NAVEX GLOBAL™
The Ethics and Compliance Experts

# Administrator's Guide

PolicyTech® 9.2

PolicyTech® 9.2 Administrator's Guide



3/15/2017

# Table of Contents

# Introduction to the Administrator's Guide

The *Administrator's Guide* helps you efficiently set up and manage PolicyTech™. We hope you enjoy the freedom and confidence that this product brings.

For instruction on creating, reading, and managing documents, see the User's Guide.

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™:

- Document Control 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 "Management Reports" in the User's Guide.

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

| Permission | Applicable Chapters |
|---|---|
| Document Control Administrator, Global | All |

| | |
|---|---|
| Document Control 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 for a hosted configuration. 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 two versions of one of the following browsers:

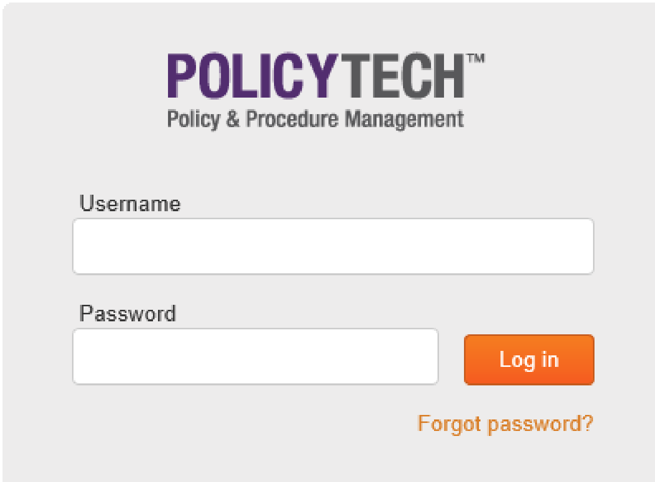
- Microsoft® Internet Explorer®
- Mozilla Firefox®
- Google Chrome™

**Note:** We only test PolicyTech on Internet Explorer. If you find an issue using PolicyTech while using Firefox or Chrome, please let us know by going to the Support Center (https://navexglobal.force.com/crc/crc_newCase) and submitting a ticket.

To log in,

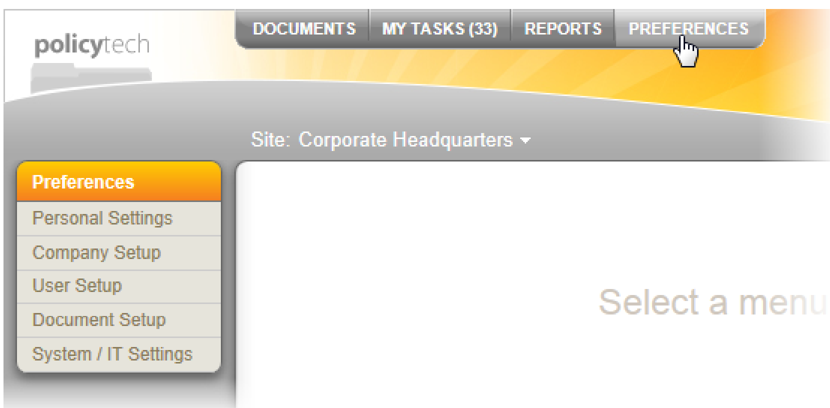
1. If you don't already have it, obtain the PolicyTech URL from your network administrator.
2. Enter the URL on the address line of your browser.
3. At the login prompt, type your user name and password, and then click **Log in**.

**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.




## Setting Preferences

Most of the work of setting up PolicyTech™ is done in **Preferences**. Consequently, most of the other sections in this guide deal with **Preferences** settings.




The following are the topics corresponding with each **Preferences** 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 the Windows or Mac operating system 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**.

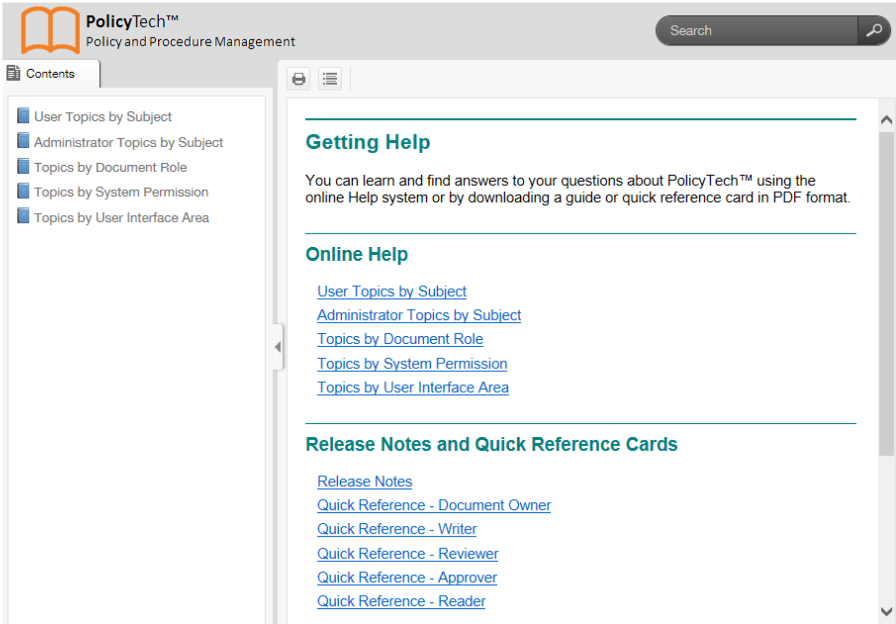
## Using In-Product Help

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

- In the PolicyTech™ header, click **HELP** to access the online **Help** system. You can then browse the table of contents or search for a specific topic.

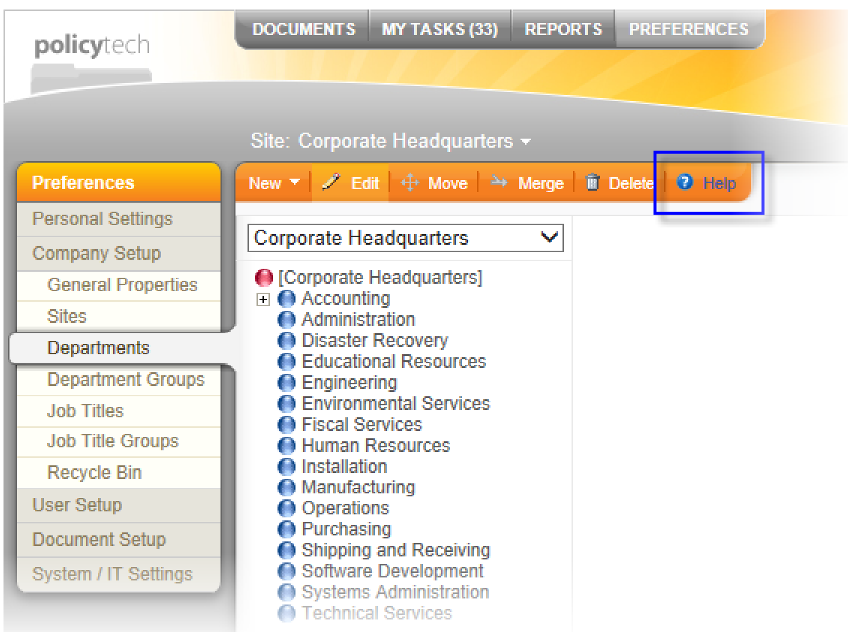
***Main Help Link***


***Online Help Window***

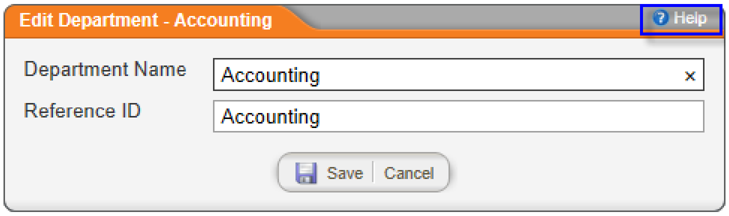



- Click **Help** at the top of the currently displayed list or window to get specific help with what you're currently working on.

***List Help***




***Window Help***


Edit Department - Accounting
Help
Department Name
Accounting
Reference ID
Accounting
Save
Cancel

# Client Support Contact Information

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

# Company Setup

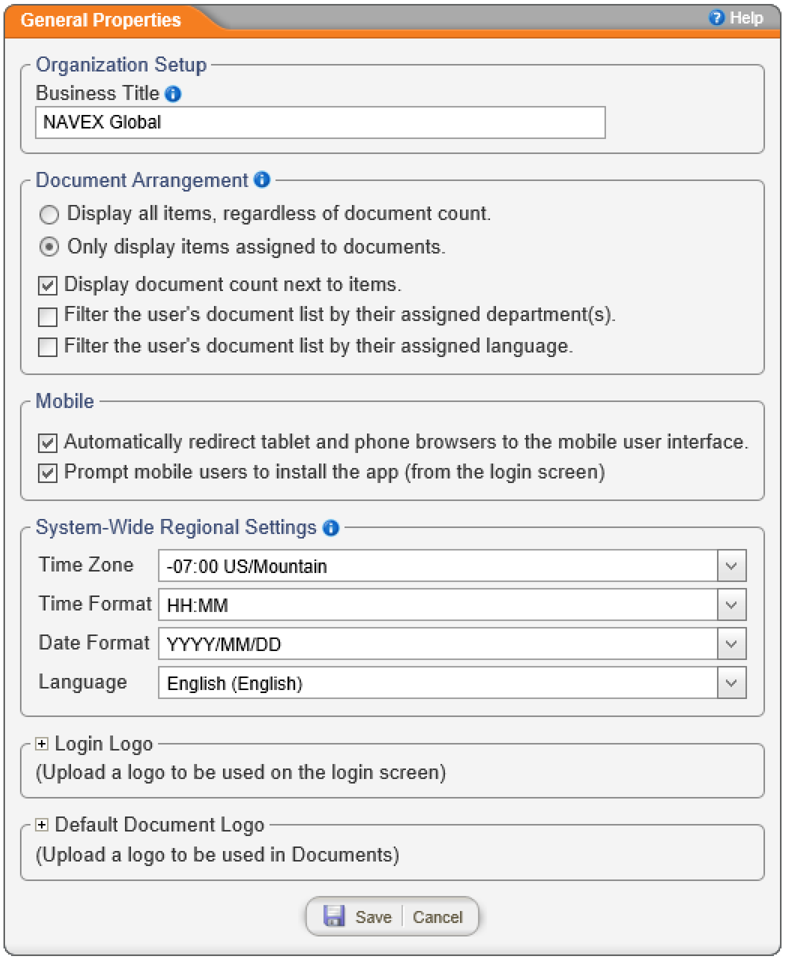
Refer to the following sections for details on setting up company preferences:

General Properties
Working with Sites
Working with Departments
Working with Department Groups
Working with Job Titles
Working with Job Title Groups

## General Properties

To set up general properties,

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **General Properties**.

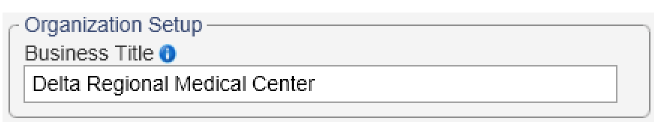



3. Make desired changes to the settings, which are explained in the sections that follow.

4. Click **Save**.

## Organization Setup

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



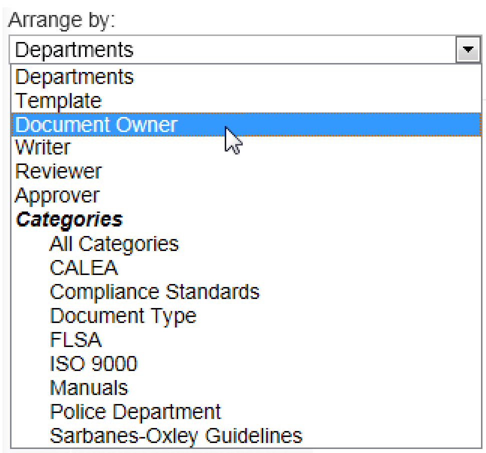

The name appears on the right of the PolicyTech™ header, below the user name.

## Document Arrangement

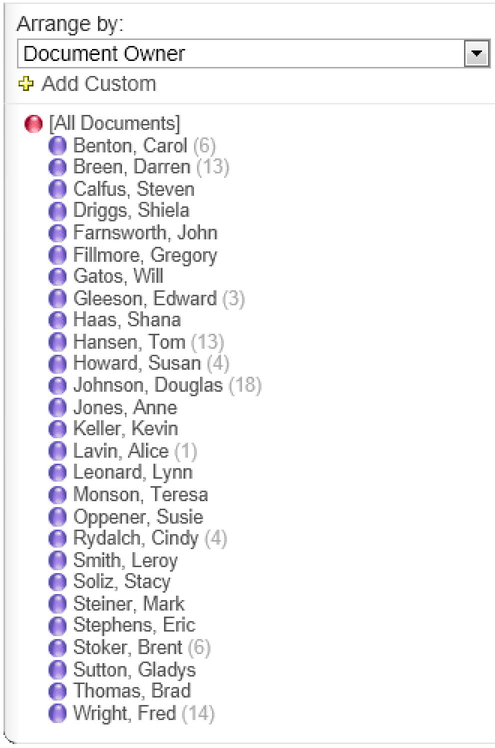
The **Document Arrangement** options let you control which items and documents are displayed when looking for a document using **Arrange by** (see "Finding a Document in a Specific Status" in the User's Guide for details on using **Arrange by**).

### Item Display

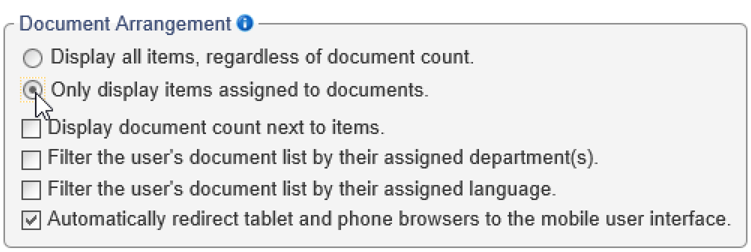
When looking for a document using **Arrange by**, users can choose to list documents by one of many document properties, such as what department or category the document is assigned to.




Selecting a property displays a list of all the items, or options, that can be assigned for that property. In the example below, **Document Owner** is the selected property, and the names of all document owners are the items in the **Document Owner** list.




By default, all of the items under the selected property appear in the **Arrange by** list, whether they have documents assigned to them or not. If you want only those items to be displayed that have documents assigned to them, click **Only display items assigned to documents**.

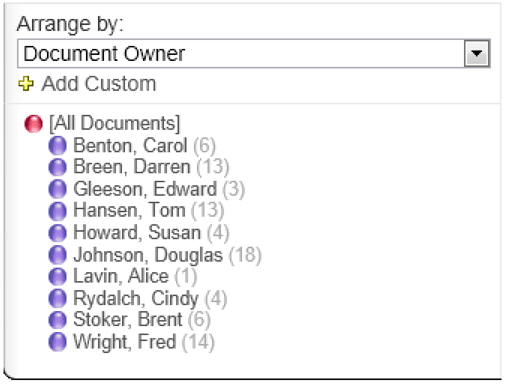



## Document Display

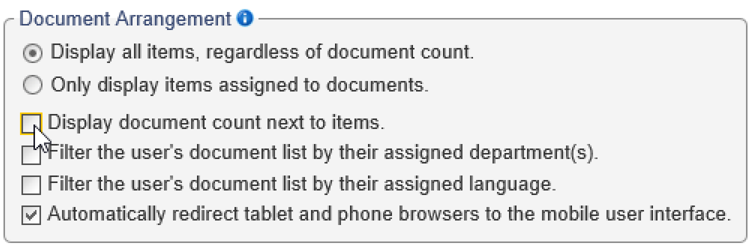
With the following settings, you can change how documents are displayed.

### Document Count

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



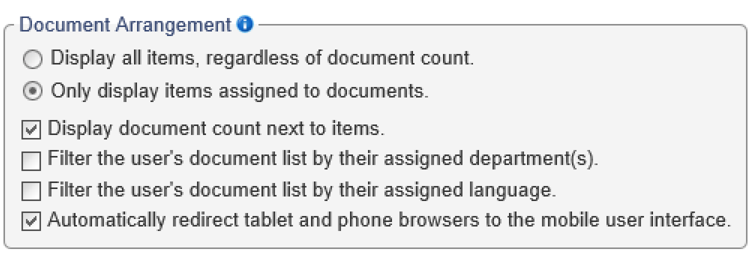

To disable this feature, click to clear the **Display document count next to items** check box.




### Document Filters

By default, users can see documents in all departments, as long as they have been assigned to those documents in some way, such as being assigned as a reader. If you want to restrict all users to viewing only the documents in their assigned departments, select the **Filter users' document lists by their assigned department(s)** check box.

By default, users also see documents in all languages. To limit the display of documents to only those in the user's preferred language, select the **Filter the user's document list by their assigned language** check box..




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

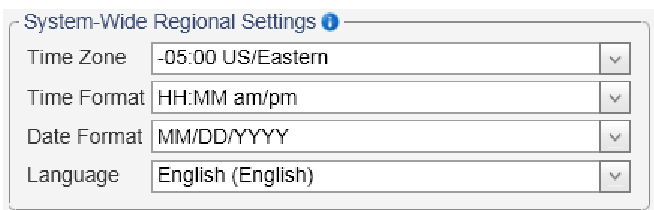
## Mobile

When a user accesses PolicyTech using a browser (instead of the mobile app) on a tablet or phone, PolicyTech detects that the user is on a mobile device and does the following by default:

- Automatically loads the mobile user interface instead of the standard interface displayed when logging in from a computer. To always start with the standard user interface, click to clear the **Automatically redirect tablet and phone browsers to the mobile user interface** check box.
- Displays a banner with a link for installing the mobile app. To prevent the mobile app installation banner from being displayed, click to clear the **Prompt mobile users to install the app (from the login screen)** check box.

## System-Wide Regional Settings

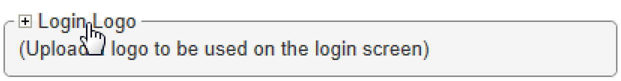
Choose the time zone, time format, date format, and language settings you want to appear as the default settings for each site you add. You can override these settings when you create a site (see Adding a Site for details).



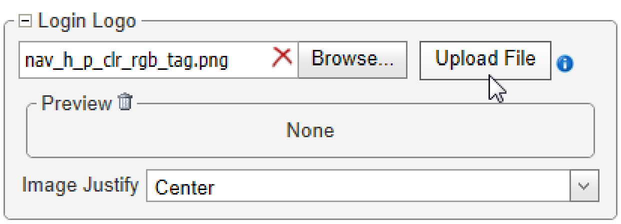

## Login Logo

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

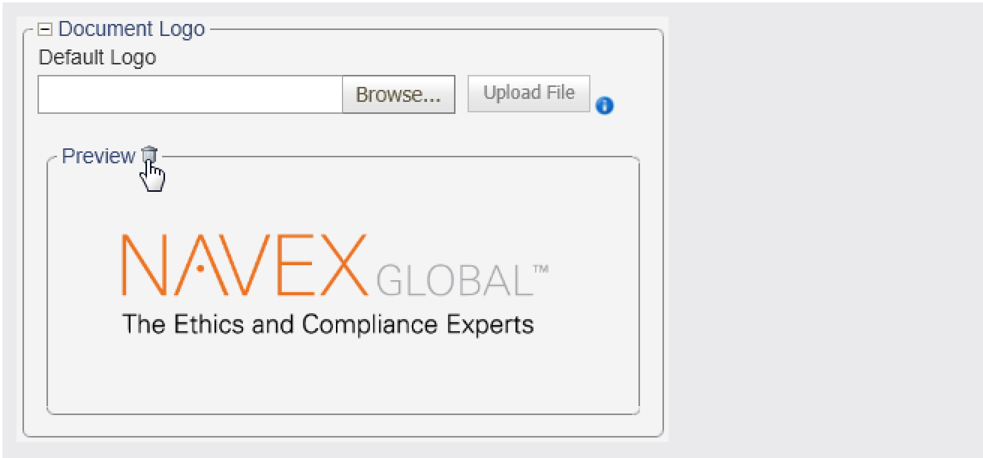

1. Click **Login Logo** to expand the **Login Logo** area.




2. Click **Browse...**, navigate to the graphic file, and then click **Open** to insert the file name.
3. Click **Upload File**. 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.



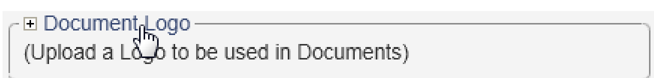

4. For **Image Justify**, click **Center**, **Left** (aligned with left edge of login dialog box), or **Right** (aligned with right edge of login dialog box).

**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.

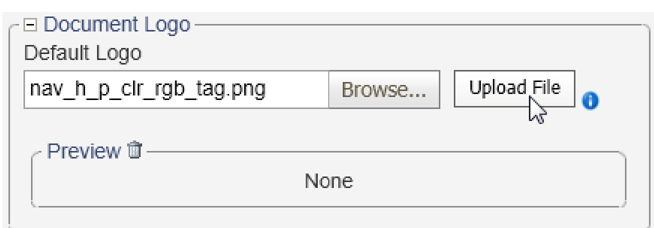
## Document Logo

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

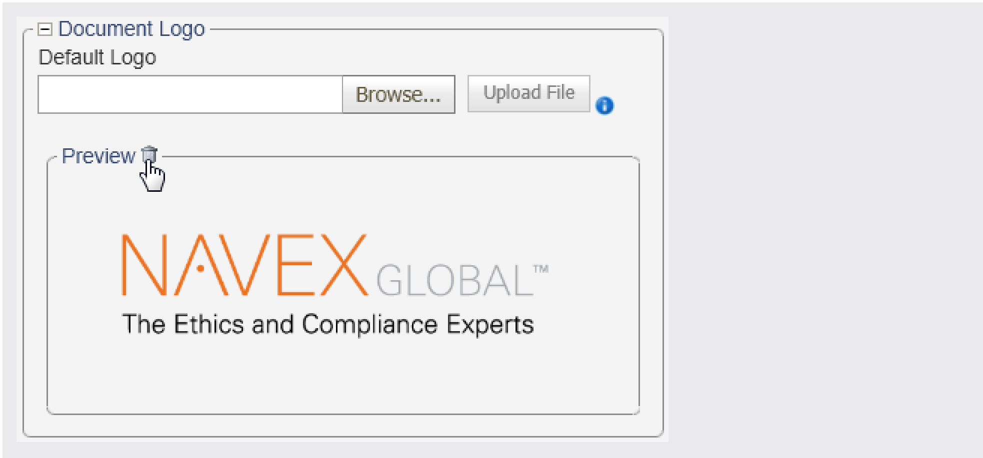
1. Click **Document Logo** to expand the **Document Logo** area.




2. Click **Browse...**, navigate to the graphic file, and then click **Open** to insert the file name.
3. Click **Upload File**. 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.




4. Click **Save**.

## 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. When you first install PolicyTech™, there is one default site named **--Main Office--**, which you can rename to something more appropriate for your organization. You can also create additional sites for separate locations.

### 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

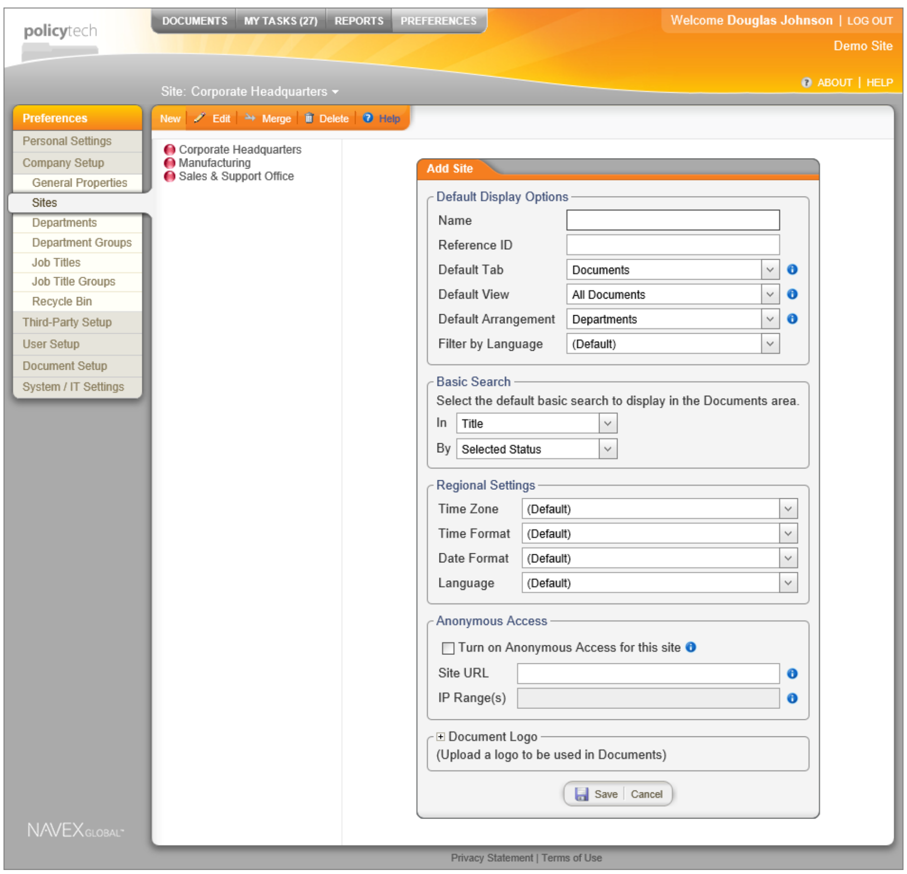
Merging Sites

Deleting a Site

## Adding a Site

To add a site,

1. Click **PREFERENCES**, and then click **Company Setup**.
2. Click **Sites**, and then click **New**.



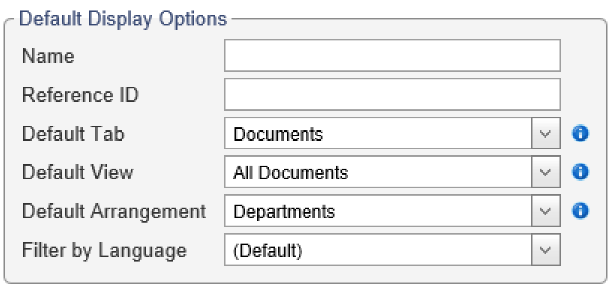

3. Add information in the following areas, which are described in the sections that follow. Keep in mind that these settings apply only to the site you are currently creating.

- Default Display Options
- Basic Search
- Regional Settings
- Anonymous Access
- Public Viewer
- Document Logo

4. Click **Save**.

## Default Display Options

All default display options are required.




