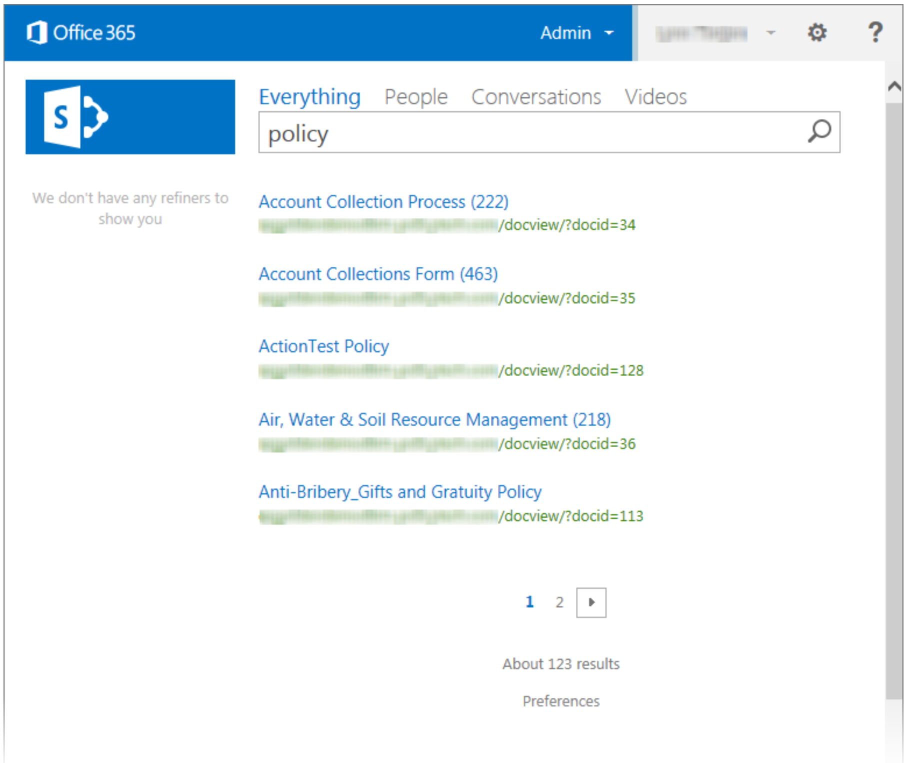
15. In the alert near the top of the page, click **Check it in**.



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 .

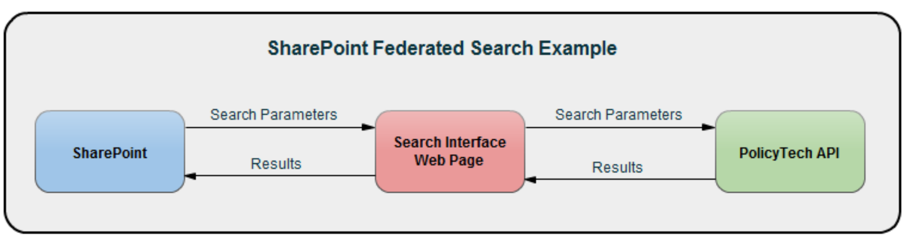
    You should see a list of PolicyTech documents containing the keyword.



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.



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](#)

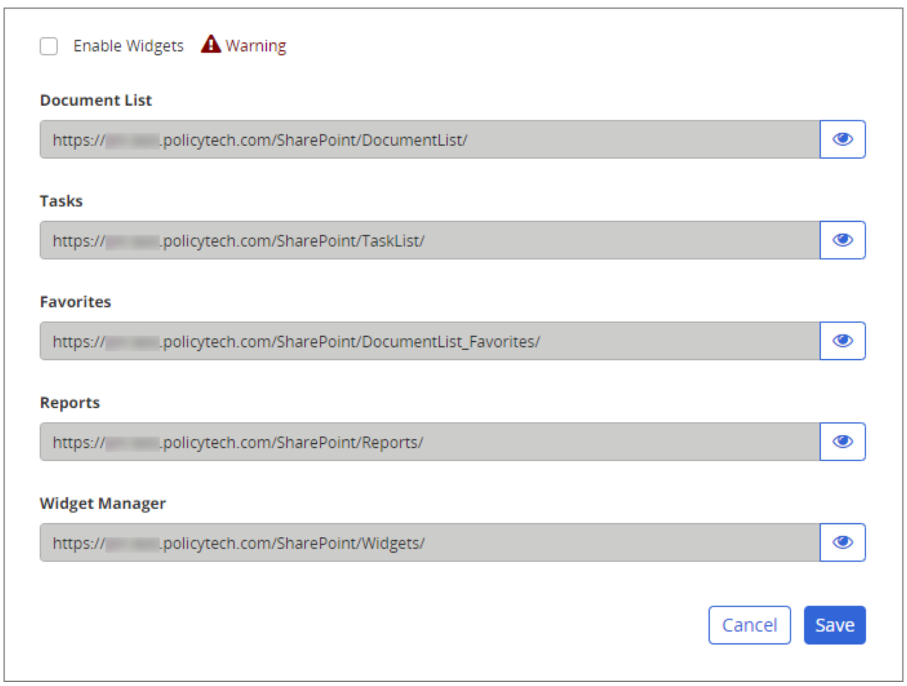
[Add the Code for the Federated Search HTML to RSS Converter](#)

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.