### Name and Reference ID

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

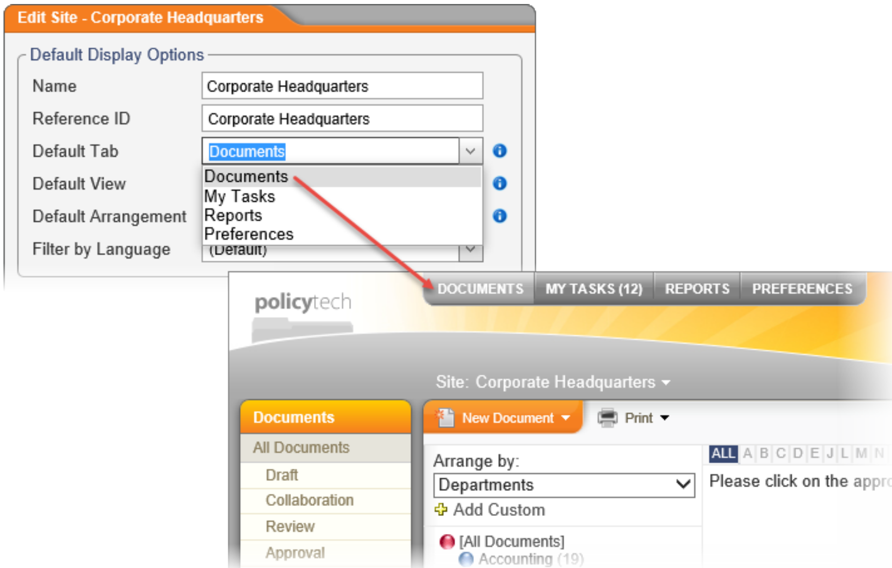
The reference ID is used only by the **Automated User Synchronization** feature. Its purpose is to allow the site name in a snyc file to be different than the PolicyTech site name. In other words, the reference ID may or may not be the same as the site name. When users are imported from a sync file, they are assigned to sites based on site reference IDs rather than site names. (See 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 Tab, View, and Arrangement

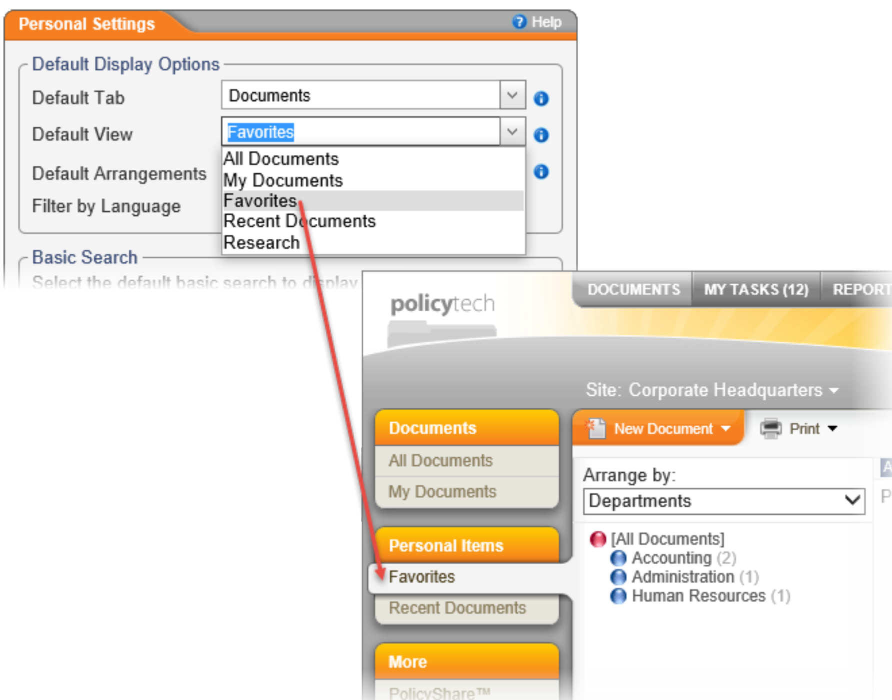
These three default settings determine what is first selected and displayed when users log in to PolicyTech.

> **Note:** Users assigned to this site inherit these settings as their defaults but can override them with the corresponding options in **Personal Settings**.

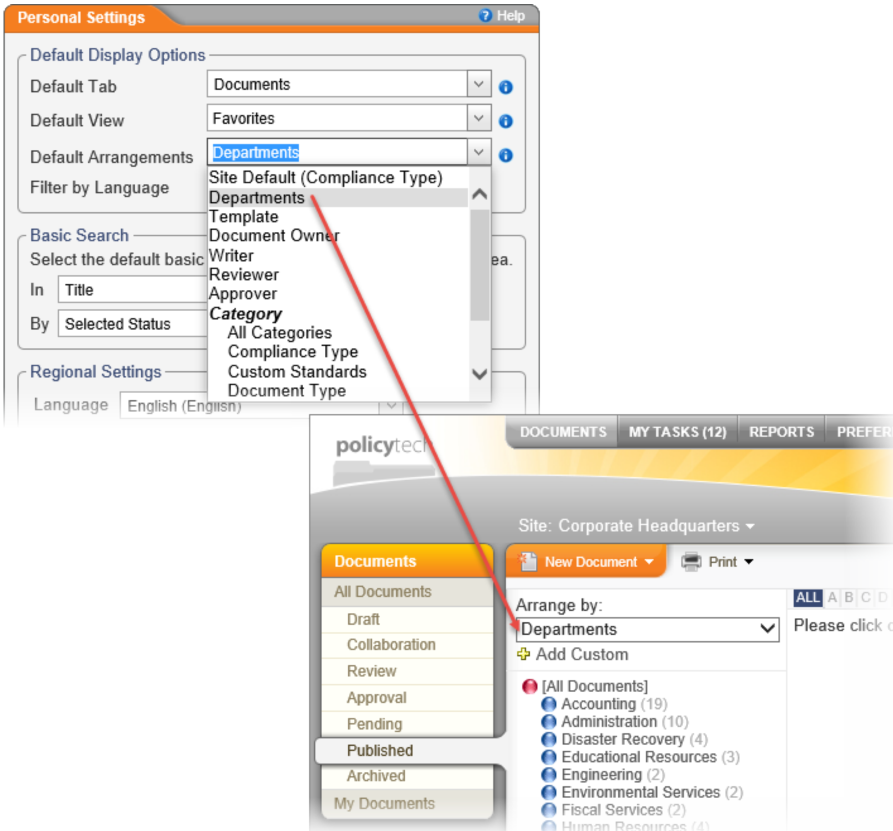
The **Default Tab** options correspond to the tab bar options at the top of the PolicyTech header and determine which tab is first selected and displayed when users log in to PolicyTech.




The **Default View** options correspond with the **Documents**, **Personal Items**, and **Research** options in the left navigation menu and determine which option in the left navigation menu is first selected and displayed when users log in to PolicyTech.




The **Default Arrangement** options correspond to the **Arrange by** options in a document list and determine which **Arrange by** option is first selected and in effect when a user selects a status in the **Documents** menu to display a document list.




### Filter by Language

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

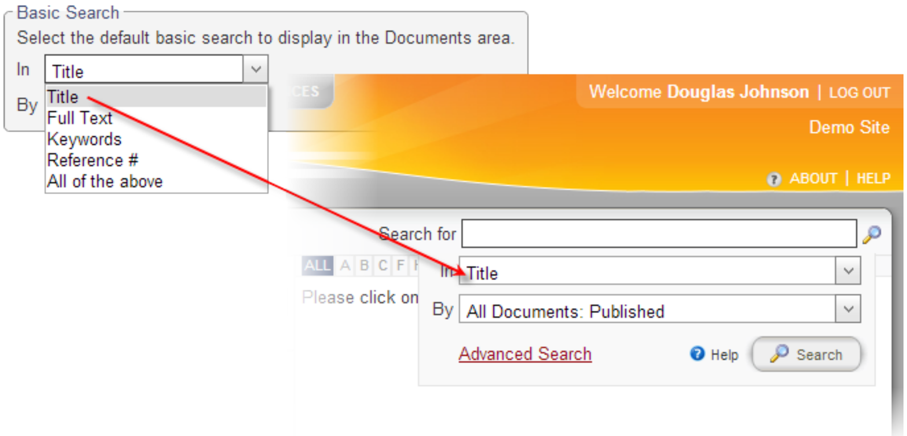
**Notes:**

- 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 will be **(Default)**.
- Users assigned to this site inherit this setting by default but can override it with the corresponding option in **Personal Settings**.

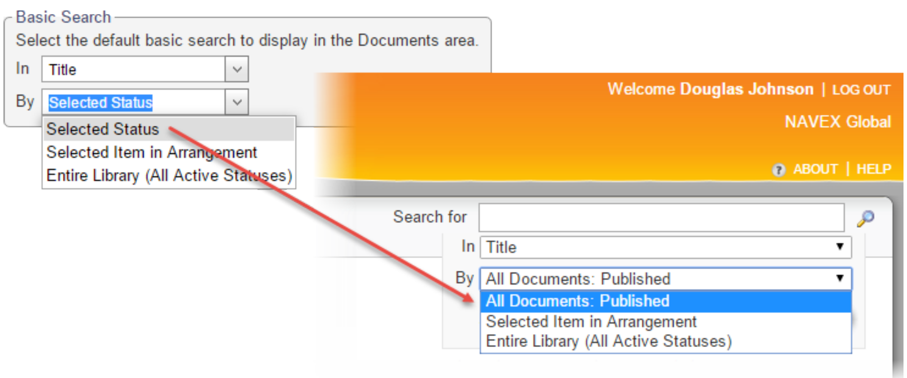
## Basic Search

The **Basic Search** settings determine the default settings for the **In** and **By** options in a basic document search.

1. Use the **In** setting to specify the default **Basic Search** setting for how much of a document to search: just the title, only document contents (full text), only keywords, only the reference number, or all of the previous.

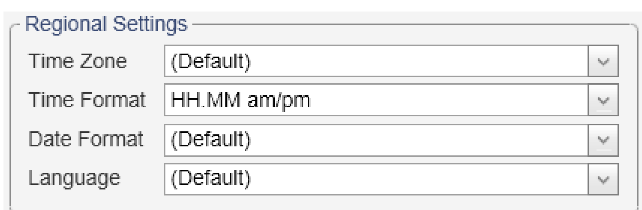



2. Use the **By** list to specify which status or arrangement you want selected as the default **By** option for **Basic Search**.




## Regional Settings

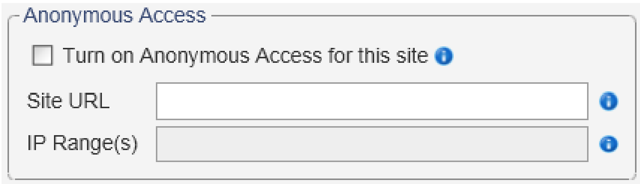
When you create a site, it inherits the current settings in System-Wide Regional Settings in **General Properties**, and all the site regional settings say **(Default)**. You can override any default setting for the current site by changing the setting.




## 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 for a site, first open the site form (see Adding a Site or Editing Site Settings for help).
2. In the **Anonymous Access** area, click **Turn on Anonymous Access for this site**.
3. In the **IP Range(s)** box, type the range of IP addresses you want to be able to access this site anonymously.

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

4. If a URL is not displayed in the **Site URL** box, click **Save**, and then click the site name to open it in the **Edit Site** box. 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 about **Public Viewer**.

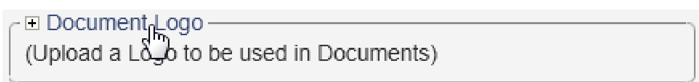
You can set up the site so that anyone who is not a PolicyTech™ user can access any published document assigned the **Public** security level. A public viewer needs only the site URL to access the site's published documents—no user name or password is required.

### Document Logo

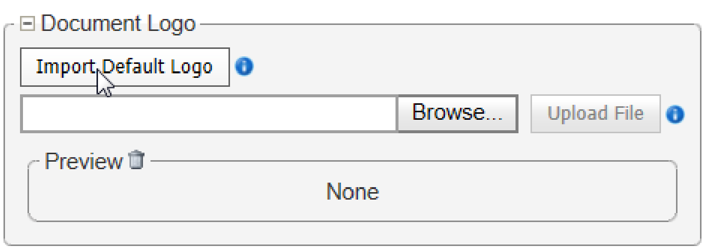
You can select a graphic file, such as a company logo, that users can then insert into documents and document templates. You can either use the graphic file (if any) uploaded in **General Properties** of **Company Setup** (see "Document Logo" in the "General Properties" section) or upload a different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

#### Use the Logo from General Properties

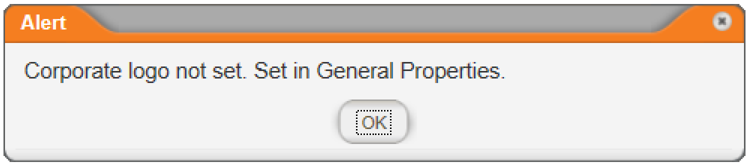
1. Click **Document Logo** to expand the **Document Logo** area.




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

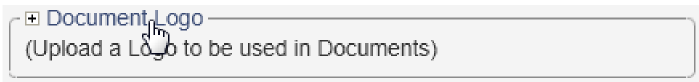



**Note:** If a logo file has not been uploaded in **General Properties**, you will receive the following alert instead of seeing a file preview. Click **OK** to clear the alert and then either upload a logo for this site (see next section) or upload a logo in **General Properties** and then repeat these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

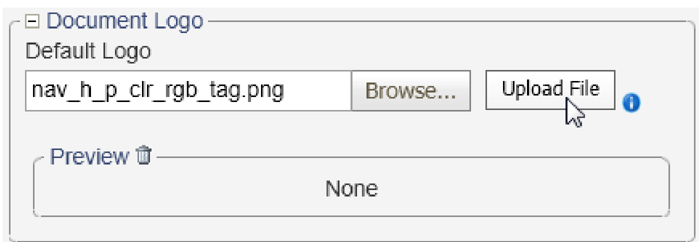



### Upload a Site-Specific Logo

1. Click **Document Logo** to expand the **Document Logo** area.

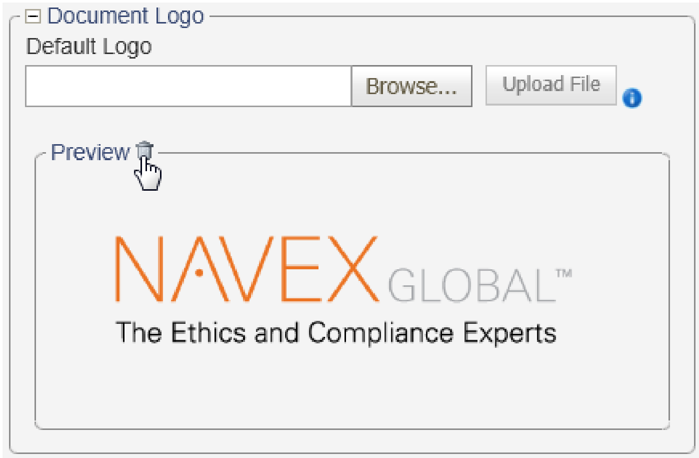



2. Click **Browse...**, navigate to the graphic file, and then click **Open** to insert the file name in the **Default Logo** box.
3. Click **Upload File**. A preview of the new default logo is displayed.



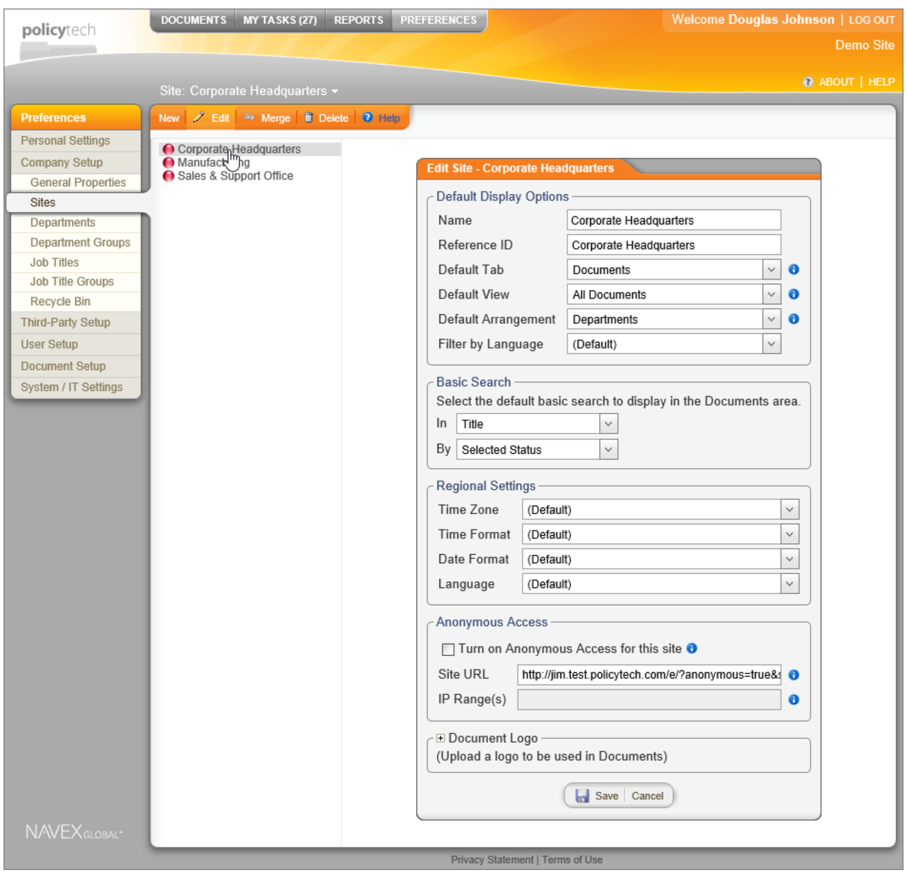

**Notes:**

- 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 **PREFERENCES**.
2. Click **Company Setup**, and then click **Sites**.
3. 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

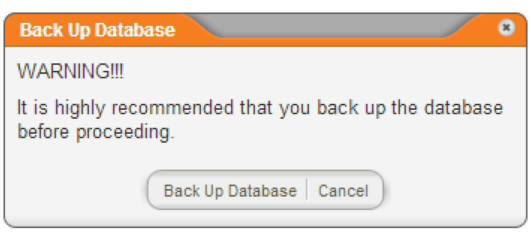
When merging one or more sites into another site (the target site), all of the users, departments, categories, and templates assigned to the sites to be merged will be reassigned to the target site. The sites to be merged will be deleted, with the target site remaining.

**Important:** A site that is merged into another is not placed in the **Recycle Bin** and can only be restored by restoring a backup database. Be sure to back up the PolicyTech™ database when prompted (see step 4 below).

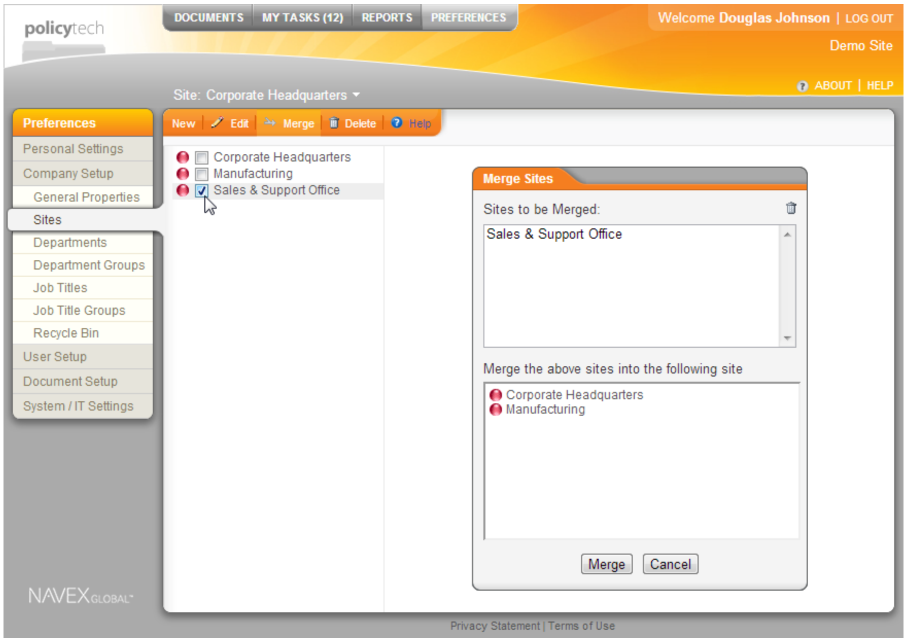
**Note:** For a merge to be successful, the site being merged cannot contain any departments or job titles that are the same as those in the target site. If you know of duplicate names, you can rename or delete duplicates before performing the merge. If you don't know of any duplicate names, go ahead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

To merge sites,

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Sites**.
3. Click **Merge**.
4. You will be prompted to back up the PolicyTech™ database before merging sites. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.




5. In the site list on the left, select the site or sites to be merged.




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

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

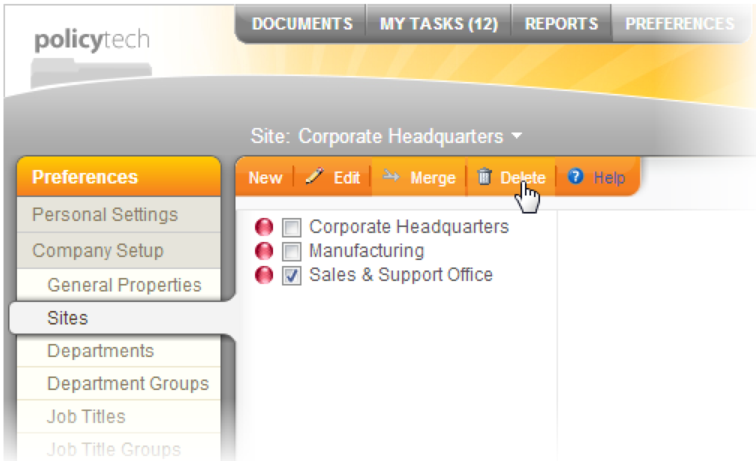
## Deleting a Site

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

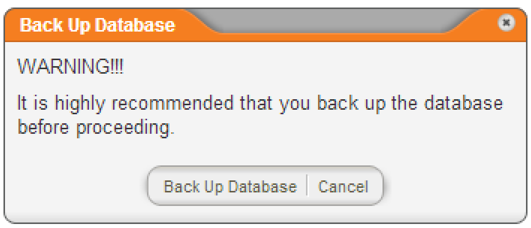
- Users
- Documents
- Departments
- Categories
- Templates

To delete a site,

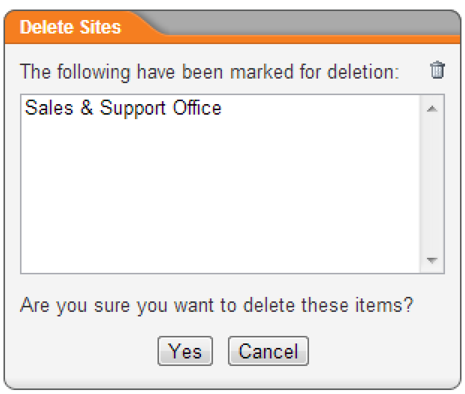
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Sites**.
3. Select a site check box, and then click **Delete**.




4. You will be prompted to back up the PolicyTech™ database before deleting the site. Click **Backup Database**, and then click **OK**. When the backup is finished, click **Close**.




5. Click **Yes** to delete the site, and then click **OK**.




**Note:** Deleting a site places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted 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 and document 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 added to the department are automatically assigned that task.

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

Adding a Department

Editing a Department

Moving a Department

Merging Departments

Deleting a Department

## Adding a Department

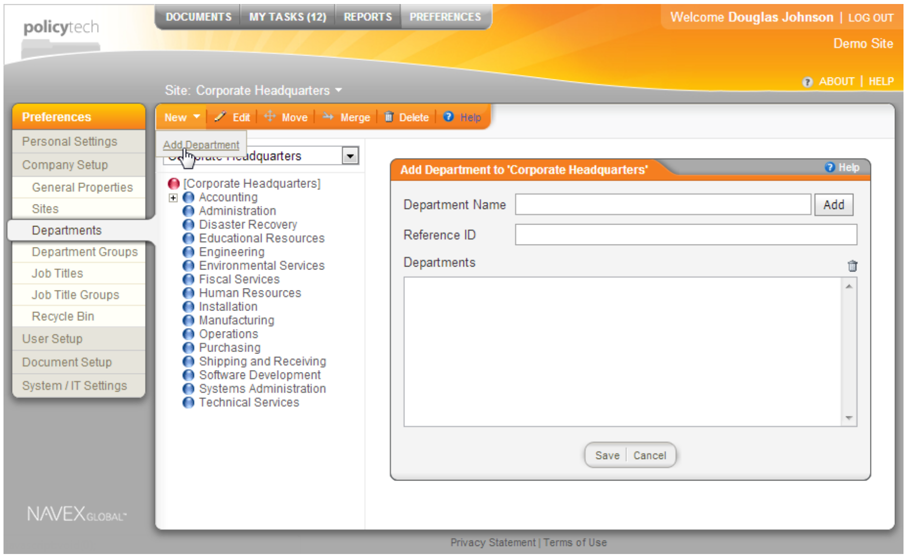
**Note:** You can automatically create departments in PolicyTech™ by importing users from Active Directory® or a human resources database. See Importing and Syncing Users from Another Database for details.

To add a department,

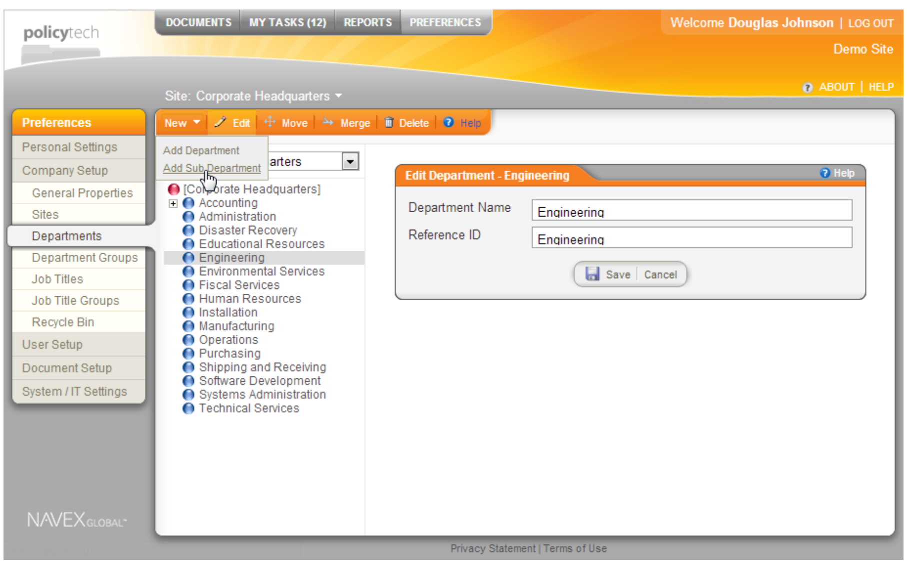
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Departments**.
3. If multiple sites exist, click the currently selected site name, and then select the site to which you want to add a department.


4. Do one of the following:

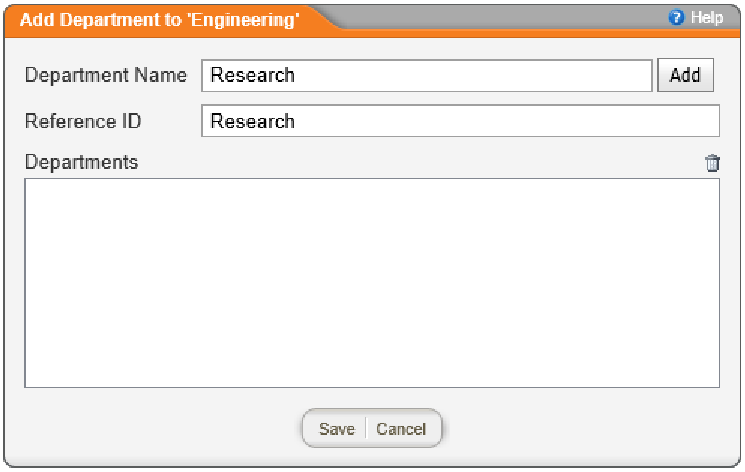
- If you are adding a top-level department to the site, click **New**, and then click **Add Department**.




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



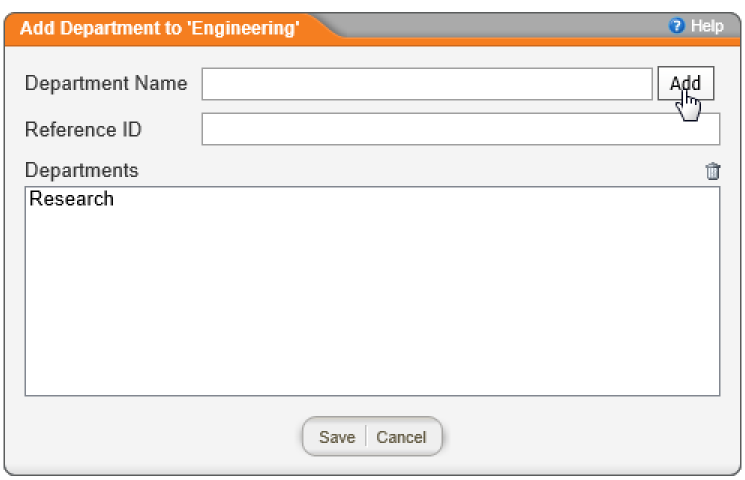

5. Type a department name.




**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.)

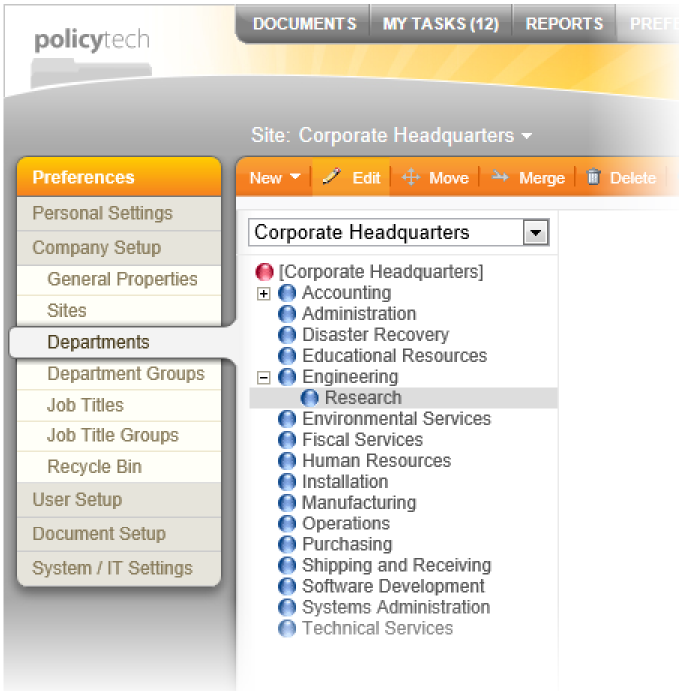
If you do not use **Automated User Synchronization**, it is usually okay to leave the reference ID the same as the department name. However, because department reference IDs must be unique within a particular site, you may need to change the reference name of a duplicate subdepartment name. For example, 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**.

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



7. (Optional) Repeat steps 5 and 6 to add other departments or subdepartments.
8. Click **Save**.

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



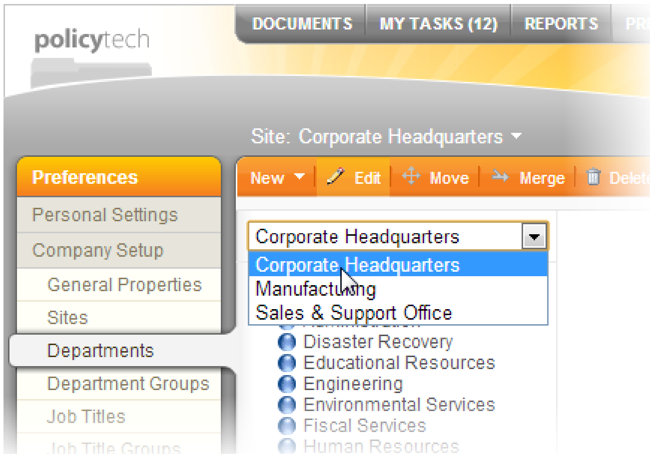

## Editing a Department

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 assigned to that department.

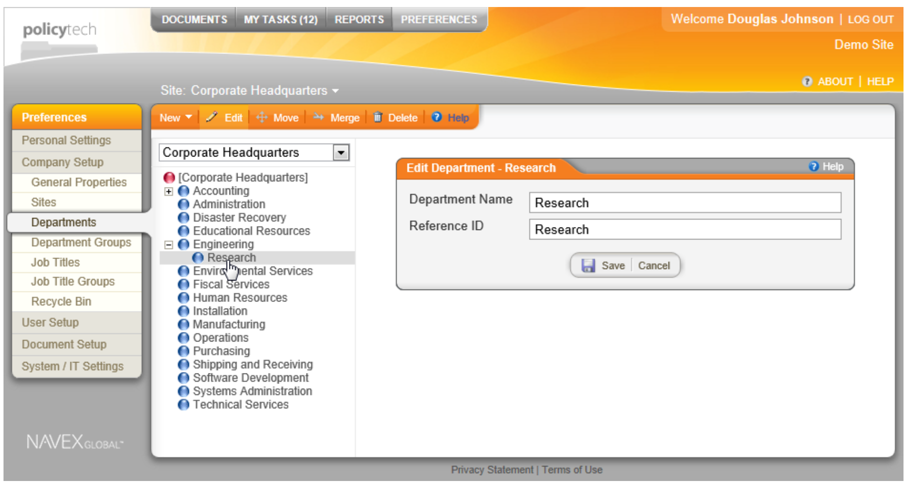
**Important:** If you are using **Automated User Synchronization**, you should not change a department's reference ID unless it has also changed in Active Directory® or in the human resources database that PolicyTech™ is synchronizing with. Otherwise, the department will no longer be synchronized.

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

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Departments**.
3. If multiple sites exist, click the currently selected site name, and then select the site containing the department you want to change.




4. Click the department you want to change.

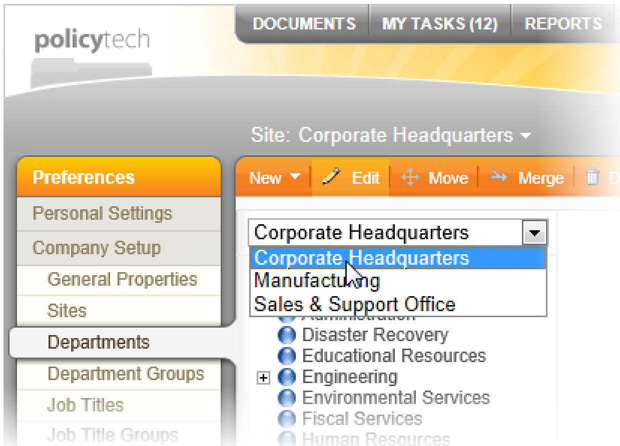



5. Make the desired changes, and then click **Save**.

## Moving a Department

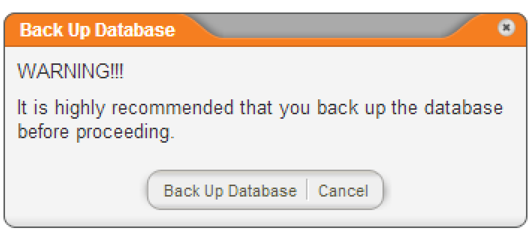
You can move a department from one site to another or to become a subdepartment of another department.

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Departments**.
3. In the site list above the department list on the left, click the site containing the department or departments you want to move.

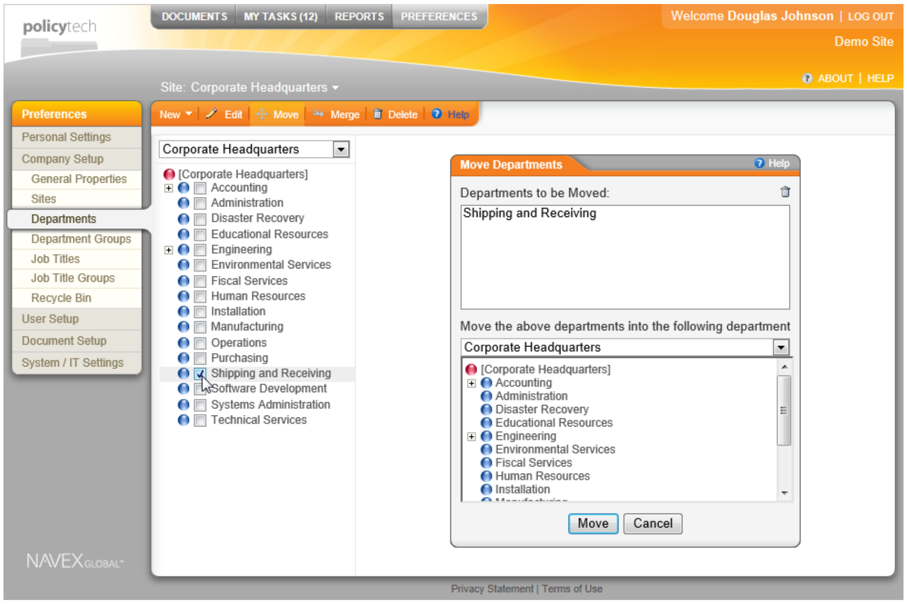



4. Click **Move**.


5. You will be prompted to back up the PolicyTech™ database before moving a department. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.

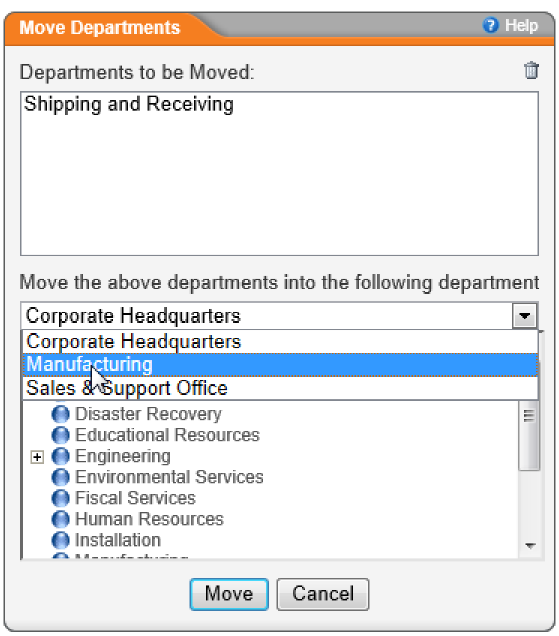



6. In the department list on the left, select one or more departments you want to move. Each selected department name appears in the **Departments to be Moved** box in the **Move Departments** window.



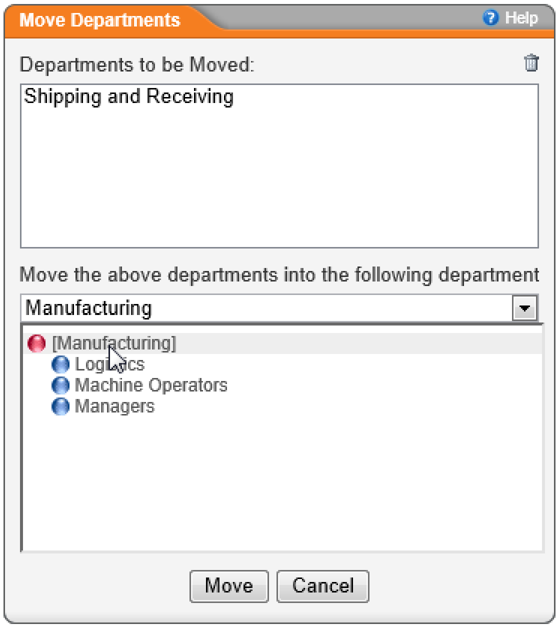

7. Do one of the following:

   - If you are moving one or more departments within the same site, skip to step 8.
   - If you are moving one or more departments to a different site, in the site list (at the top of the **Move the above departments into the following department** box), click a site.

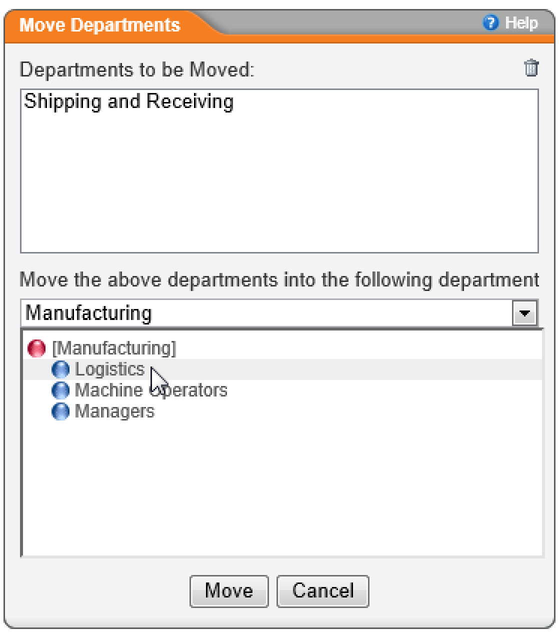



8. Do one of the following:

- To move the selected department as a top-level department, click the site name (preceded by ).




- To move the selected department as a subdepartment, click the department that will contain the selected department.




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

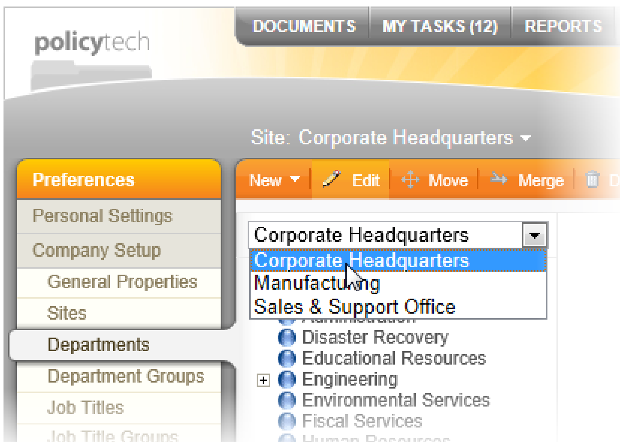
## Merging Departments

When merging one or more departments into a another department (the target department), all of the users, departments, categories, and templates 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.

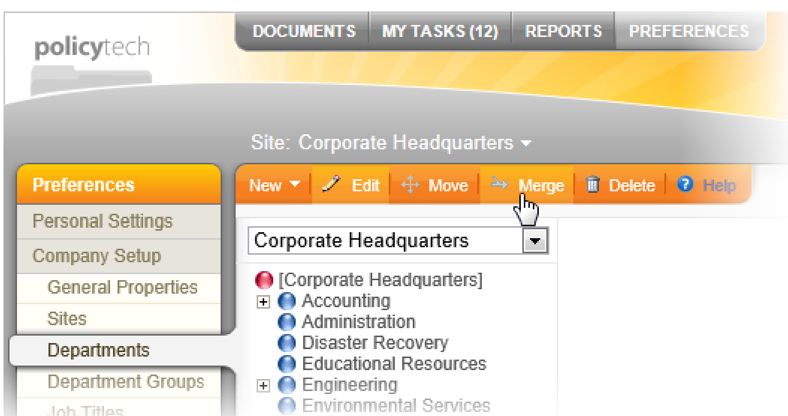
**Important:** A department that is merged into another is not placed in the **Recycle Bin** and can only be restored by restoring a backup database. Be sure to back up the PolicyTech™ database when prompted (see step 4 below).

To merge one or more departments into another,

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Departments**.
3. Above the department list on the left, click the currently selected site, and then select the site containing the department or departments you want to merge into another department.

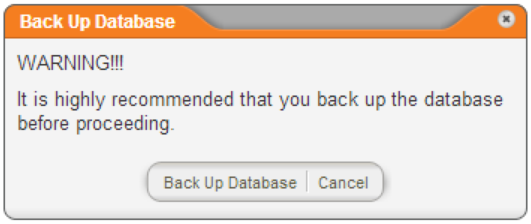



4. Click **Merge**.

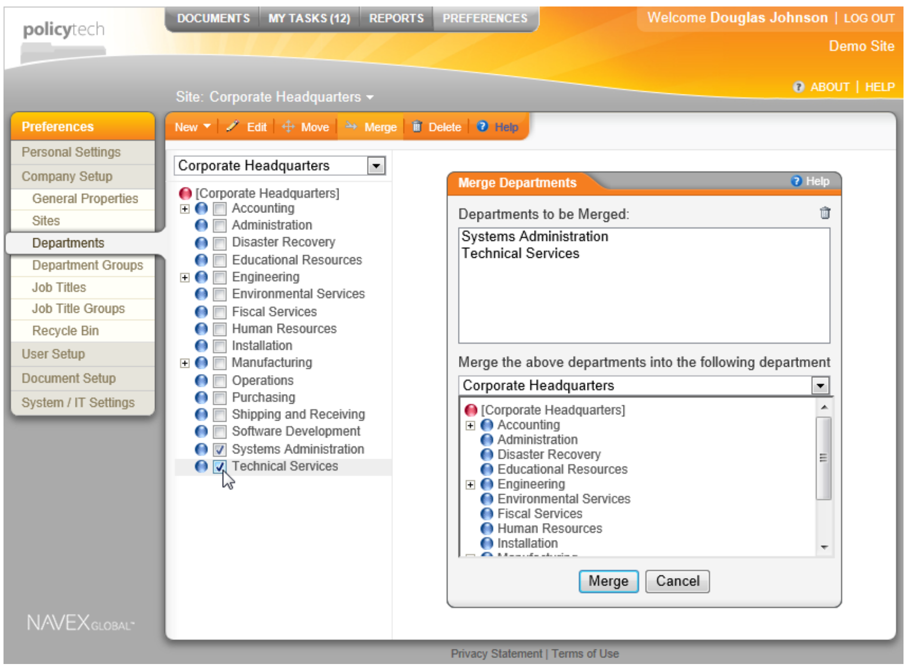



5. You will be prompted to back up the PolicyTech database before merging departments. Click **Backup Database**, and then click **OK**. When the

backup is complete, click **Close**.

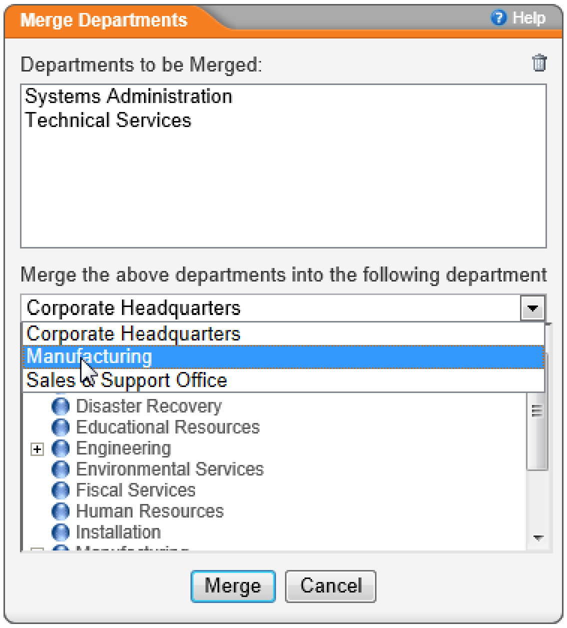



6. In the department list on the left, select one or more departments you want to merge. Each selected department name appears in the **Departments to be Merged** box in the **Merge Departments** window.

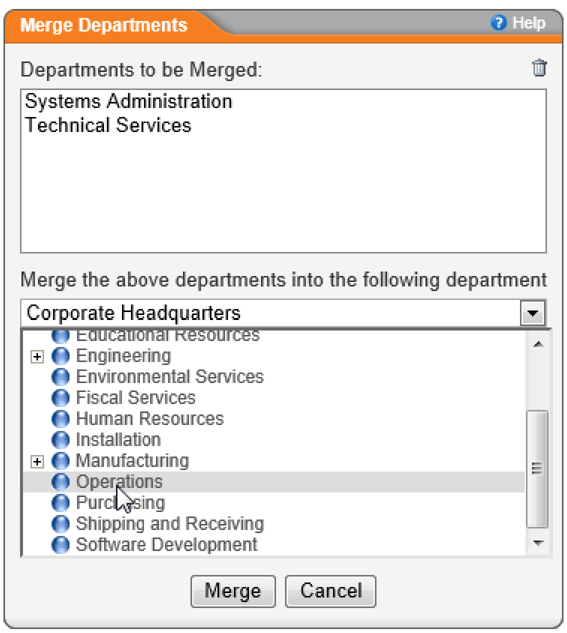



7. Do one of the following:

   - If you are merging one or more departments into another department within the same site, skip to step 8.
   - If you are merging one or more departments into a department in a different site, in the site list (at the top of the **Move the above departments into the following department** box), click the site containing the target department.




8. Click the target department.




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

## Deleting a Department

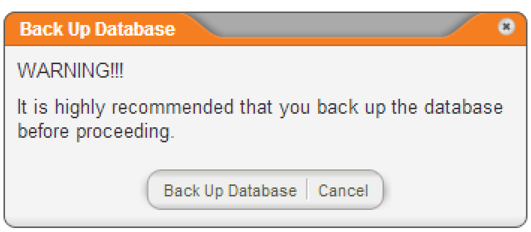
**Important:** If any of the following are assigned to a department, you must reassign or delete them before you can delete that department.

- Users
- Documents
- Subdepartments

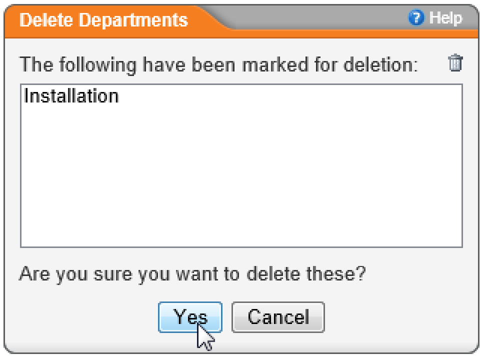
To delete a department,

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Departments**.
3. If multiple sites exist, in the site list, click the site containing the department you want to delete.
4. Click a department name, and then click **Delete**.


5. You will be prompted to back up the PolicyTech™ database before deleting the department. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.




6. Click **Yes** to delete the department, and then click **OK**.




**Note:** Deleting a department places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted department.

## Working with Department Groups

When you create a group of departments, users can then assign documents 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 that contain departments from multiple sites.

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

Adding a Department Group

Editing a Department Group

Deleting a Department Group

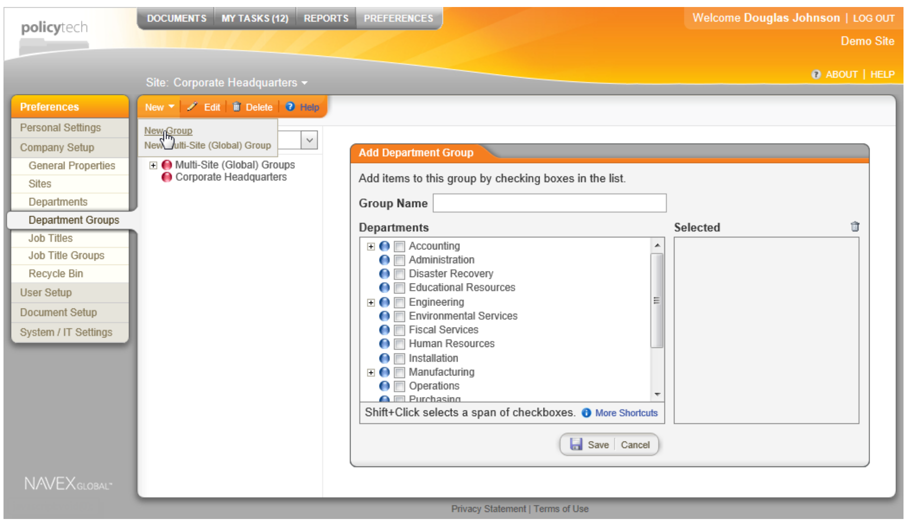
## Adding a Department Group

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

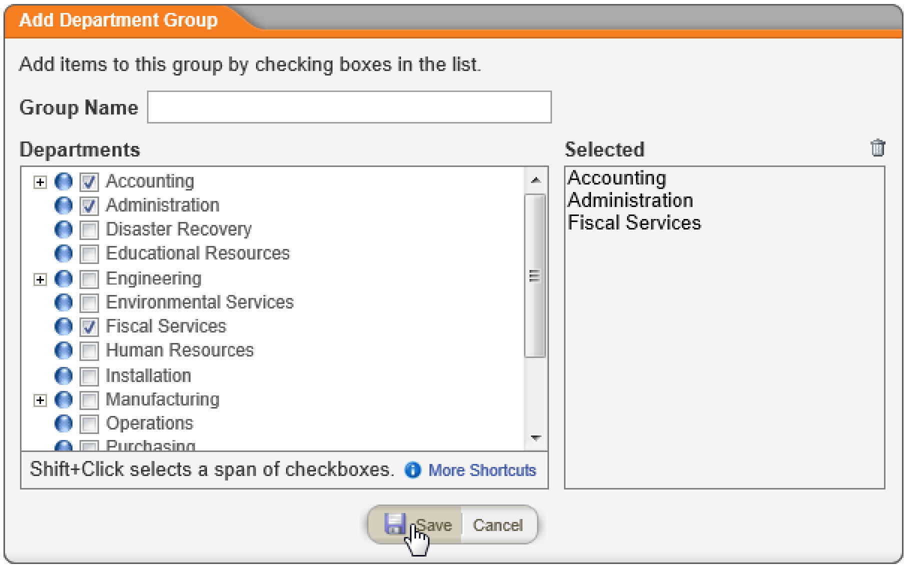
### Adding a Single-Site Department Group

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Department Groups**.
3. If multiple sites exist, click the currently selected site name, and then click the site to which you want to add a department group.


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

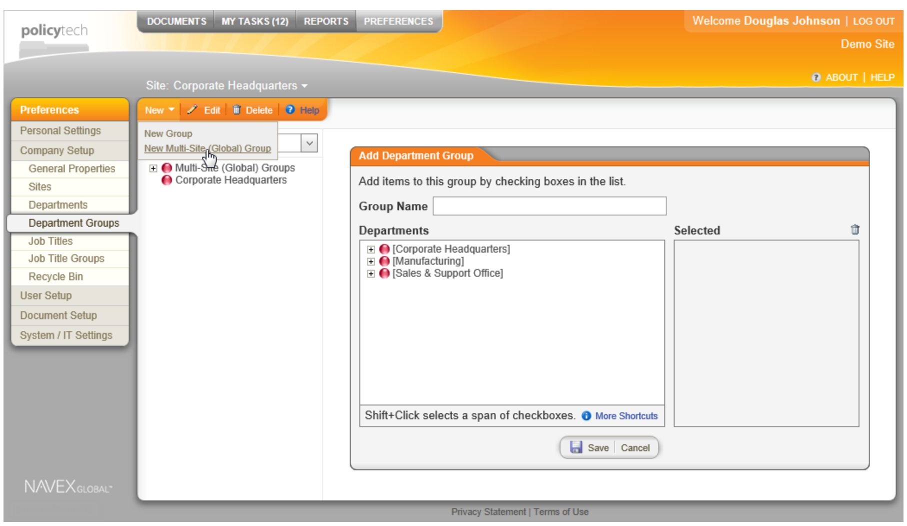



5. Type a group name.
6. Select the departments to include in the group, and then click **Save**.

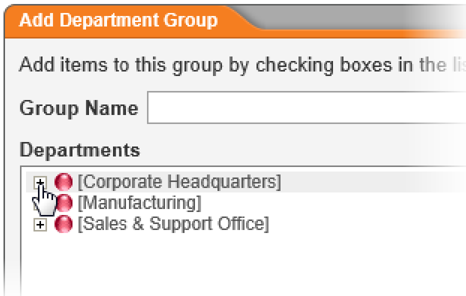



## Adding a Multisite Department Group

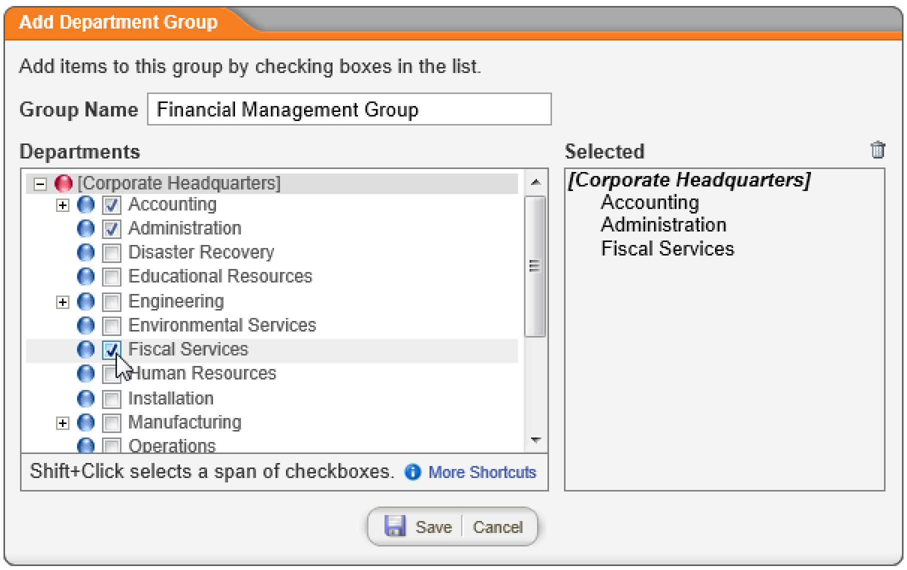
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Department Groups**.
3. Click **New**, and then click **New Multi-Site (Global) Group**.