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 Available Web Parts 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

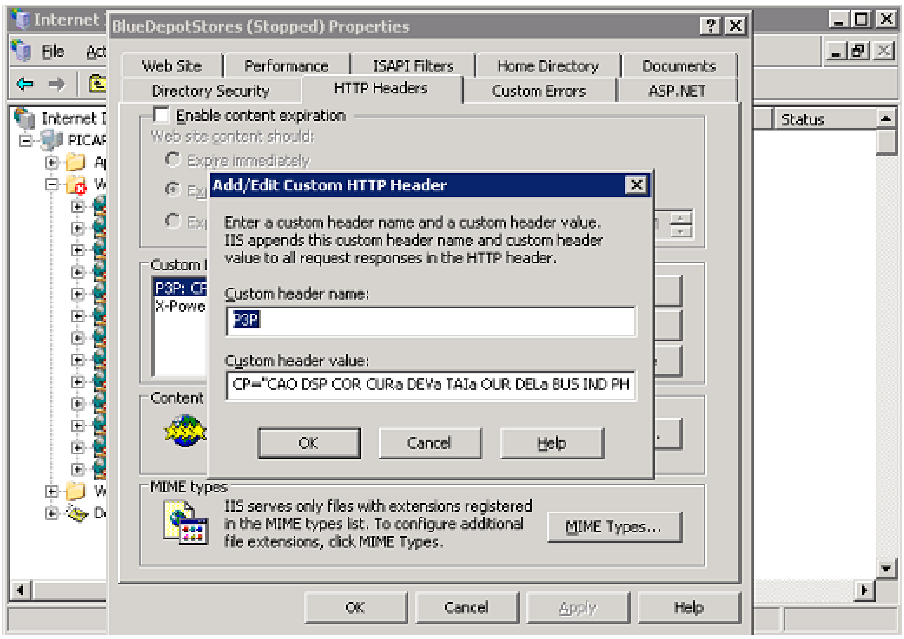
Enabling Third-Party Cookies / Creating a P3P for your Website

Note: This may not be required if PolicyTech is configured to use Active Directory authentication.

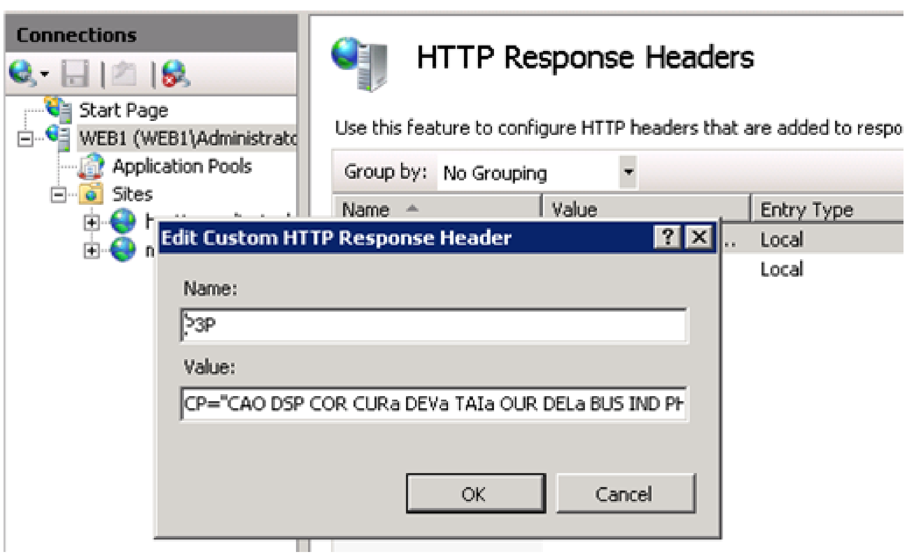
- SharePoint Page Viewer web parts make use of Iframes for displaying content. When the PolicyTech pages are displayed inside an Iframe, third-party cookies must be permitted for proper functionality. If third-party cookies are not permitted, the user will not be able to log on to the PolicyTech system.To 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

IIS 6 - P3P Configuration



IIS 7 - P3P Configuration



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.