4. Type a group name.
5. To add departments from a site, in the **Add Department Group** window, click ⊞ before the site name.




6. Select the departments to include in the group.




7. Repeat steps 5 and 6 as necessary to add departments from other sites.

8. 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

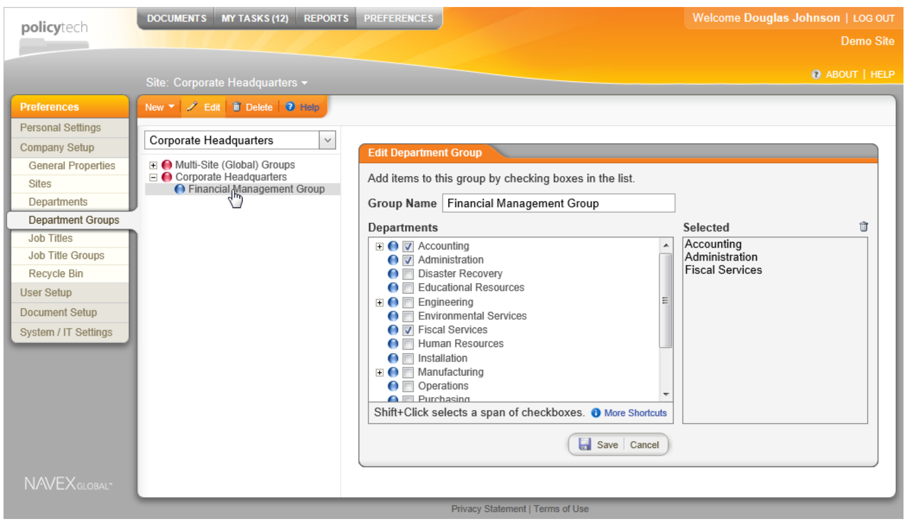
To change the name or contents of a single-site department group,

1. Click **PREFERENCES**.

2. Click **Company Setup**, and then click **Department Groups**.

3. Click the currently selected site name, and then select the site containing the department group.


4. Click the department group you want to change.



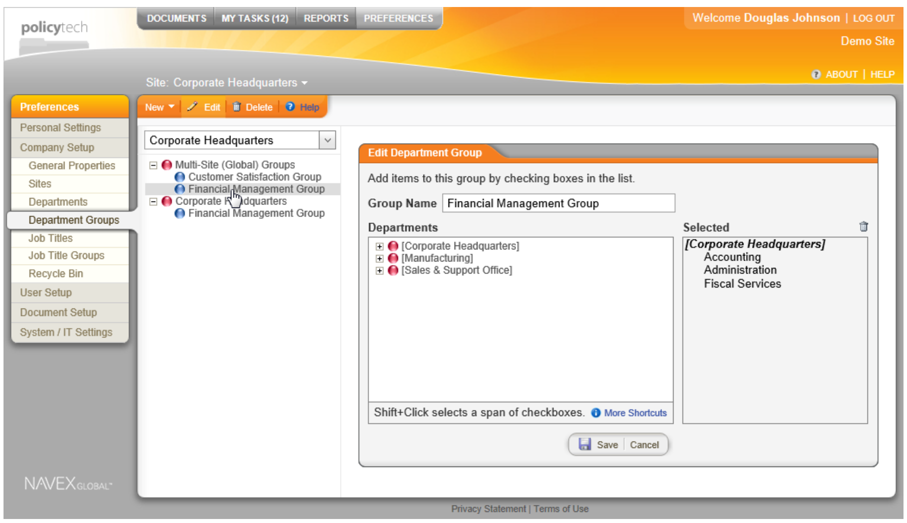

5. Make the desired changes, and then click **Save**.

## Editing a Multisite Department Group

To change the name or contents of a multisite department group,

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Department Groups**.
3. Click + before **Multi-Site (Global) Groups**.


4. Click the multi-site department group you want to change.




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

## Deleting a Department Group

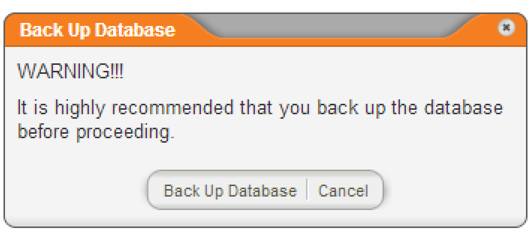
How you delete a department group depends on whether it is a single-site or multisite group.

### Deleting a Single-Site Department Group

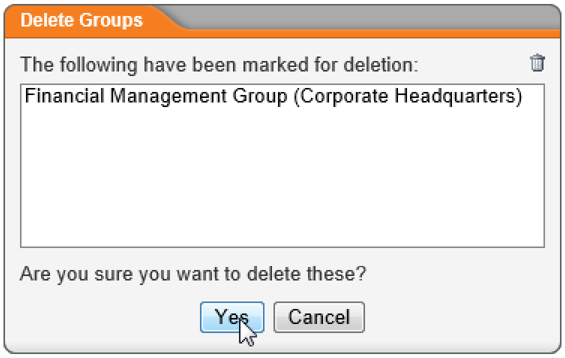
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Department Groups**.
3. In the site list, click the site containing the department group.


4. Click a department group, and then click **Delete**.


5. You will be prompted to back up the PolicyTech™ database before deleting the department group. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.




6. Click **Yes** to delete the group, and then click **OK**.

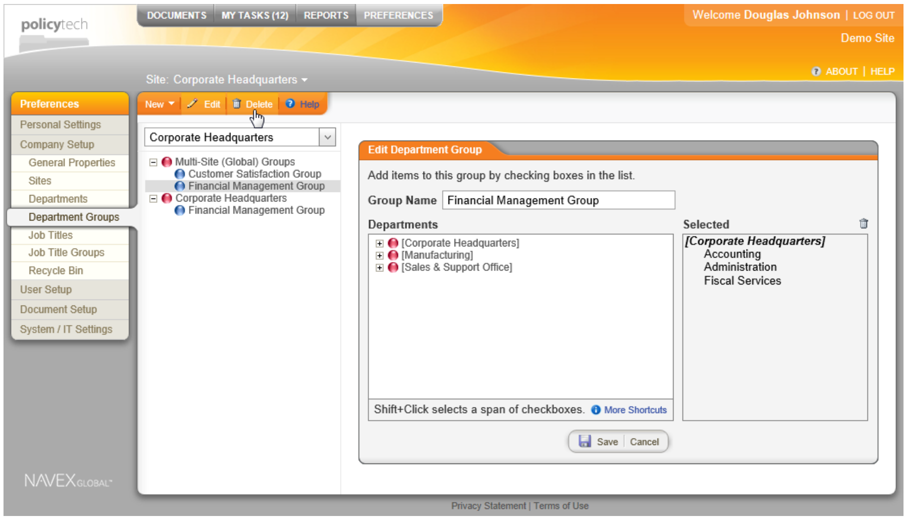



**Note:** Deleting a department group places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted department group.

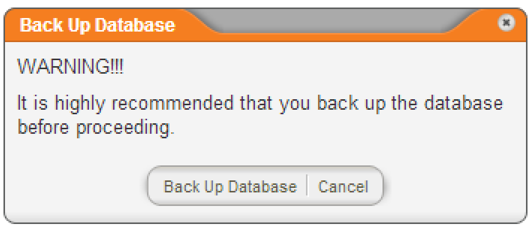
### Deleting a Multisite Department Group

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Department Groups**.
3. Click ⊞ before **Multi-Site (Global) Groups**.

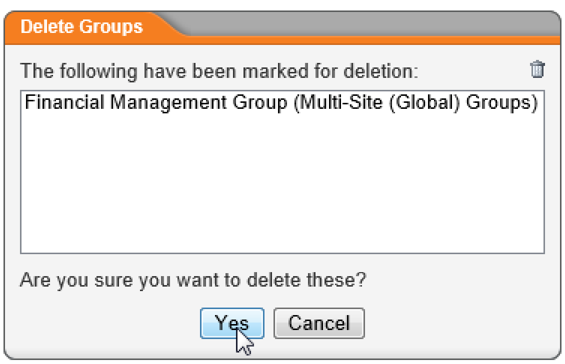

4. Click a multisite department group, and then click **Delete**.




5. You will be prompted to back up the PolicyTech™ database before deleting the department group. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.




6. Click **Yes** to delete the group, and then click **OK**.




**Note:** Deleting a department group places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted department group.

## Working with Job Titles

You can create job titles and assign them to users.

Keep in mind the following when working with job titles:

- 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 for details on the tasks related to working with job titles:

Adding a Job Title

Editing a Job Title

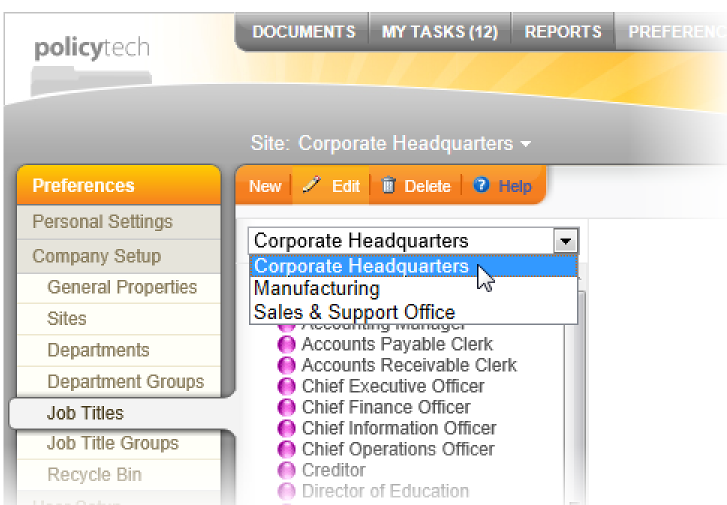
Deleting a Job Title

## Adding a Job Title

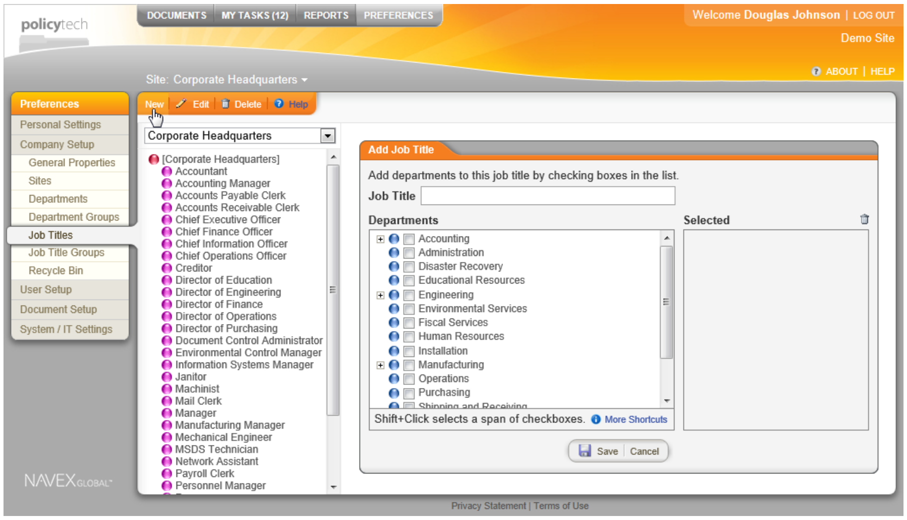
**Note:** You can automatically create job titles in PolicyTech™ by importing users from Active Directory® or a human resources database. See Importing and Syncing Users from Another Database for details.

To add a job title,

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Titles**.
3. If multiple sites exist, in the site list, click the site to which you want to add a job title.



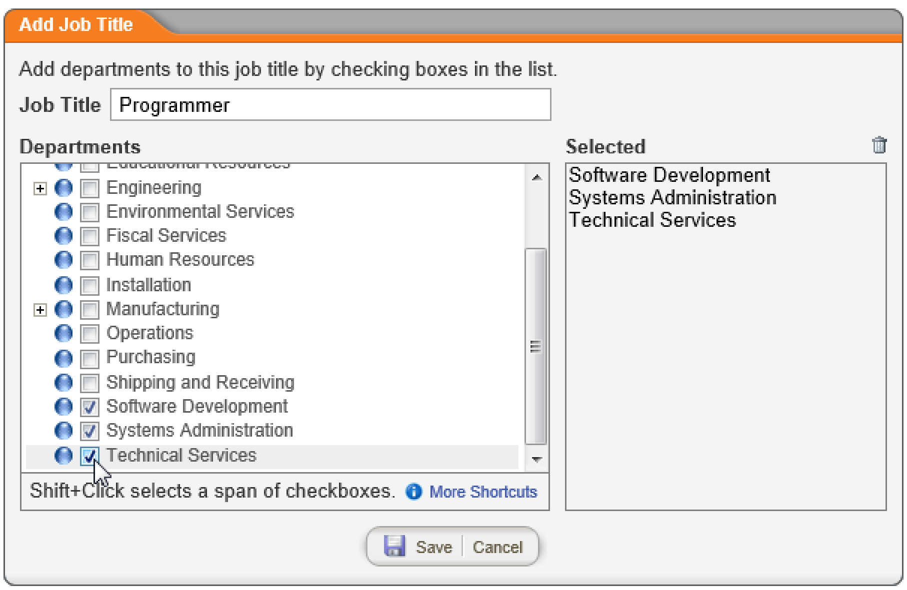

4. Click **New**.



5. Type a job title.

6. Select the departments where you want this job title to be available.

**Note:** When document creators assign users to read a document, they can assign that task by job title. To select a job title, the document creator must first select a job title and then select which assigned departments to include in the task assignment.



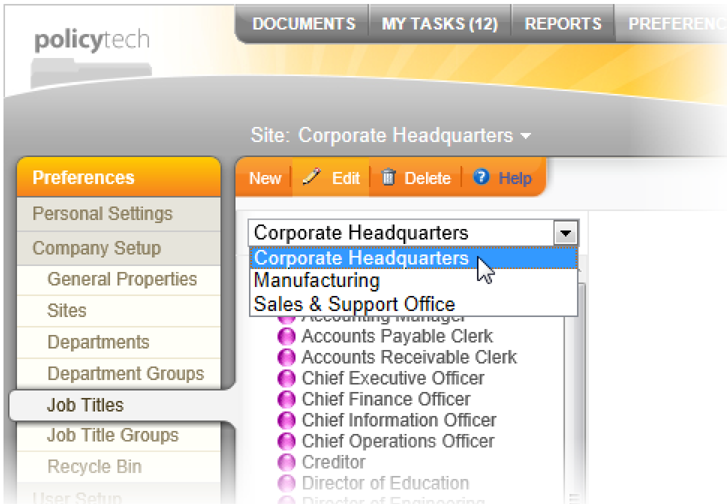

7. Click **Save**.

## Editing a Job Title

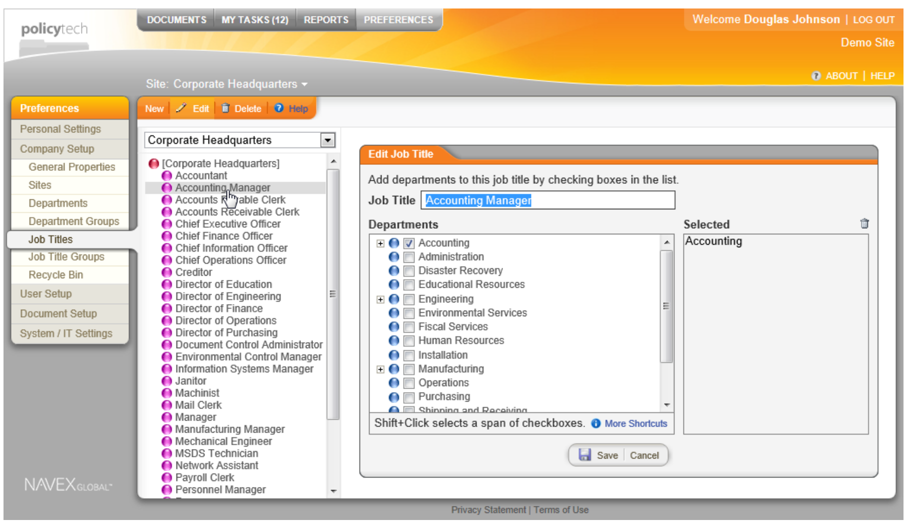
1. Click **PREFERENCES**.

2. Click **Company Setup**, and then click **Job Titles**.

3. If multiple sites exist, in the site list, click the site containing the job title you want to change.




4. Click a job title.




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

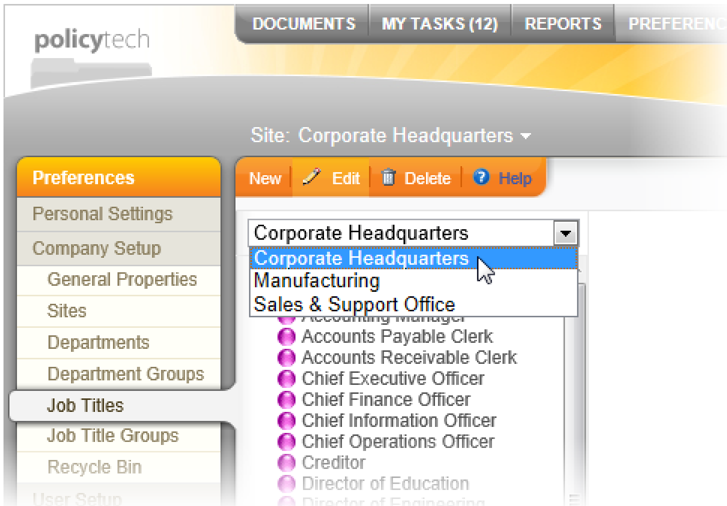
## Deleting a Job Title

**Important:** Deleting a job title also cancels all active tasks currently assigned to that job title.

To delete a job title,

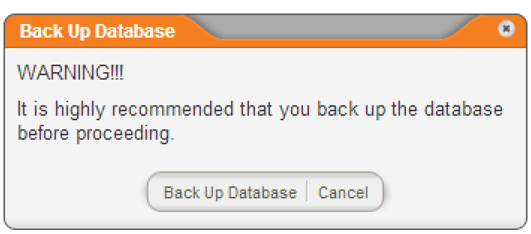
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Titles**.

3. If multiple sites exist, in the site list, click the site containing the job title you want to delete.

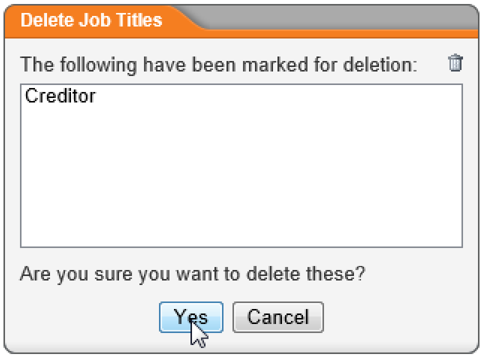



4. Click the job title, and then click **Delete**.


5. You will be prompted to back up the PolicyTech™ database before deleting the job title. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.




6. Click **Yes** to delete the job title, and then click **OK**.




**Note:** Deleting a job title places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted job title.

## Working with Job Title Groups

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

Refer to the following topics for details on the tasks related to working with job title groups:

Adding a Job Title Group

Editing a Job Title Group

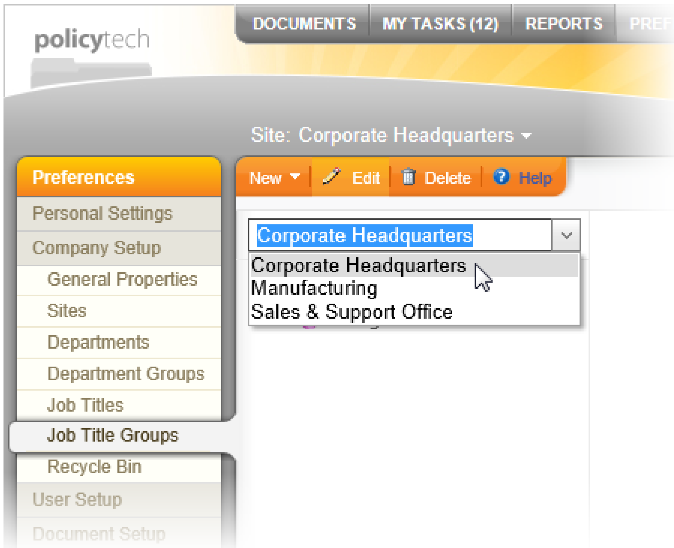
Deleting a Job Title Group

## Adding a Job Title Group

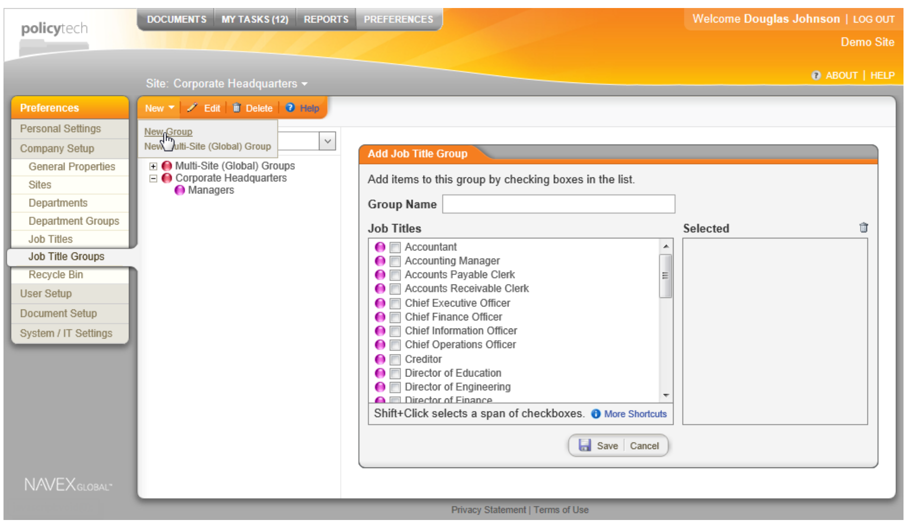
When adding a job title group, you can include job titles from a single site, or you can create a multisite group.

### Adding a Single-Site Job Title Group

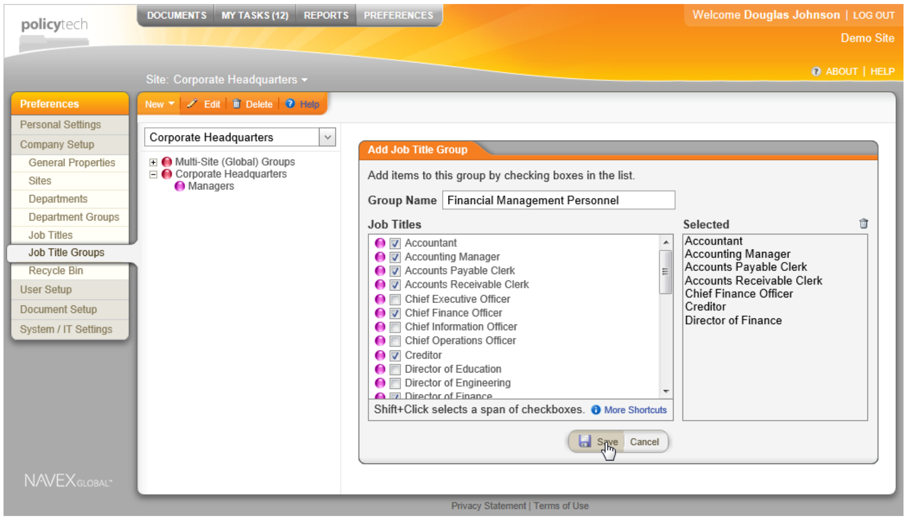
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Title Groups**.
3. If multiple sites exist, in the site list, click the site to which you want to add a job title group.




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



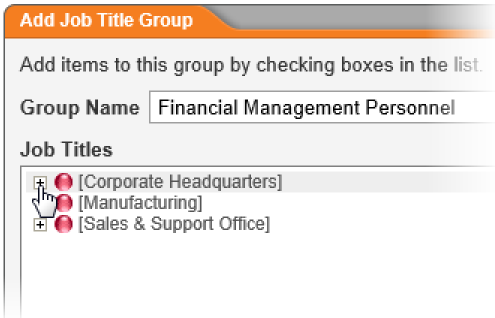

5. Type a group name.
6. Select the job titles to include in the group, and then click **Save**.



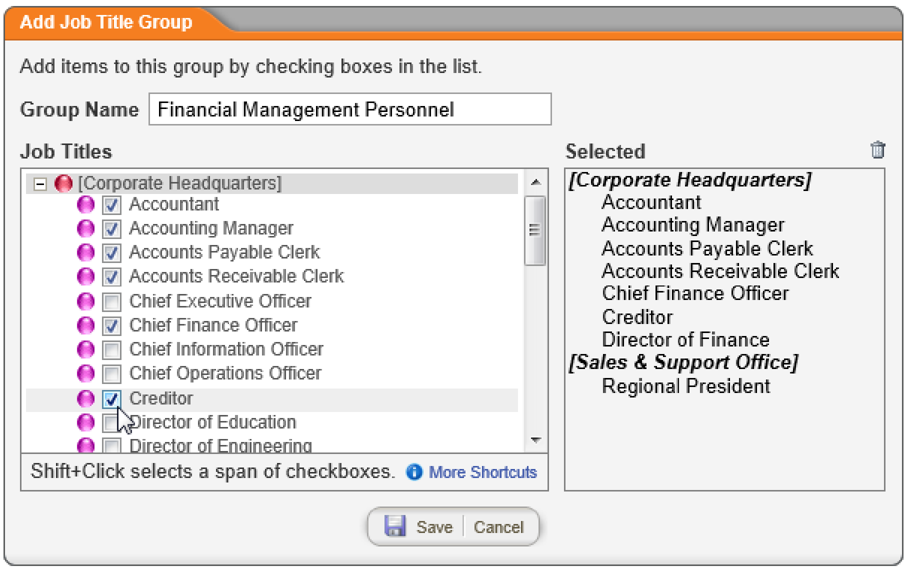

## Adding a Multisite Job Title Group

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Title Groups**.
3. Click **New**, and then click **New Multi-Site (Global) Group**.


4. Type a group name.
5. To add job titles from a site, click ⊞ before the site name.




6. Select job titles to include in the group.




7. Repeat steps 5 and 6 as necessary to add job titles from other sites.

8. Click **Save**.

## Editing a Job Title Group

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

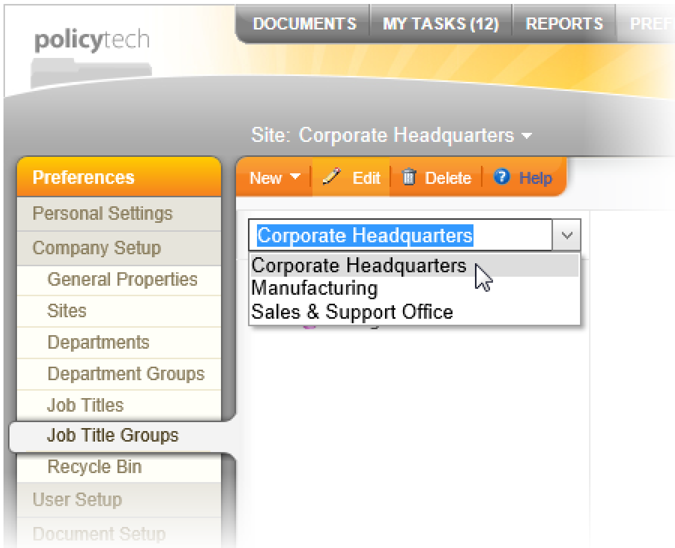
### Editing a Single-Site Job Title Group

To change the name or contents of a single-site job title group,

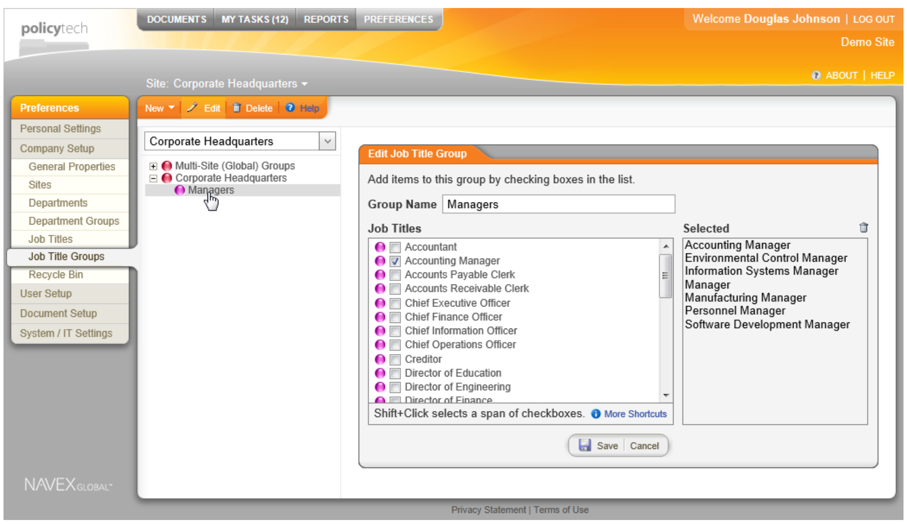
1. Click **PREFERENCES**.

2. Click **Company Setup**, and then click **Job Title Groups**.

3. If multiple sites exist, in the site list, click the site containing the job title group.




4. Click the job title group you want to change.

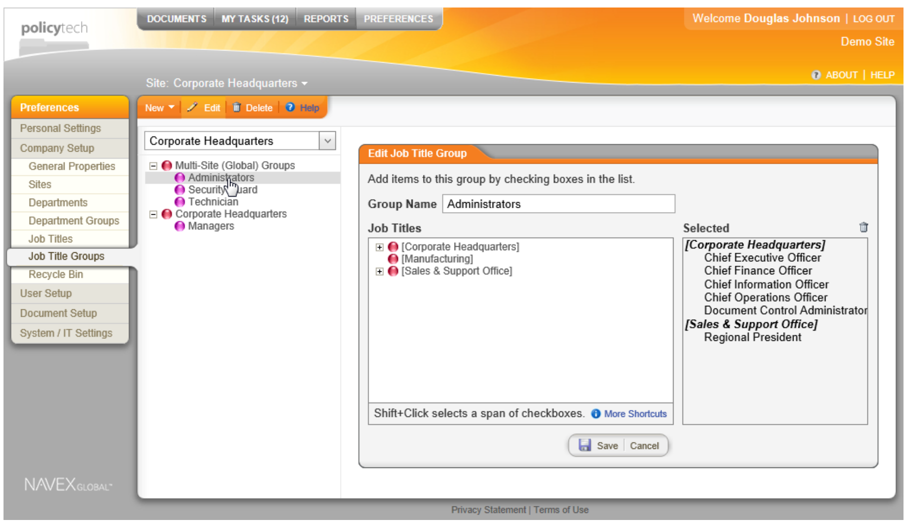



5. Make the desired changes, and then click **Save**.

## Editing a Multisite Job Title Group

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Title Groups**.
3. Click ⊞ before **Multi-Site (Global) Groups**.


4. Click the job title group you want to change.



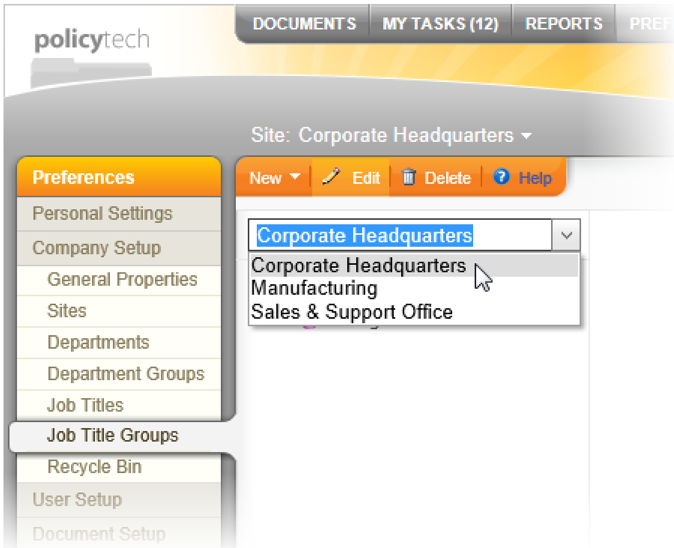

5. Make the desired changes, and then click **Save**.

## Deleting a Job Title Group

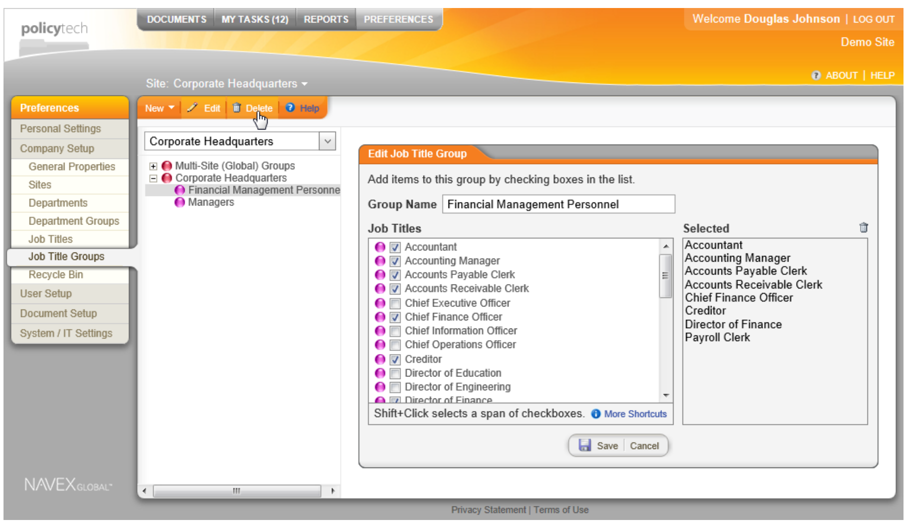
How you delete a job title group depends on whether it is a single-site or multisite group.

### Deleting a Single-Site Job Title Group

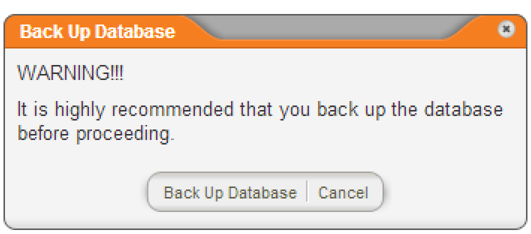
1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Title Groups**.
3. In the site list, click the site containing the job title group.



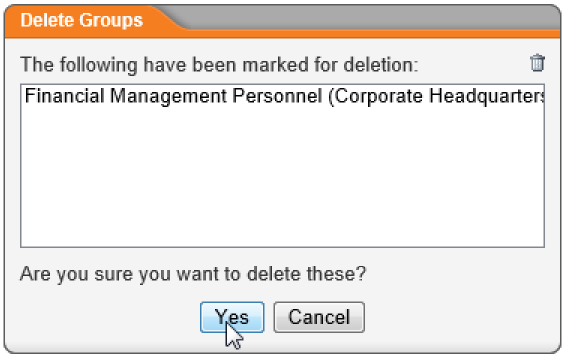

4. Click a job title group, and then click **Delete**.




5. You will be prompted to back up the PolicyTech™ database before deleting the job title group. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.



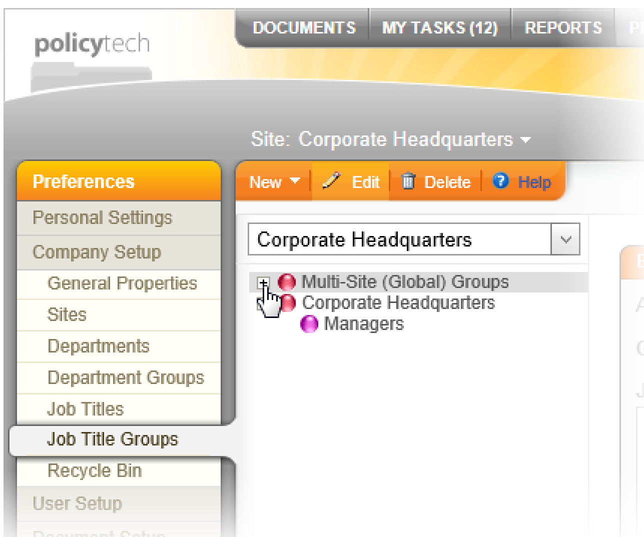

6. Click **Yes** to delete the group, and then click **OK**.




**Note:** Deleting a job title group places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted job title group.

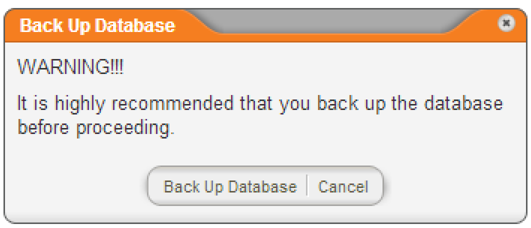
### Deleting a Multisite Department Group

1. Click **PREFERENCES**.
2. Click **Company Setup**, and then click **Job Title Groups**.
3. Click ⊞ before **Multi-Site (Global) Groups**.

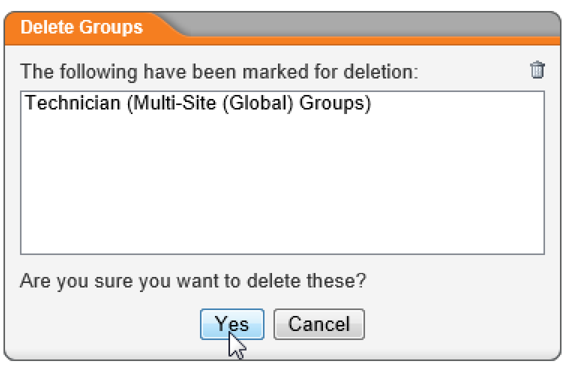



4. Click a multisite job title group, and then click **Delete**.


5. You will be prompted to back up the PolicyTech™ database before deleting the job title group. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.




6. Click **Yes** to delete the group, and then click **OK**.




**Note:** Deleting a job title group places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted job title group.

# User Setup

All those who will be creating, reviewing, approving, or reading documents 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

## 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 Synchronizing 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>
<tr><td>Department</td><td>255</td><td>All except <, |, and ^</td><td>If you need to assign a user to more than one</td></tr>
</table>

| | | | |
|---|---|---|---|
| | | | 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 (see "My Tasks " in the User's Guide). |
| Username | 128 | All except < | Must be unique among all PolicyTech users. If PolicyTech is set up to use Active Directory authentication, Username value must be the same as the user's domain login ID. |

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

### *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 pipe (|) character. (Spaces before and after the pipe 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 pipe characters 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\| |

### 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 reader 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

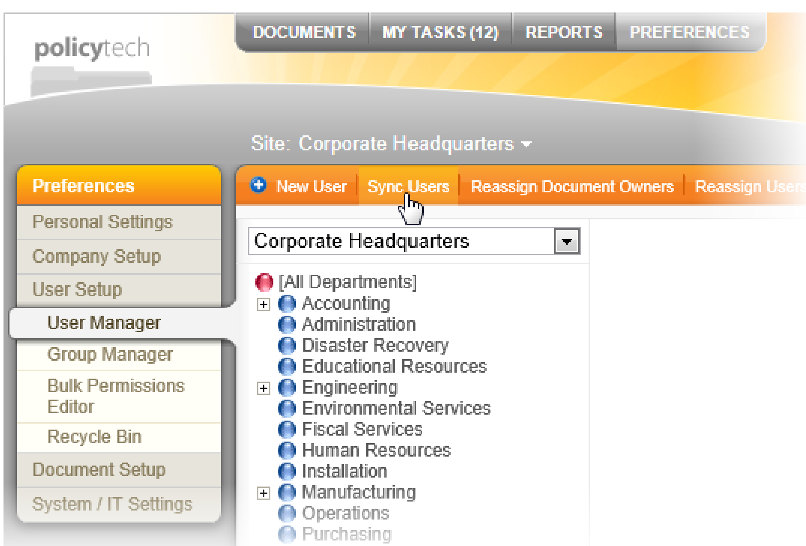
must manually change that user's user name and password (see Adding a User Manually) and provide that information to the user.

- A deleted user is placed in the **Recycle Bin** and can be restored (see The Recycle Bin). If a deleted 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 the **Delete users not in sync file?** check box when setting up a sync, manually added users will not be deleted. 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.

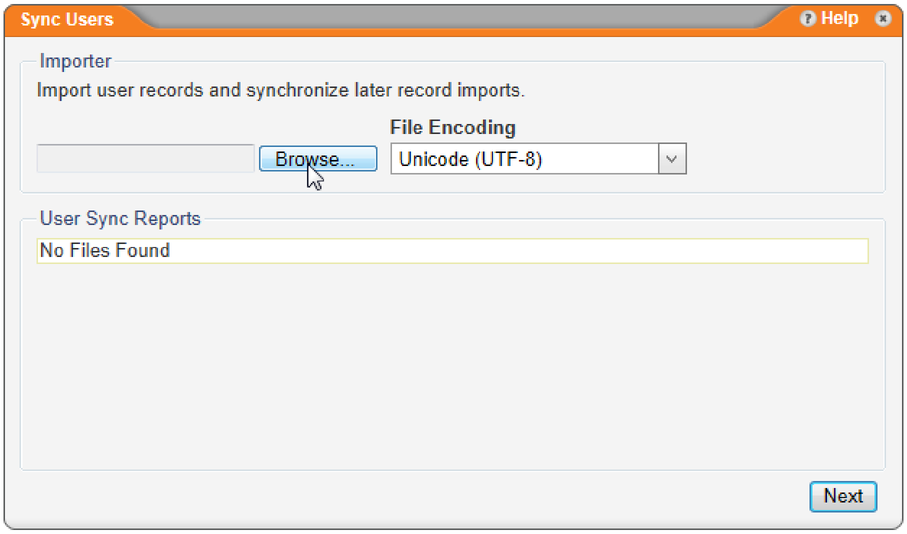
### Performing the User Sync (Import)

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

1. In PolicyTech, click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. Click **Sync Users**.




4. Click **Browse**, navigate to the tab-delimited user information file, and then click **Open**.

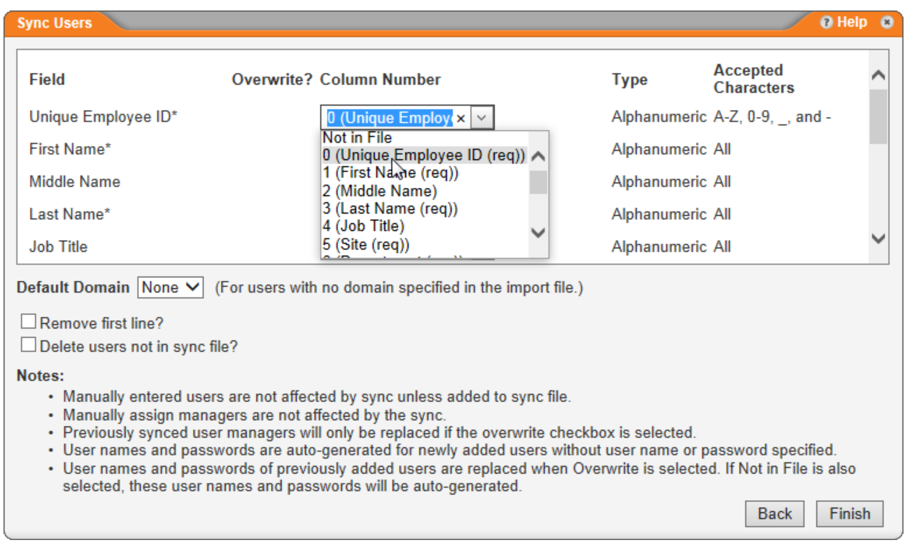



5. If you saved the export file using file encoding other than Unicode (UTF-8), click the **File Encoding** box, and then click the appropriate encoding option.

6. Click **Next**.

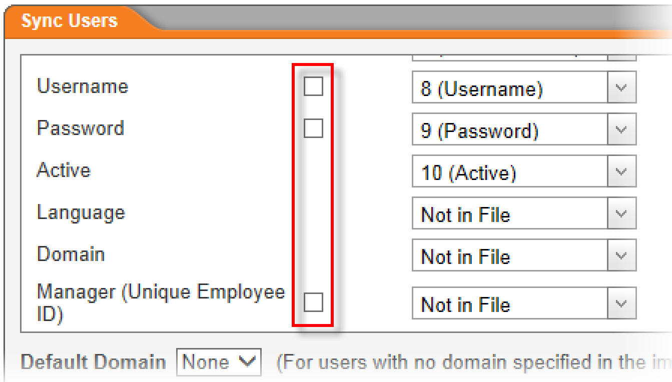
7. In the upper box, map each PolicyTech user field to its corresponding field in the user information file. If the field is optional and no corresponding field exists in the file, or if the field does exist but you don't want the information in that field imported, select **Not in File**.

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




8. (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

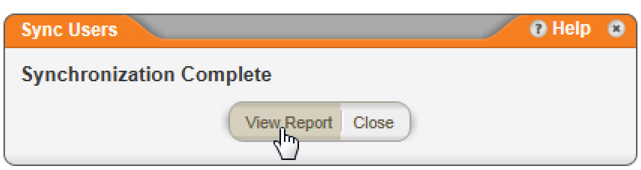
information from the tab-delimited file that is different than the corresponding information in PolicyTech does not overwrite the information in PolicyTech unless you select the **Overwrite?** check boxes.



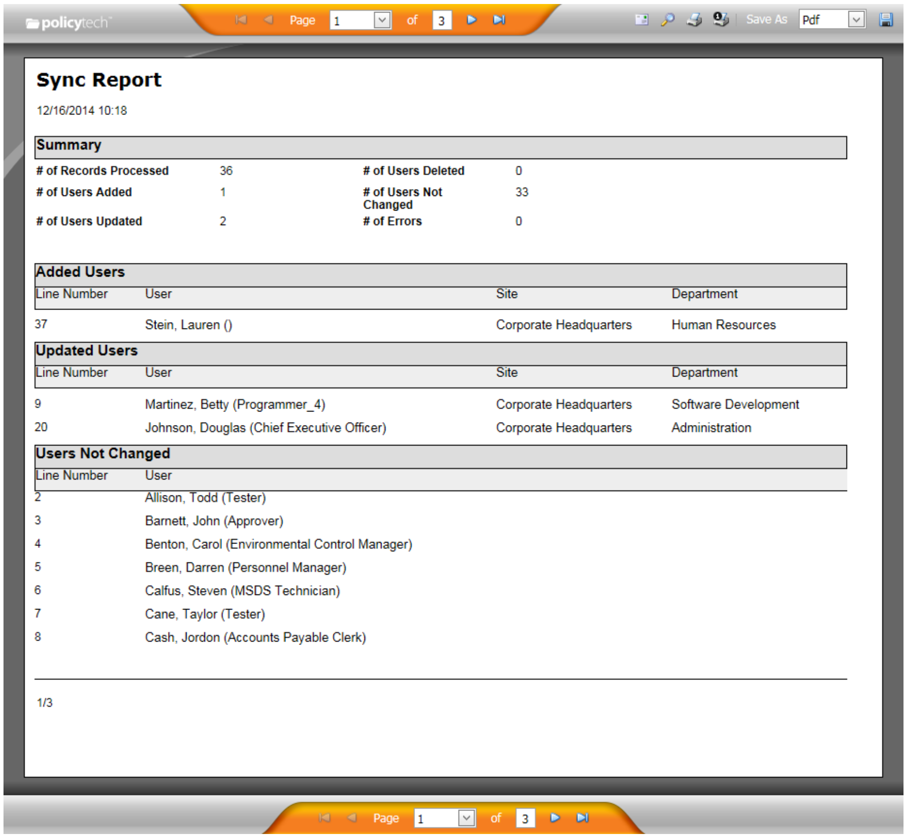

9. (Optional) If you are using Active Directory authentication for PolicyTech user login (see Active Directory Settings), click the **Default Domain** box, and then click the domain you want a user assigned to if the user record in the file does not contain a domain field or if the mapped domain field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

> **Note:** This option only affects users previously imported into PolicyTech. Users added manually will not be deleted.

12. Click **Finish**.
13. When the import is complete, click **View Report**.




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




**Sync Report**

12/16/2014 10:18

**Summary**

| | | | |
|---|---|---|---|
| # of Records Processed | 36 | # of Users Deleted | 0 |
| # of Users Added | 1 | # of Users Not Changed | 33 |
| # of Users Updated | 2 | # of Errors | 0 |

**Added Users**

| Line Number | User | Site | Department |
|---|---|---|---|
| 37 | Stein, Lauren () | Corporate Headquarters | Human Resources |

**Updated Users**

| Line Number | User | Site | Department |
|---|---|---|---|
| 9 | Martinez, Betty (Programmer_4) | Corporate Headquarters | Software Development |
| 20 | Johnson, Douglas (Chief Executive Officer) | Corporate Headquarters | Administration |

**Users Not Changed**

| Line Number | User |
|---|---|
| 2 | Allison, Todd (Tester) |
| 3 | Barnett, John (Approver) |
| 4 | Benton, Carol (Environmental Control Manager) |
| 5 | Breen, Darren (Personnel Manager) |
| 6 | Calfus, Steven (MSDS Technician) |
| 7 | Cane, Taylor (Tester) |
| 8 | Cash, Jordon (Accounts Payable Clerk) |

1/3

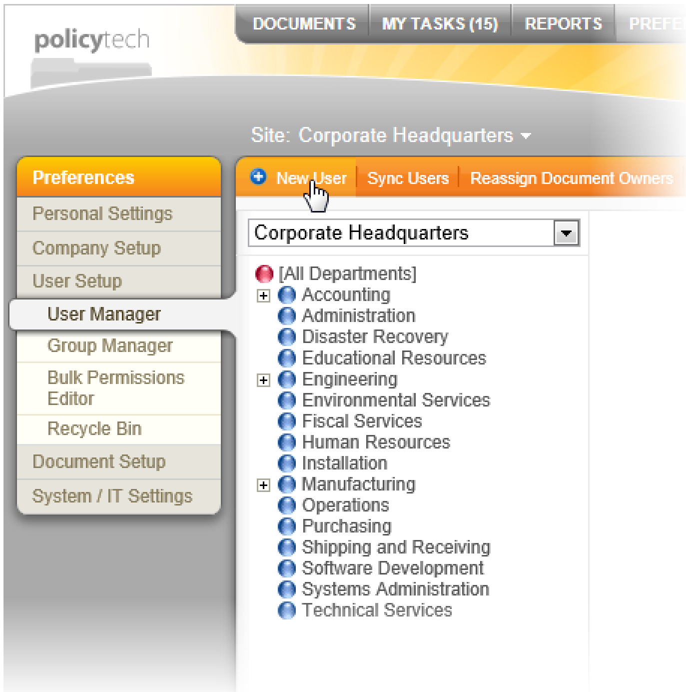
**Note:** Each report is automatically saved in the PolicyTech database. To view a sync report from a previous user sync, click **Sync Users**, find the report in the **User Sync Reports** box, and then click **View**. You can also click **XML** and follow the prompts to download the report as an XML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

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

## Adding a User Manually

To add a user manually,

1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. Click **New User**.

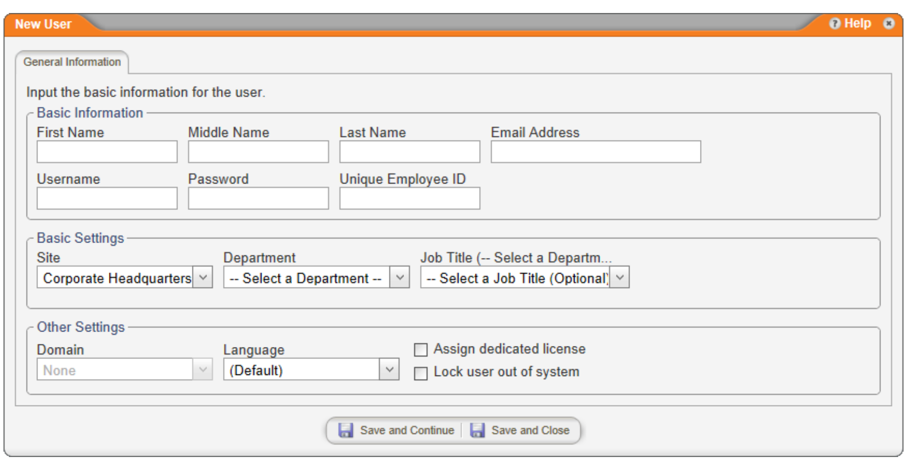



4. Under **Basic Information**, enter the user's identifying information.

**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 (Built-in Accounts Tab) for details.

**Notes:**

- All basic information is required except for **Middle Name** and **Email Address**. However, if the user is designated as a document control administrator in step 10 below, then **Email Address** is also required.
- The **Unique Employee ID** can be the same as the **Username**.



5. 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. You can continue with steps 6 through 18, which guide you through the remaining optional settings, or you can skip to step 19 to finish adding the user now. You can always change user settings later.

6. (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 having to assign users individually. For details on creating job titles, see Working with Job Titles.

7. (Optional) If more than one domain exists, select the primary domain for this user.

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

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

9. (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 the **Assign dedicated license** check box.

**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.

10. (Optional) If you need to temporarily prevent this user from logging in for any reason, select the **Lock user out of system** check box.

11. (Optional) Click **Save and Continue**. The **Document Roles**, **System Permissions**, and **Proxy Settings** tabs appear, with the **Document Roles** tab displayed.

12. (Optional) By default, each new user is assigned the **Reader** role. To assign other roles to this user, see Assigning Document Roles.

13. (Optional) Click **Next** to go to **System Permissions**.

14. (Optional) To assign system permissions to this user, see Assigning System Permissions.

15. (Optional) Click **Next** to go to **Proxy Settings**.

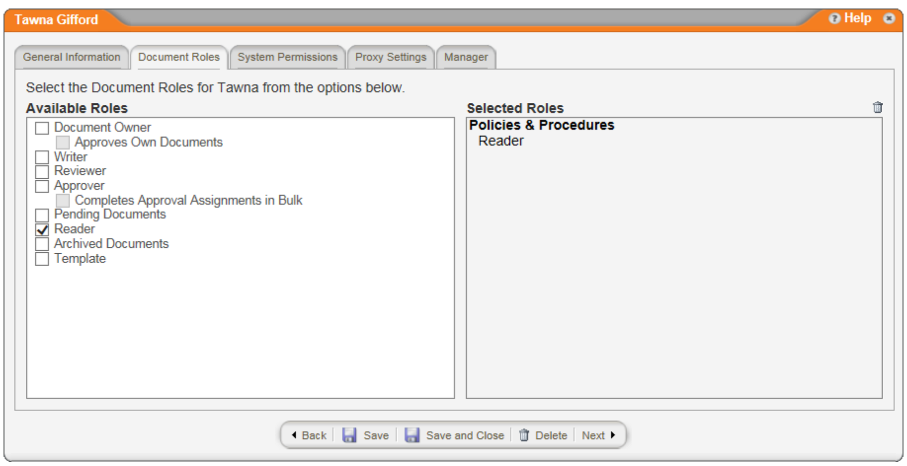
16. (Optional) To make proxy assignments for this user, see Assigning a Proxy Author.
17. (Optional) Click **Next** to go to the **Manager** tab.
18. (Optional) To assign this user as a manager of a department or of specific users, see Assigning a Manager.
19. Click **Save and Close**.

### Assigning Document Roles

By assigning document roles you can control who can own, write, review, approve, and read documents. You can also control who can see pending and archived documents and who can create and modify templates. PolicyTech™ assigns each new user only the reader 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 **Document Roles** tab.




2. Select or deselect document roles. Each role is described in the"Document Role Descriptions" section below.
3. Do one of the following:
   - To save the role assignments and keep the user open, click **Save**.
   - Click **Save and Close**.

#### Document Role Descriptions

| Document Role | Description |
|---|---|
| Document Owner | A document owner has the following responsibilities for each owned document:<br>▪ Create the document |

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

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| | assigned document as is, revise it, or decline it. Because an approver is legally responsible for a document'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 individually. A user assigned the **Completes Approval Assignments in Bulk** role is able to select multiple approval tasks and approve them all at once. |
| Pending Documents | A user assigned the **Pending Documents** role can see documents that are approved but not yet published because of a pending publication date. Access is limited to documents the user would be able to see once the document is published. |
| Reader | A user assigned the **Reader** role can see all published documents whose security is set to **All Users**. |
| Archived Documents | A user assigned the **Archived Documents** role can see archived documents. Access is limited to documents the user would be able to see if the document were in published status. |
| Template | A user assigned the **Template** role can view, create, and edit document templates, but cannot delete 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. |

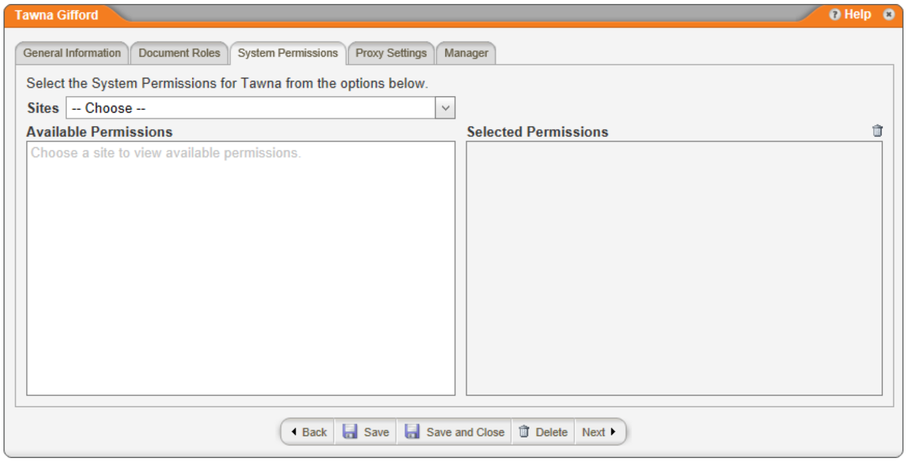
### Assigning System Permissions

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.

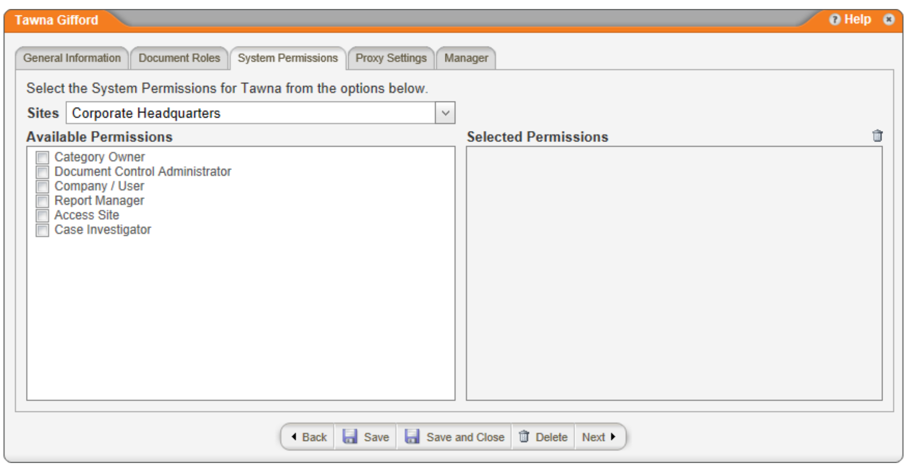



2. In the **Sites** list, do one of the following:

   - 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 system permission is described in the "System Permission Descriptions" section below.




4. Do one of the following:

   - To save the system permission assignments and keep the user form open, click **Save**.

   - 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 document control administrators. |
| Document Control Administrator for All Sites (Global DCA) | To assign this permission, in the **Sites** list, click **All Sites (Global Permissions)**, and then select the **Document Control Administrator** check box.<br>When assigned this permission, a user can do the following.<br>Preferences: Access and edit all preferences (**Company Setup**, **User Setup**, **Document Setup**, and **System / IT Settings**), including designating other users as global or site document control administrators.<br>Reports: Generate and view management and administrative reports and access other reporting options.<br>Documents:<br>■ Do everything a document owner can do (see Document Role Descriptions for details) except be assigned to own a document.<br>■ Set a document as approved, skipping all assigned writers, reviewers, and approvers.<br>■ 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.)<br>■ Skip the next review date anytime (designate as No Revision Necessary), even before the review warning period. |
| Document Control Administrator for a Single Site (Sub-DCA) | To assign this permission, in the Sites list, click a site name, and then select the **Document Control Administrator** check box.<br>Except for the exceptions listed below, a document control administrator for a single site (sub-DCA) can do everything on that site that a document control administrator for all sites (global DCA) can do.<br>■ A sub-DCA cannot access the following preferences: **General Properties** in **Company Setup**; **Default Properties** in **Document Setup**; all **System / IT** |

| | |
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| | **Settings** preferences.<br>■ Because a global DCA can assign a category or template to multiple sites, changes a sub-DCA makes to an existing category or template affects it at all assigned sites. However, a sub-DCA cannot assign new categories or templates to other existing sites. But a sub-DCA can choose to have the new category automatically assigned to new sites as they are created.<br>■ When assigning system permissions to users, a sub-DCA can only assign them for that sub-DCA'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 document control 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 sub-DCA 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 document control administrator can assign this permission and only when **All Sites (Global Permissions)** is selected. |
| Report Manager | When assigned this permission, a user can access **Management Reports** and **Other Reporting Options** in **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 Document Control 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.<br>**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 Document Filter) and only when you select **All Sites (Global Permissions)**. (By default a user assigned the reader 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 Investigator | This permission is available only if you have purchased the **Product Integration** module and enabled integration with EthicsPoint Issue & Event Manager (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 in 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:

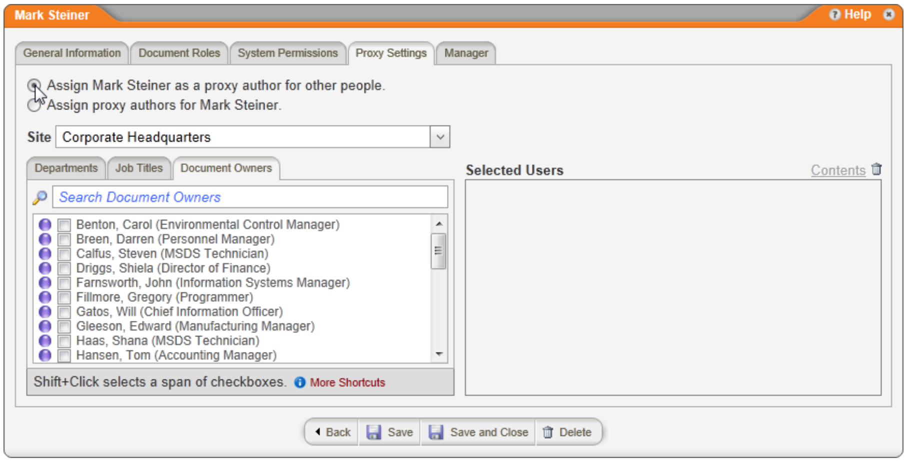
- Can create documents for assigned document owners only
- Can access and edit all draft documents for assigned document owners regardless of whether the documents were created by the proxy author or the document owner
- Cannot submit a document for review or approval but can request that the document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

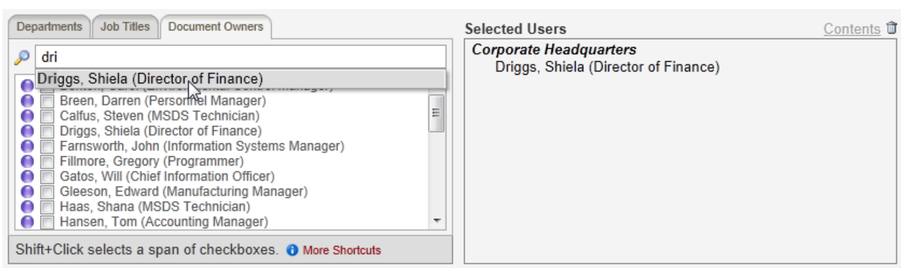
### Assign a User as a Proxy Author

**Note:** Proxy authors can only be assigned to users assigned the document owner role.

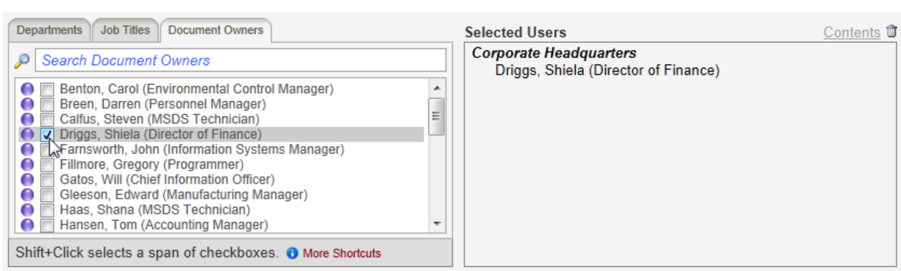
1. With a user form open, click the **Proxy Settings** tab.
2. Click **Assign [*user name*] as a proxy author for other people**.



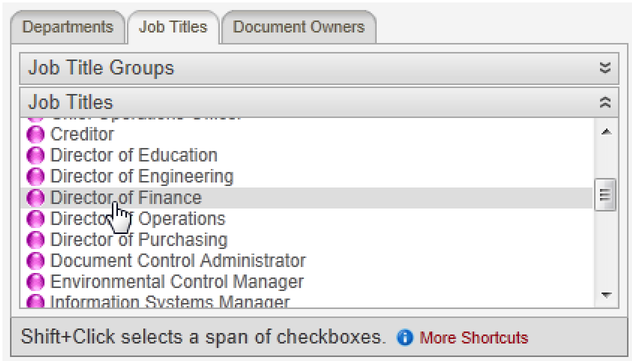

3. In the **Site** list, click the site containing a document owner the current user will act as proxy for.
4. Find and select the document owner using one of the following methods:
   - In the **Search Document Owners** box, start typing the document owner's last or first name. A list appears of document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

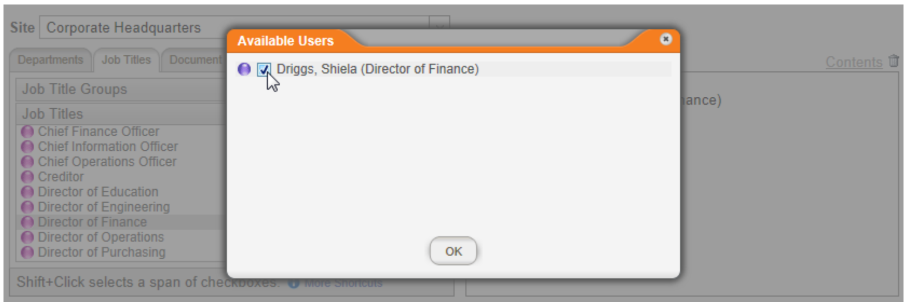



   - With the **Document Owners** tab selected, select one or more document owners.

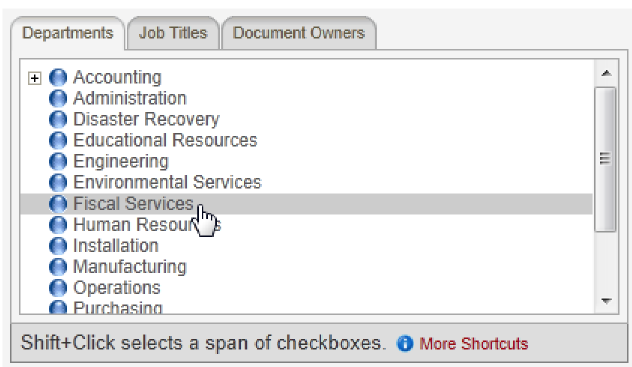


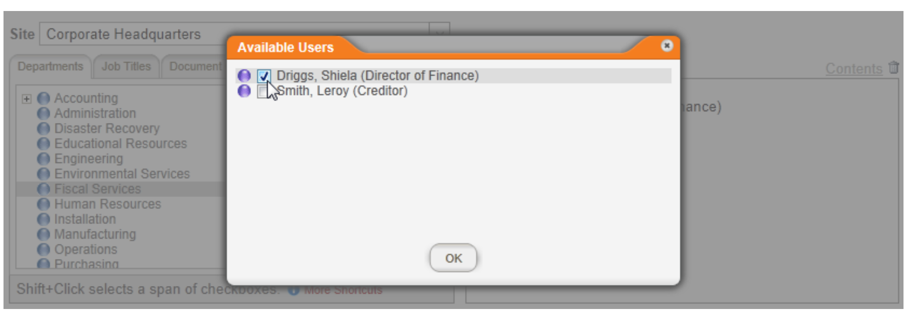

   - Click the **Job Titles** tab, click a job title to display the document owners (if any) with that job title. Select one or more document owners, and then click **OK**.




- 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**.



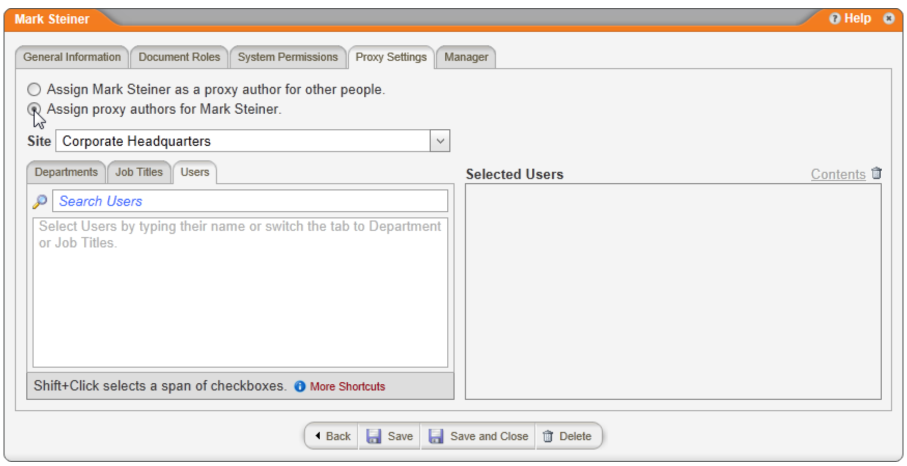

**Note:** To remove a selected name, click it, and then click 🗑.

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:
   - To save the current proxy assignment and leave this user form open, click **Save**.
   - Click **Save and Close**.

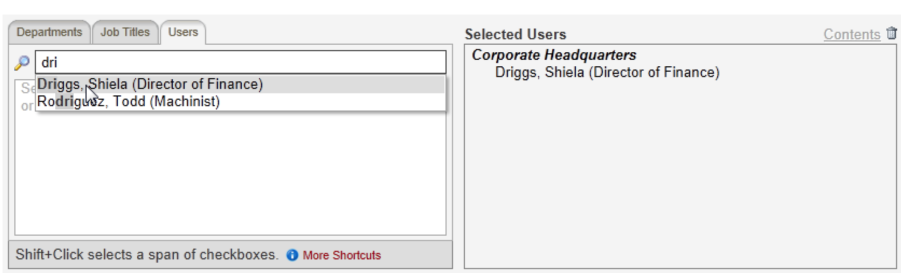
### Assign Proxy Authors to a Document Owner

> **Note:** Assigning proxy authors takes effect only when the current user is assigned the document owner role.

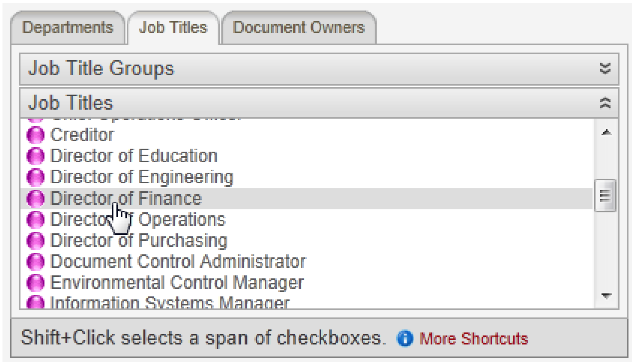
1. With a user open, click the **Proxy Settings** tab.
2. Click **Assign proxy authors for [*user name*]**.

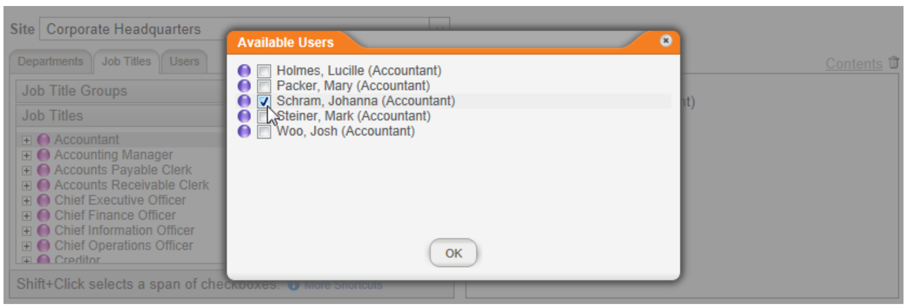



3. Click the **Site** box, and then click the site containing a user you want to assign as a proxy author.
4. Find and select the user using one of the following methods:
   - In the search box, start typing the user's last or first name. A list appears of users containing the characters you typed that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

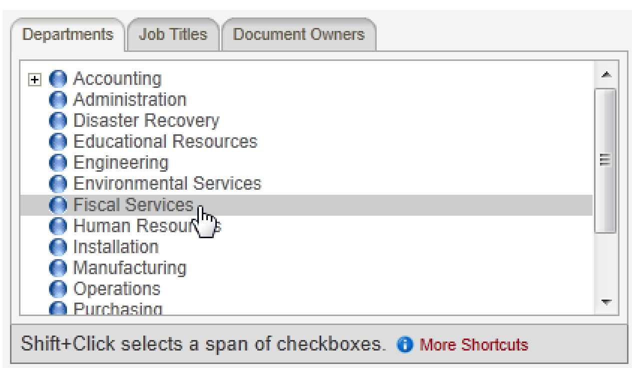


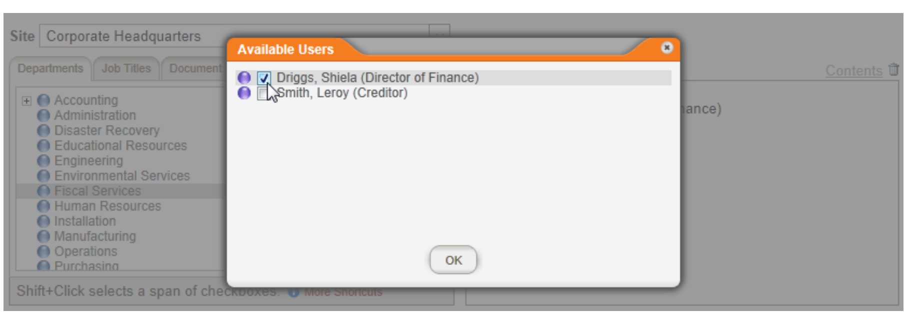
- With the **Job Titles** tab selected, click a job title to display the users with that job title, select the check box before a user, and then click **OK**.




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



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

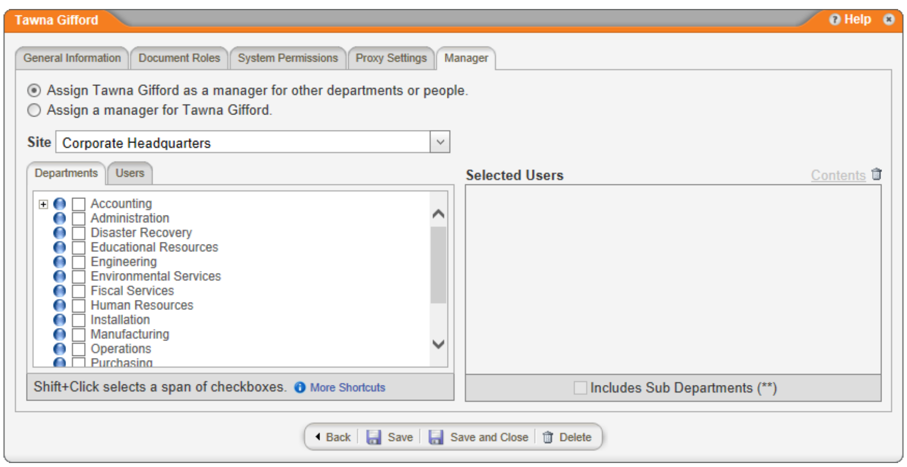
5. (Optional) To assign another proxy author to the current user, repeat steps 3 and 4.
6. Do one of the following:
   - To save the current proxy assignment and leave this user open, click **Save**.
   - Click **Save and Close**.

## 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](#).

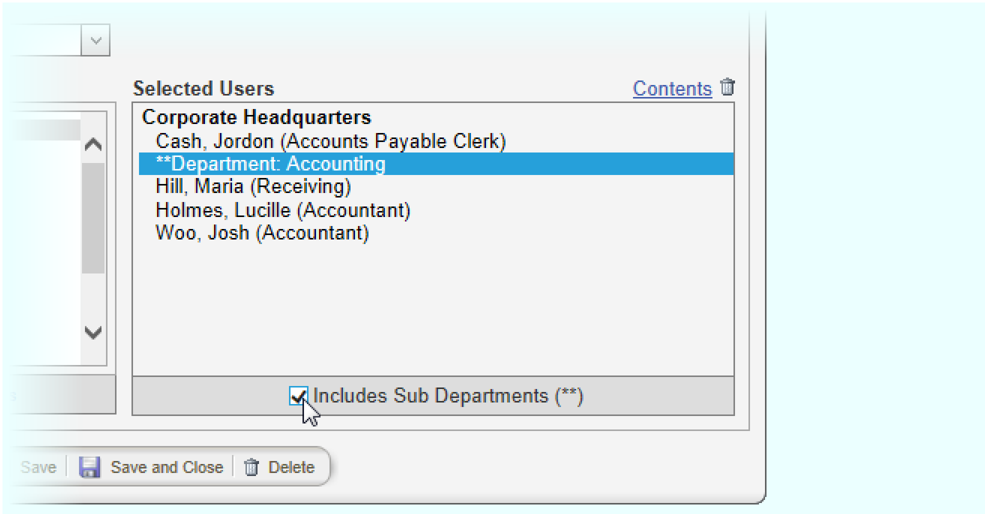
### Assigning This User as a Manager

1. Click **Assign [*user name*] as a manager for other departments or people**.



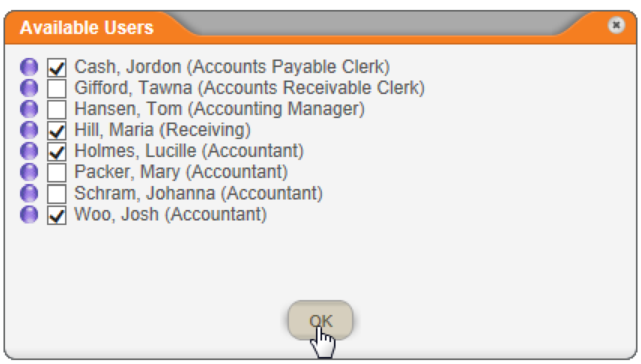

2. Select a site containing at least one department or user you want the current user to manage.
3. Do any of the following to select departments, users, or both:
   - In the **Departments** tab, select the check boxes of one or more departments.

**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 **Selected Users** list, click the department name, and then select the **Includes Sub Departments** check box.

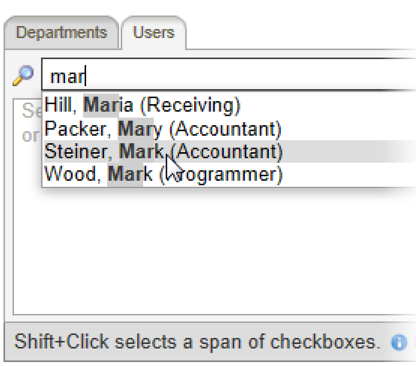



**Note:** After selecting a department, you can see the current users in that department. In the **Selected Users** list, click the department name, and then, near the upper right corner of the list, click **Contents**.

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




- In 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.

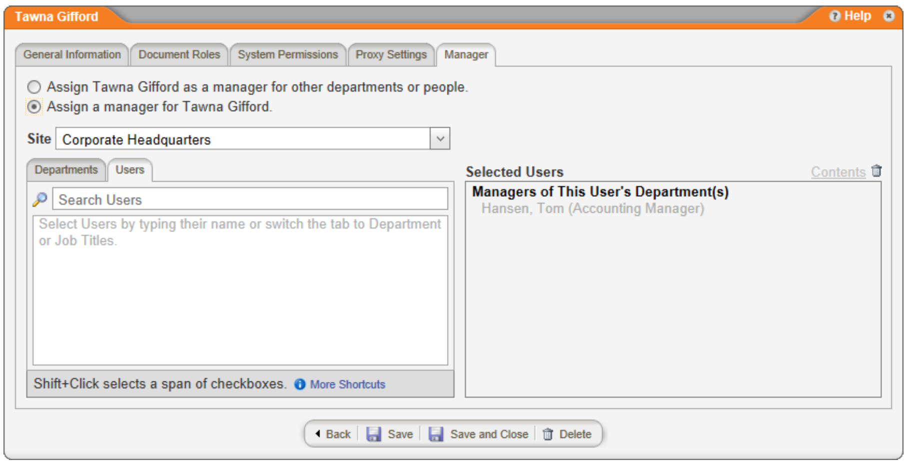


4. (Optional) To add departments or users from a different site, repeat steps 2 and 3 above.
5. Click **Save** or **Save and Close**.

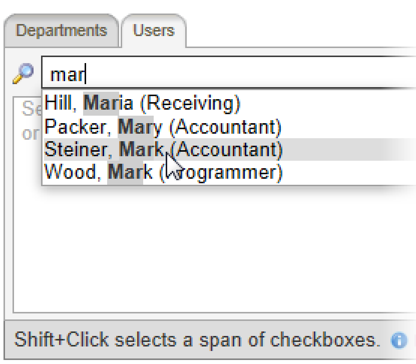
### Assigning a Manager to This User

1. 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 **Selected Users** box.




2. Select a site containing at least one user you want the assign as the current user's manager.
3. Do any of the following to select one or more users:
   - In 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 the check boxes of one or more users, and then click **OK**.

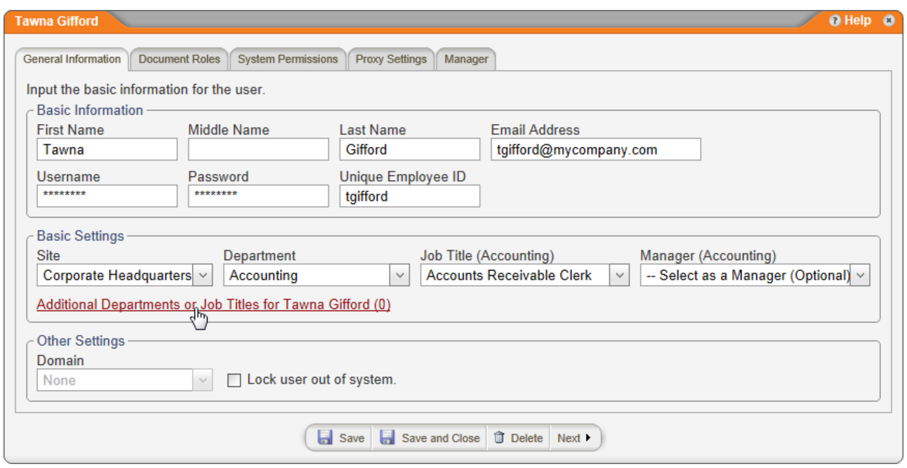

4. (Optional) To add users from a different site, repeat steps 2 and 3 above.
5. Click **Save** or **Save and Close**.

## Assigning Additional Departments and Job Titles

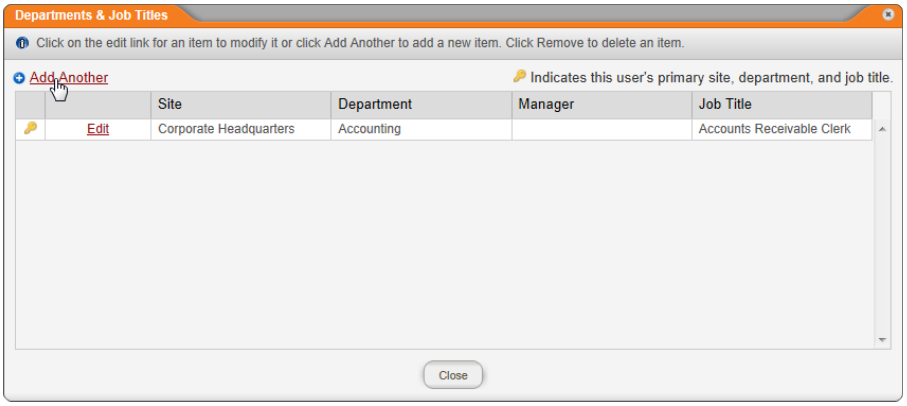
**Note:** A user must be saved before you can assign additional departments and job titles. If you are creating a new user, click **Save and Continue**, and then click the **General Information** tab before starting the steps below.

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

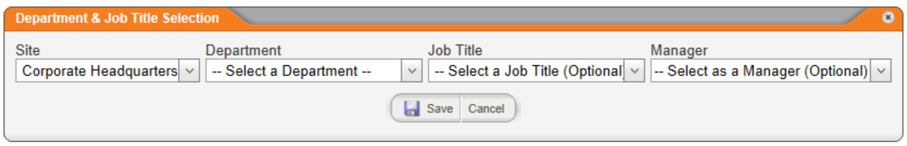
**Note:** For details on finding and opening a user form, see Editing a User.




2. Click **Add Another**.




3. In the **Site** list, click the 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. (Optional) In the **Manager** list, click **Department** or **Department and Sub Departments**. (See Manager Permissions for details on designating a user as a department manager.)
7. Click **Save**.
8. (Optional) To assign the user to another department and job title, repeat steps 2 through 7.
9. 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**, **Reader**

- **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.

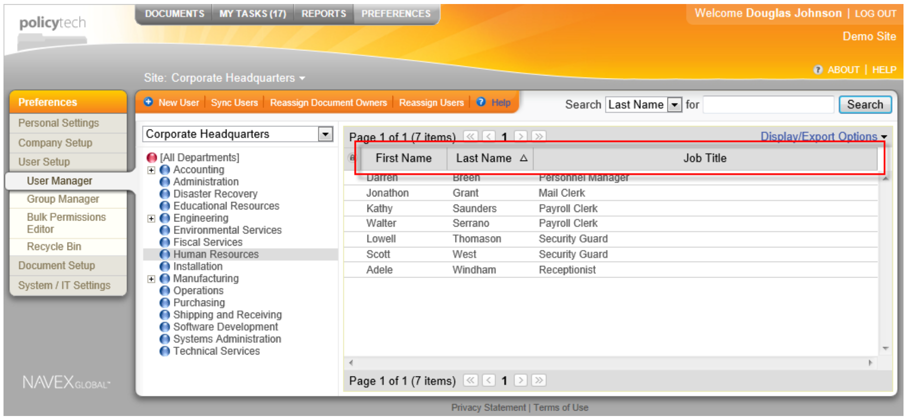
- Create a new user (department managers only).
- Run management reports on managed department or specifically assigned users
- Receive escalation notifications for managed department or specifically assigned users' overdue tasks
- Change reader assignments for documents assigned to the managed department or to directly managed users

## Editing a User

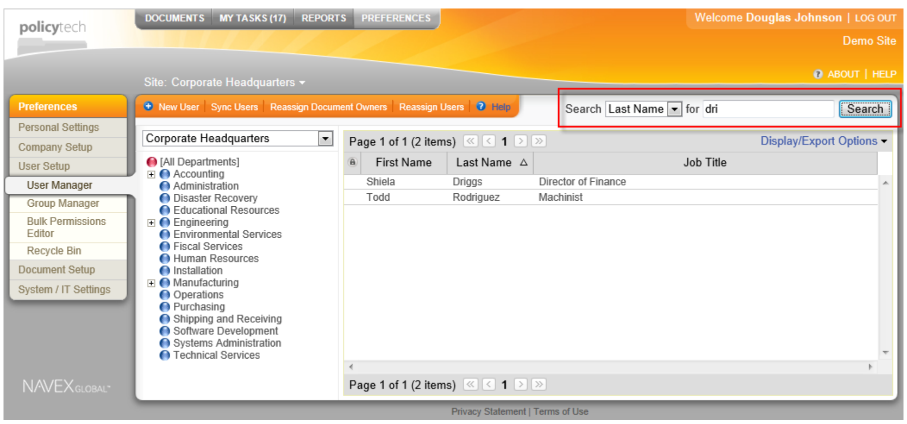
To change a user's personal information and assign or change roles and permissions,

1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. In the site list (above **[All Departments]**), click the site containing the user you want to edit.
4. Do one of the following to find the user:
   - Click the department containing the user.

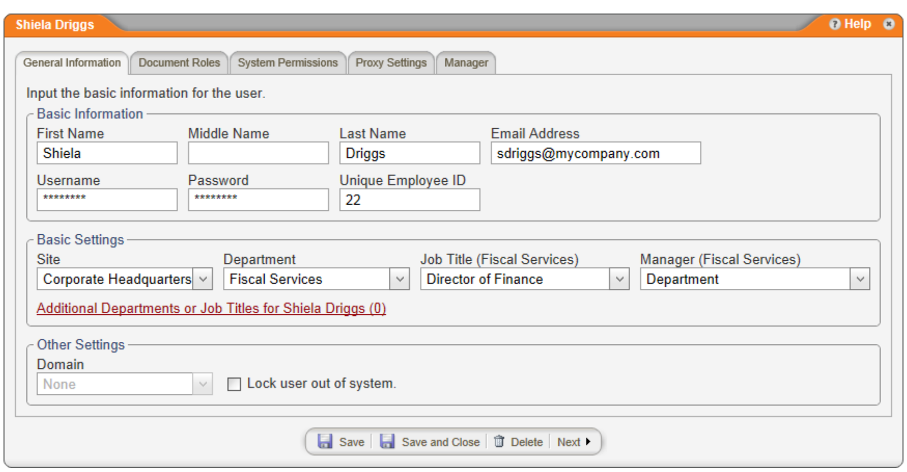
**Note:** You can re-sort the user list by clicking the **First Name**, **Last Name**, or **Job Title** column heading. Click the column heading again to reverse the sort order. You can also change which columns are displayed and how many users are displayed at a time using **Display/Export Options**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




- In the **Search** list, click **Last Name** or **First Name**. Depending on what search method you selected, type as much of the user's last or first name as you know in the for box, and then click **Search**. A list appears of users containing the characters you typed that are anywhere in their names. For example, typing carol for a first name would find all of the following: Carol, Caroline, and Carolyn.




5. Click the user.



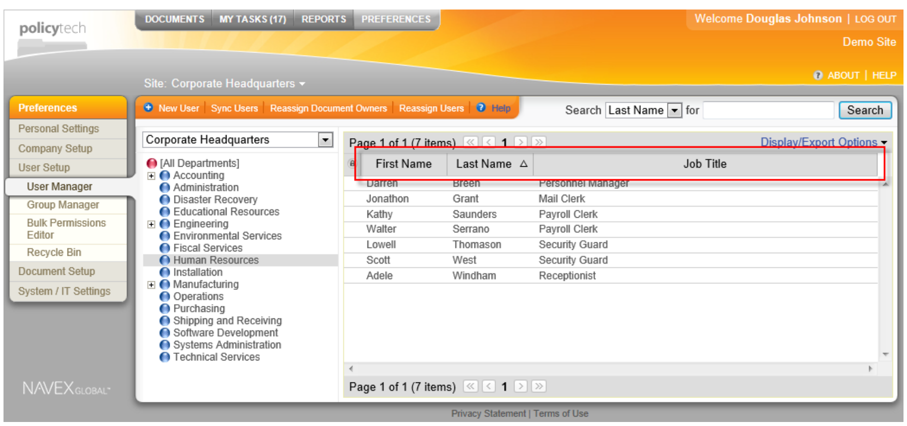
6. Make the necessary changes in the **General Information**, **Document Roles**, **System Permissions**, and **Proxy Settings** tabs. See Adding a User Manually, Assigning Document Roles, Assigning System Permissions, and Assigning a Proxy Author for details on user information and assignments.
7. Click **Save and Close**.

## Deleting a User

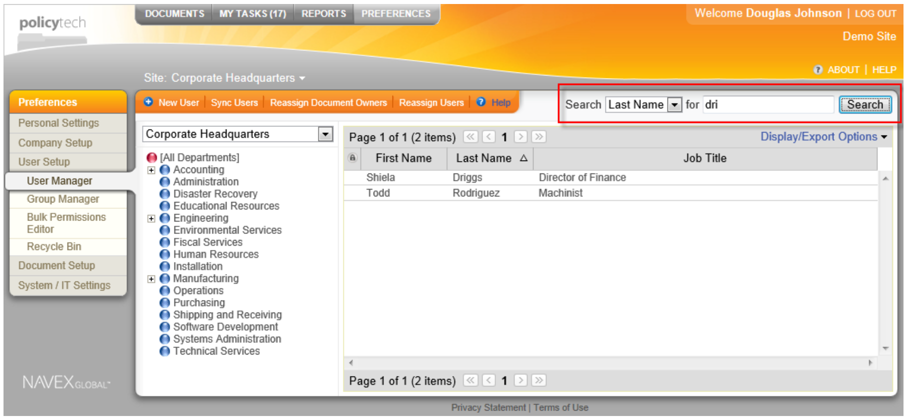
To delete (deactivate) a user,

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

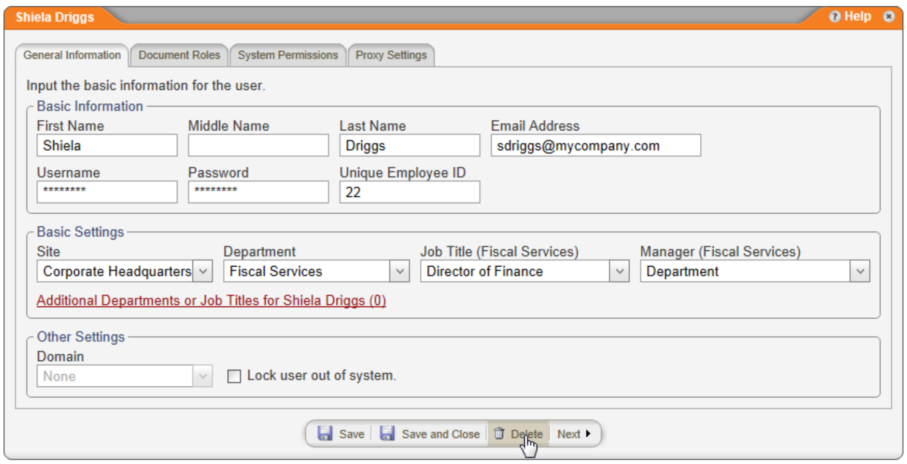
**Note:** You can re-sort the user list by clicking the **First Name**, **Last Name**, or **Job Title** column heading. Click the column heading again to reverse the sort order. You can also change which columns are displayed and how many users are displayed at a time using **Display/Export Options**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




   - In the **Search** list, click **Last Name** or **First Name**. Depending on what search method you selected, type as much of the user's last or first name as you know in the **for** box, and then click **Search**. A list appears of users containing the characters you typed that are anywhere in their names. For example, typing **carol** for a first name would find all of the following: Carol, Caroline, and Carolyn.



4. Click a name to open that user's form, and then click **Delete**.



5. Click **Yes** to confirm the deletion.

**Notes:**

- The user is moved to the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted user.
- If the user was a document owner with assigned documents, you will receive an email asking you to reassign the deleted user's documents to a different document owner (see Reassigning Document Owners for details).

## Reassigning Document Owners

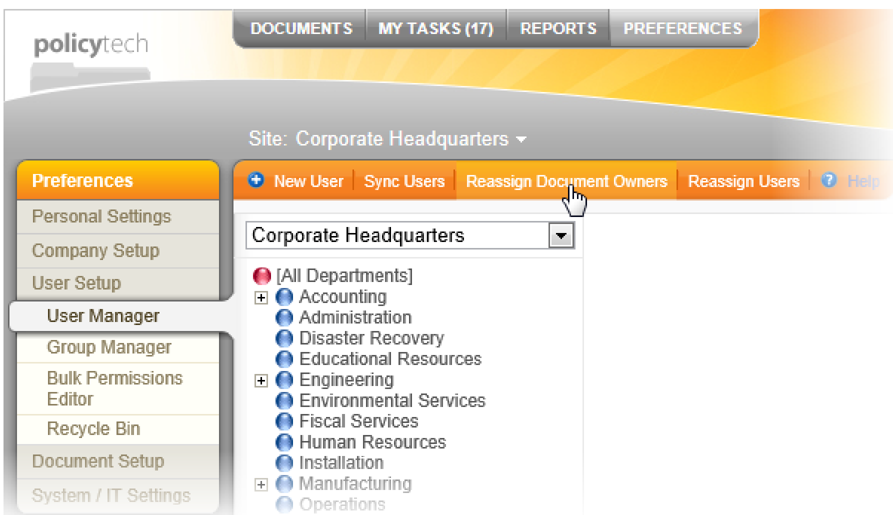
The document owner plays a central role in the process of getting a document from draft stage through to approval. Once a document is approved, the document owner is responsible to periodically review and create new versions of the document. When you need to reassign a document owner due to changing responsibilities or if a document owner leaves the organization, you can easily reassign that document owner's documents to another user designated as a document owner.

There are two ways to reassign document owners:

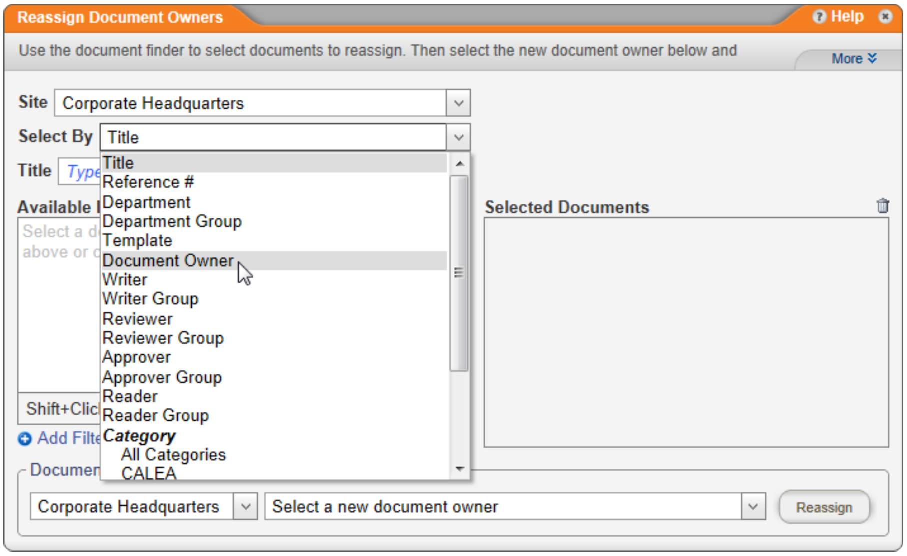
- Before deleting the user or removing the user's document owner role, use **Reassign Document Owners** in **User Manager** to list and reassign that document owner's documents.
- If you delete the user or remove the user's document owner role without reassigning the user's documents, you will receive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

### Reassign Documents before Removing a Document Owner

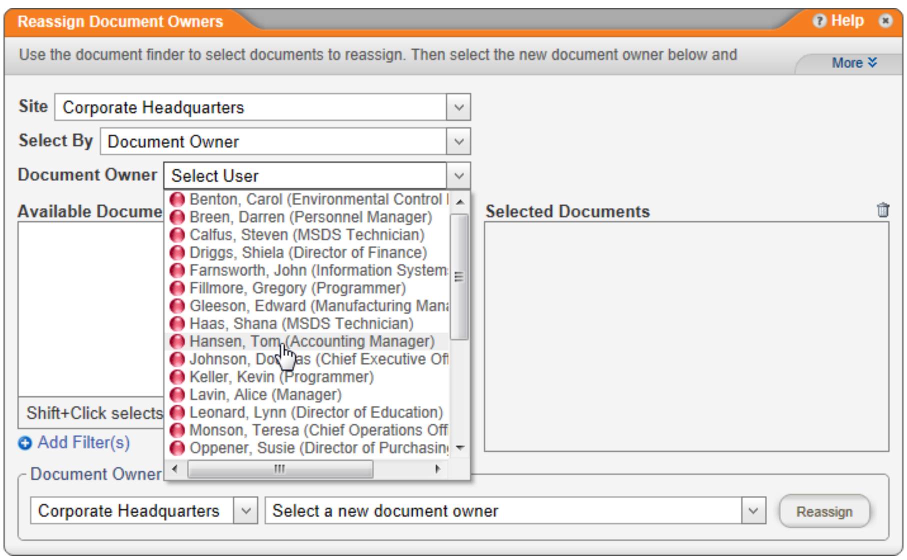
1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. Click **Reassign Document Owners**.




4. In the **Site** list, click the site the document owner is assigned to.
5. In the **Select By** list, click **Document Owner**.

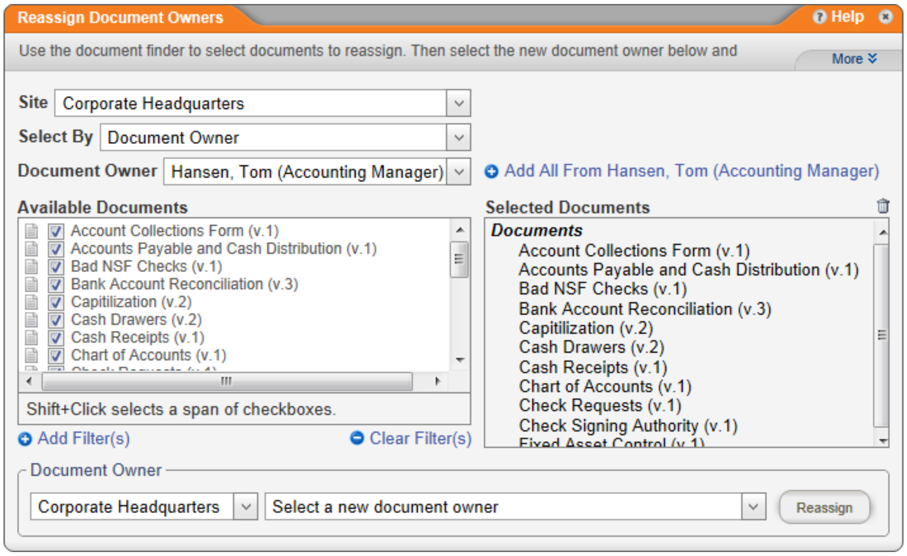



6. In the **Document Owner** list, click the document owner's name.



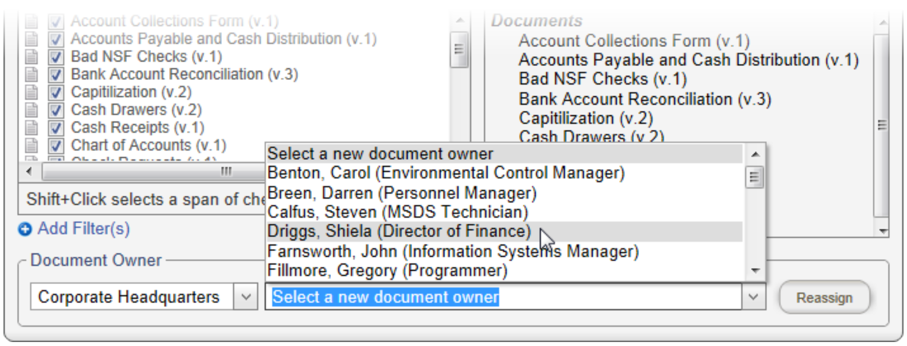

7. In the **Available Documents** box, select the check boxes of the documents you want to reassign. To quickly select all of the documents, click **Add All From [*document owner*]**.

**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.




8. In the **Document Owner** area, in the site list, click the site the new document owner is assigned to.

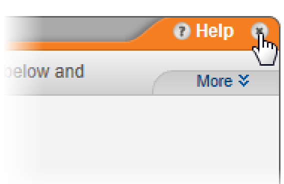
9. In the **Select a new document owner** list, click a document owner's name.




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

11. (Optional) If there are documents remaining in the list that you want to assign to a different document owner, repeat steps 4 through 10 above.

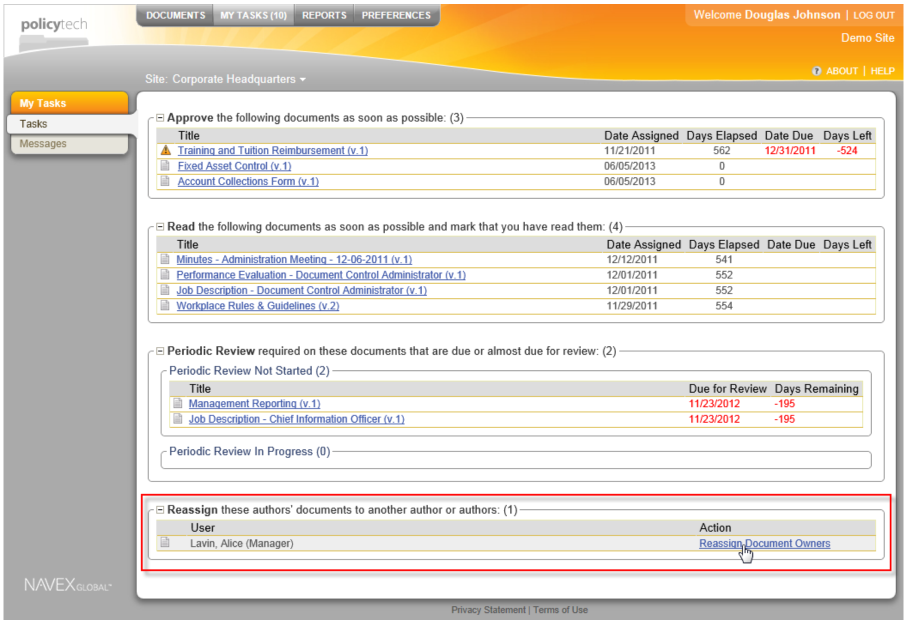
12. In the upper right corner, click to close the window.




### Reassign Documents after Removing a Document Owner

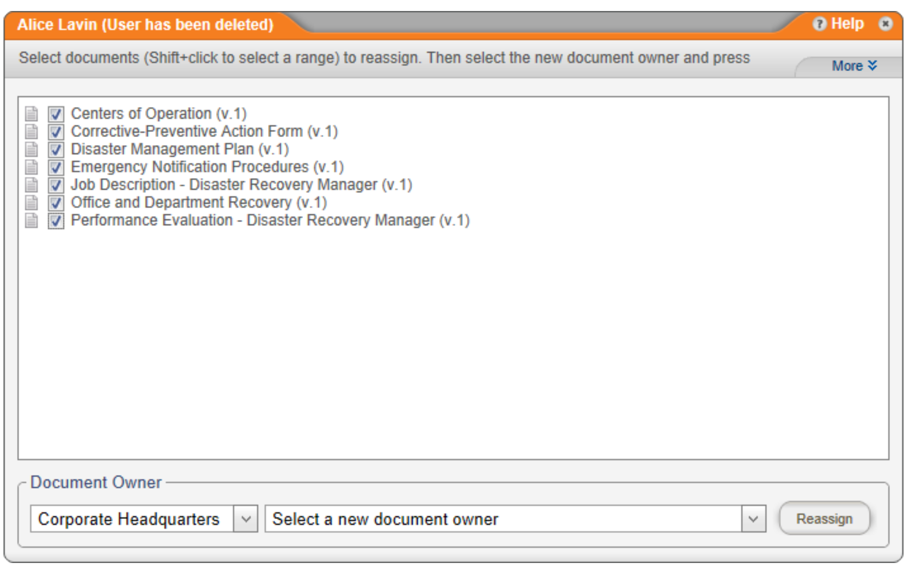
1. Do one of the following:

- In the notification email, click **Reassign Document Owners**.
- Click **MY TASKS**, scroll to the **Reassign** area, and then click **Reassign Document Owners**.

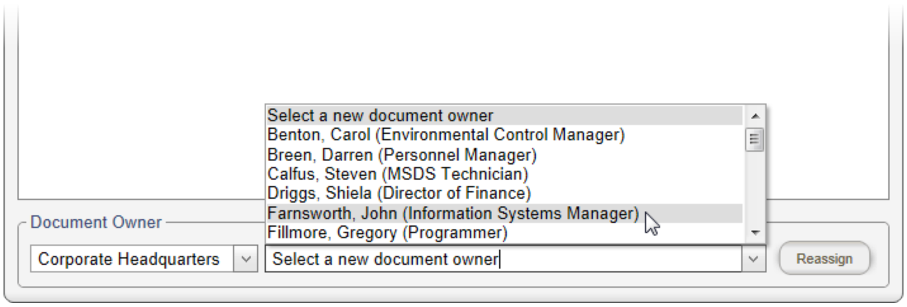



2. Select documents to reassign.

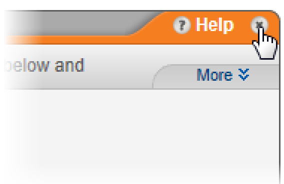
> **Note:** If you don't want to reassign all of the documents to a single document owner, select the set of documents you want assigned to one of the new document owners.



3. In the **Document Owner** area, in the site list, click the site the new document owner is assigned to.
4. In the **Select a new document owner** list, click a document owner's name.



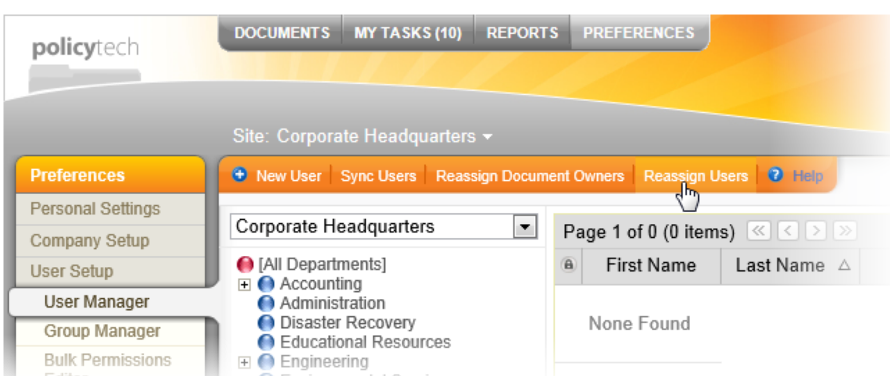

5. Click **Reassign**, and then click **OK**.
6. (Optional) If there are documents remaining in the list that you want to assign to a different document owner, repeat steps 4 through 10 above.
7. In the upper right corner, click to close the window.



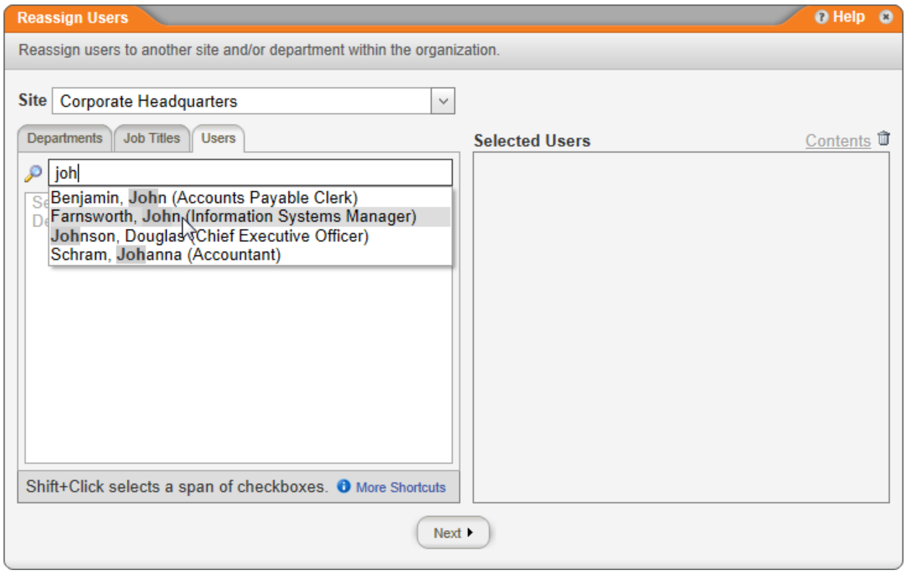

## Reassigning Users to a Different Department

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

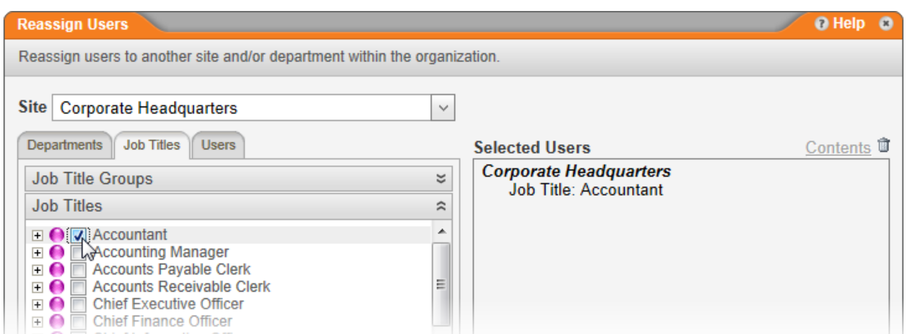
1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. Click **Reassign Users**.



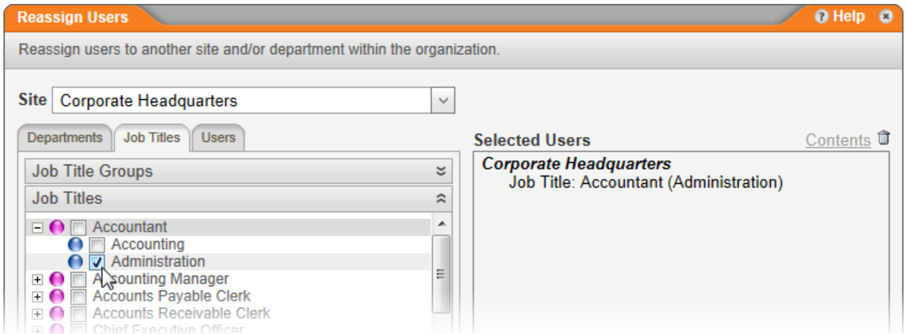
4. In the **Site** list, click the site containing the users you want to reassign.
5. Do one of the following to select users:
   - In the **Search Users** box, start typing the document owner's last or first name. A list appears of users containing the characters you typed that are anywhere in their first or last names. Click a name to add that user to the **Selected Users** box.



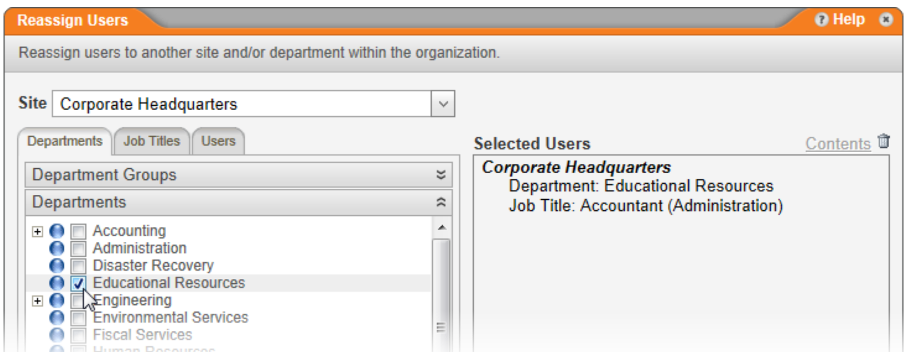

   - Click the **Job Titles** tab. If you want to select all users with a particular job title regardless of which department they are assigned to, select the check box for that job title.



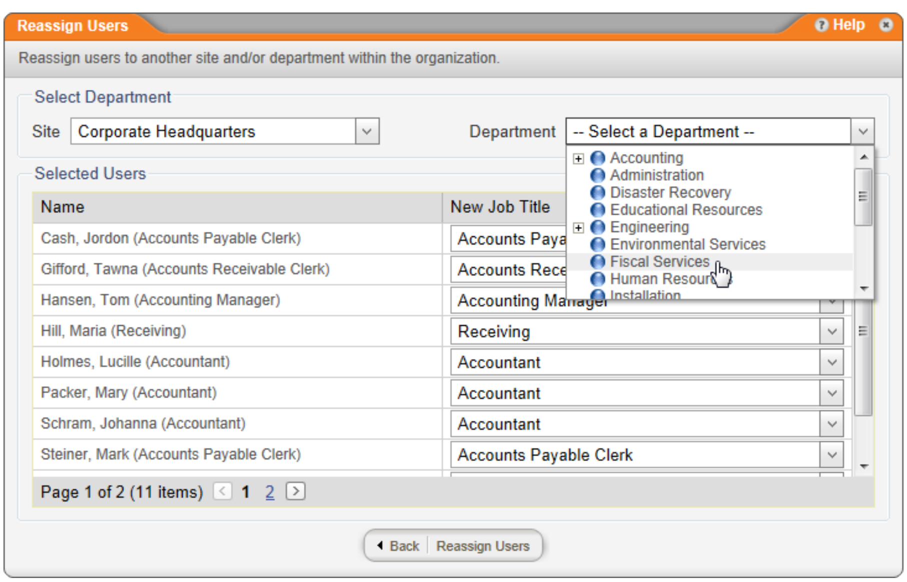

     If you want to select only the users with a particular job title and that are assigned to a particular department, click + before the job title, and then select one or more departments.



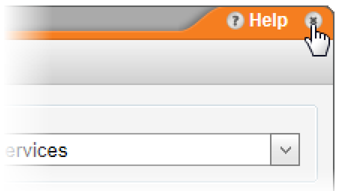

- Click the **Departments** tab, and then select one or more departments.




6. Once you have selected all the users you want to reassign, click **Next**.
7. In the **Site** list, and then click the site you want the selected users assigned to.
8. In the **Department** list, click a department.



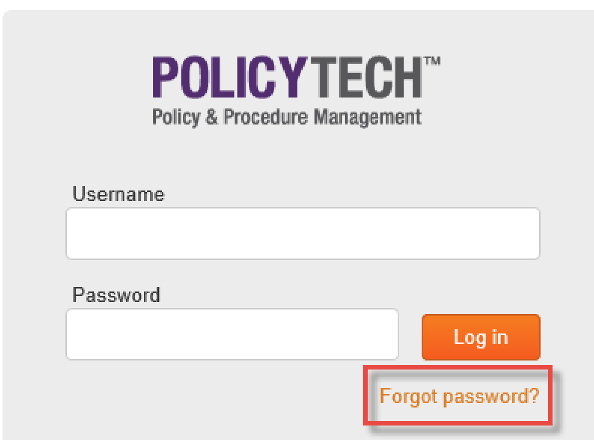
9. (Optional) If necessary, select different job titles for the selected users.
10. Click **Reassign Users**.
11. When PolicyTech™ has finished processing the reassignments, in the upper right corner, click to close the window.




## Resetting a User's Password

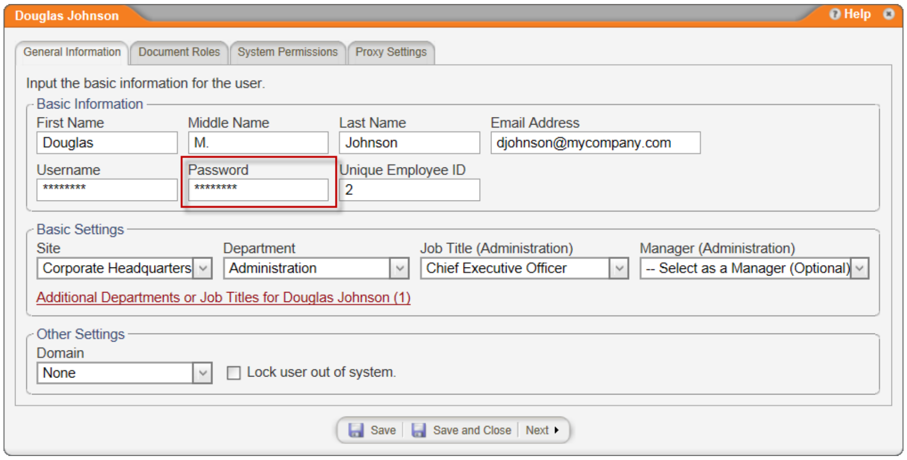
If a user has forgotten his or her password, you can do either of the following to help the user regain access to PolicyTech™:

- If you have enabled users to change their own passwords (see Password Settings (Built-in Accounts Tab) for details) and have assigned the user with the forgotten password a valid email address in **User Manager** (see Adding a User Manually for details), 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 following topic in the User's Guide for detailed instructions: "Resetting a Forgotten Password."




- 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).

**Important:** If your organization requires that no one besides the person logging in know his or her password, instruct the user to change the password you assigned immediately after logging in. You can refer the user to the following section in the User's Guide for detailed instructions: "Changing Your Password."

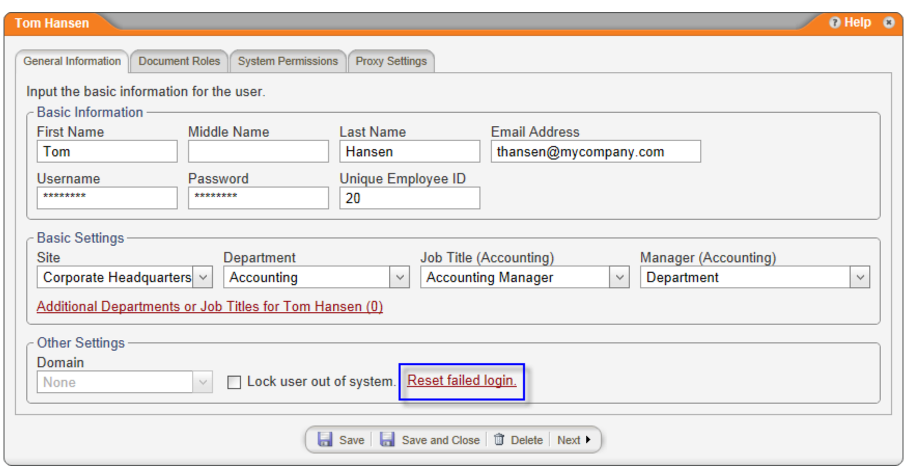



## Clearing a User Lockout

In **Login Settings** in **Preferences**, 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).

To clear a user lockout,

1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. Find and click the user (see Editing a User for details on finding and editing a user).
4. In the **Other Settings** area of the **General Information** tab, click **Reset failed login**.

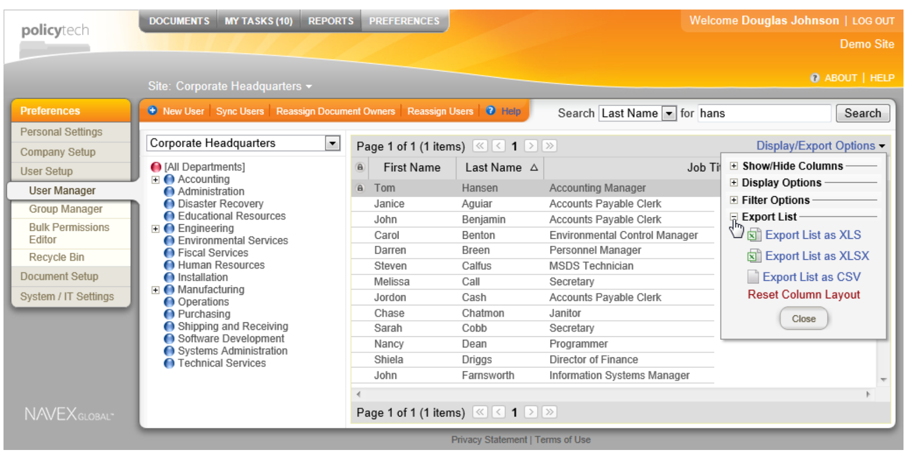



5. Click **Save and Close**.

## 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 **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.
3. In the site list above **[All Departments]**, click the site containing the users whose information you want to export.
4. 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.
5. (Optional) You can change how much information is included in the exported list by using **Show/Hide Columns** and **Filter Options** on the **Display/Export Options** menu. You can also rearrange column order and sort order by manipulating the column headers. See Customizing the User List Display for details.
6. With the desired information displayed in the user list, click **Display/Export Options**, and then click **Export List**.




7. 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**.
8. Open the file or save it to disk.
9. Click **Close**.

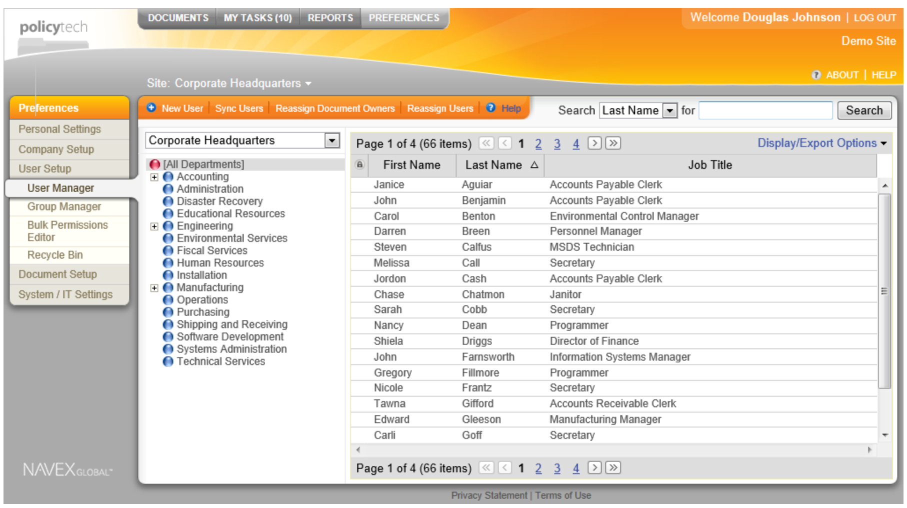
## Customizing the User List Display

The user list is what you see when you click a department in **User Manager**. You can change the display of the user list 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

To display the user list,

1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **User Manager**.




See the following sections for details on customizing the user list:

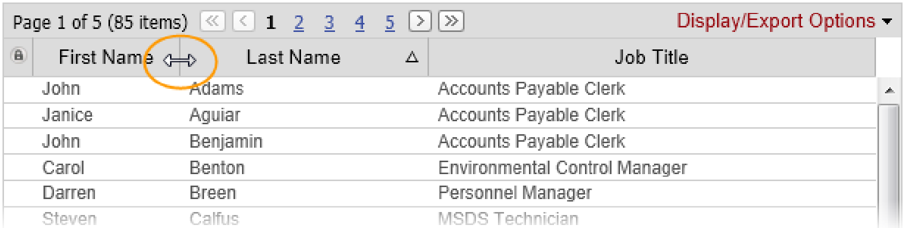
[Working with Columns](#)

[Working with Filters](#)

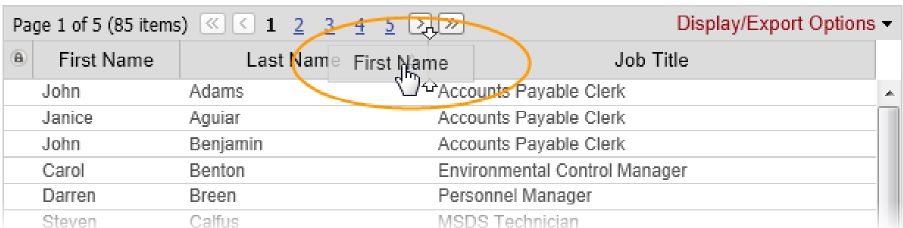
[Changing the Number of Users Displayed](#)

### Working with Columns

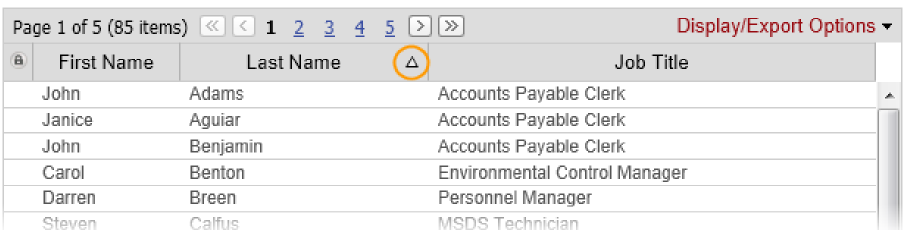
**Adjusting a column's width:** Hover the pointer over the line between two column headers until the pointer changes to a two-headed arrow, and then click and drag the column separator.




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




**Selecting 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.

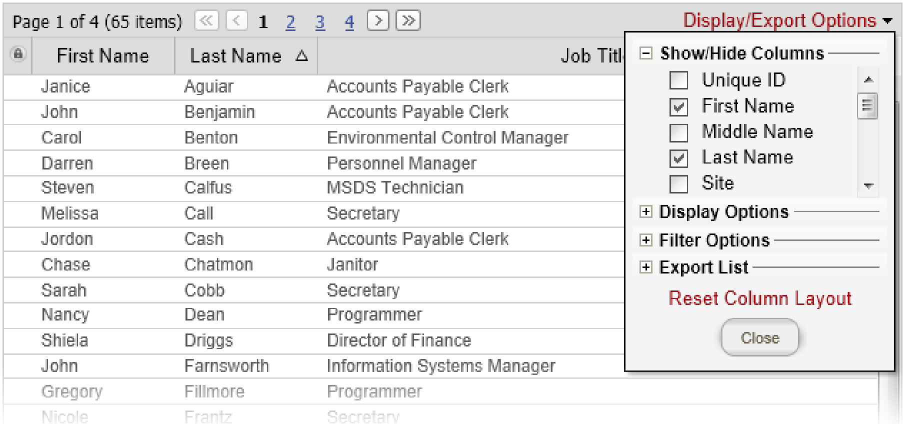



**Changing the sort order:** Click the header of the current sort column to reverse the sort order from ascending to descending, or vice versa.

**Showing and hiding columns:**

1. With the user list displayed, click **Display/Export Options**, and then click **Show/Hide Columns**.
2. Select the columns you want shown.

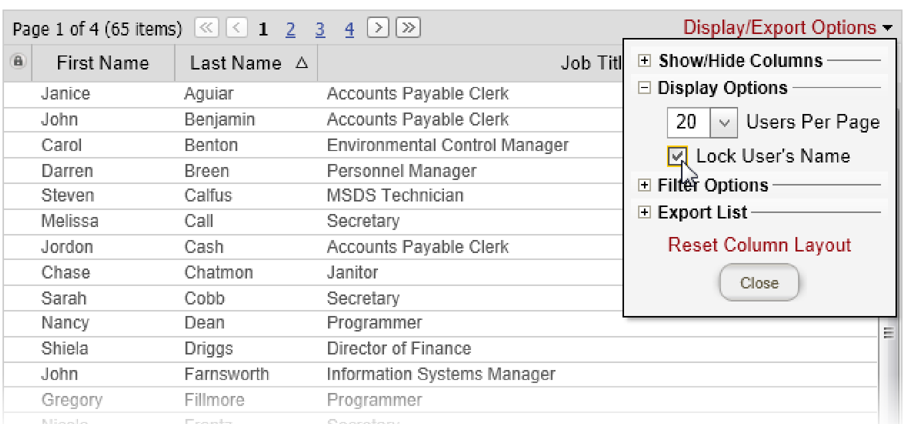
> **Note:** The **Document Roles**, **System Permissions**, and **Manager** columns display shortcut **View** links. Click one of these links to go directly to the corresponding tab of a user's profile.




3. Click **Close**.

**Freezing 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.

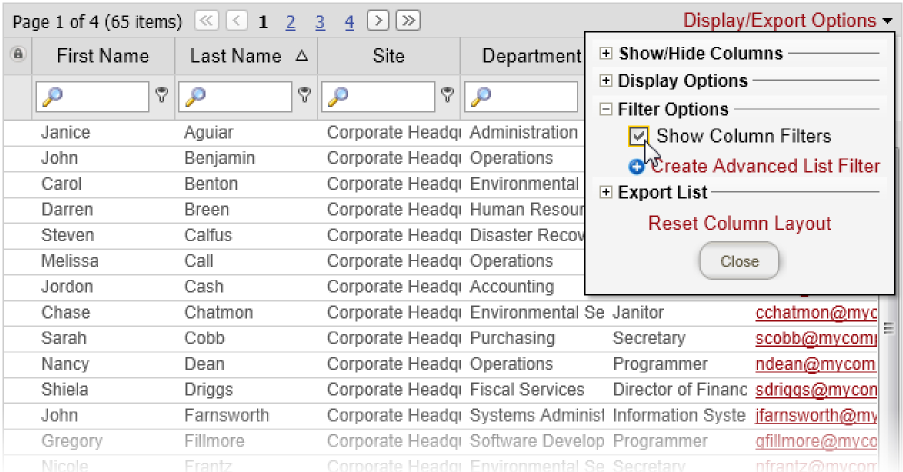
1. With the user list displayed, click **Display/Export Options**, and then click **Display Options**.
2. Click **Lock User's Name**, and then click **Close**.




## Working with Filters

### Showing Column Filters

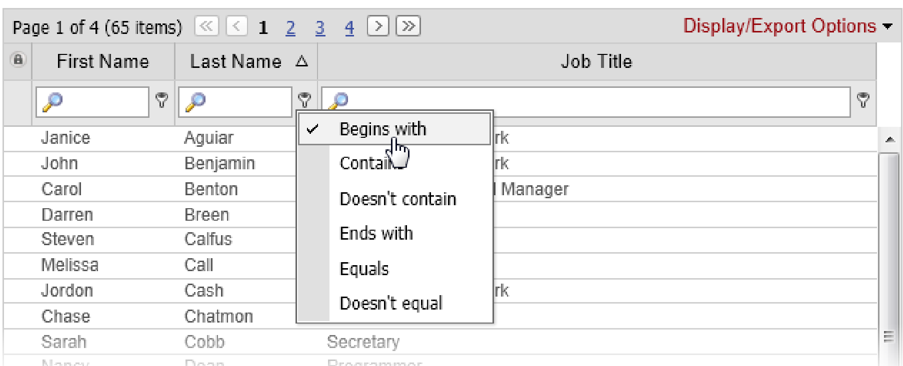
1. With a user list displayed, click **Display/Export Options**, and then click **Filter Options**.
2. Click **Show Column Filters**, and then click **Close**.



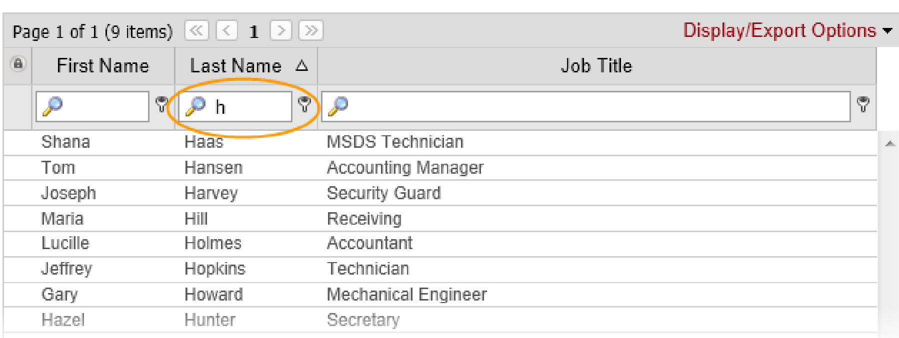

## Using Column Filters

You can use column filters to restrict what is displayed in the user list.

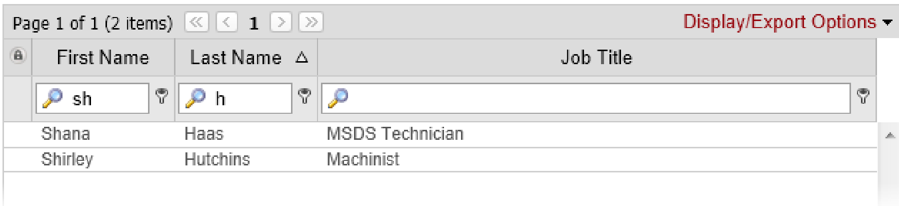
1. With the column filters displayed, click the funnel icon ( ) next to a column filter box, and then click a filter type.




2. In the filter box, type what you want to filter by. The user list is immediately filtered by what you type. In the example below, the filter type for the **Last Name** column is **Begins** with, so the user list shows only those users whose last names start with "h."



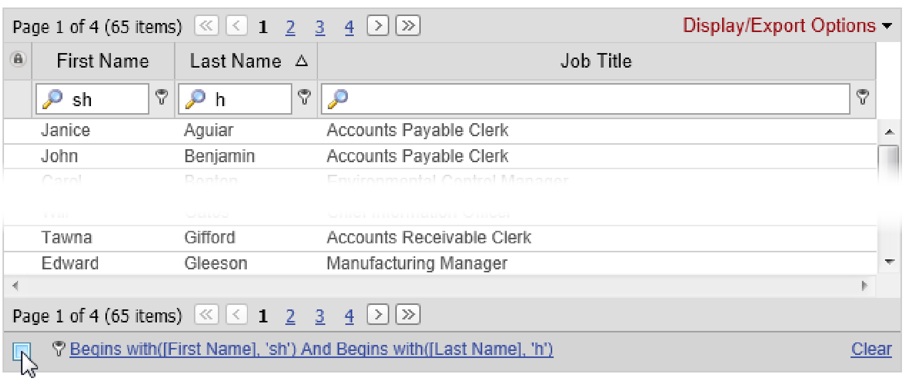
3. (Optional) Repeat steps 1 and 2 to build on the current filter, further narrowing the user list. In the example below, the list is filtered to show only those users whose last names start with "h" and whose first names start with "sh."



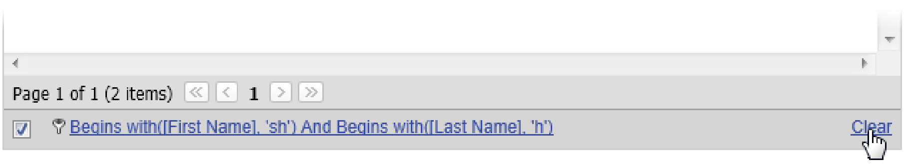

4. To clear the filter, do one of the following:

   - To clear the filter but keep it available, deselect the filter at the bottom of the user list. Notice that the filter parameters in the filter boxes remain. You can then reselect the filter anytime.

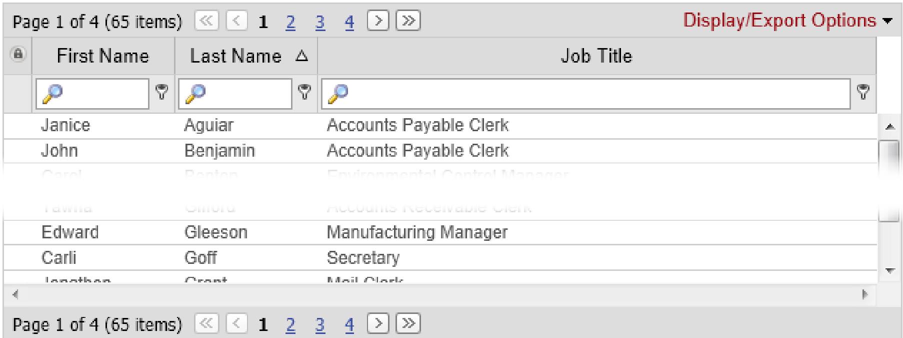
**Note:** You can have only one saved filter at a time.




   - To completely clear the filter, click **Clear** at the bottom of the user list.



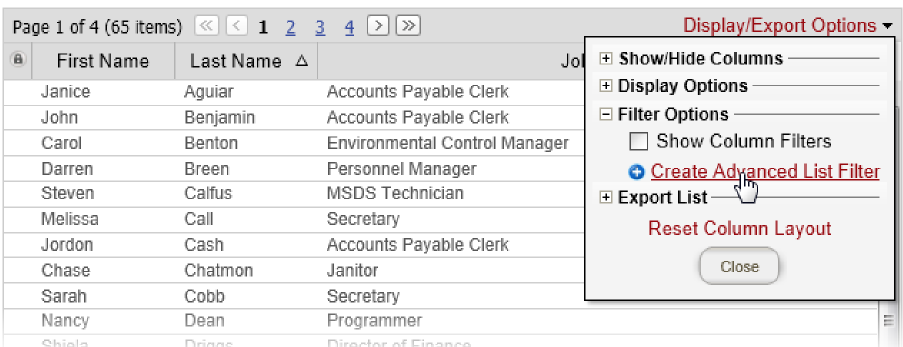

   Notice that after clicking clear the column filter boxes are empty.



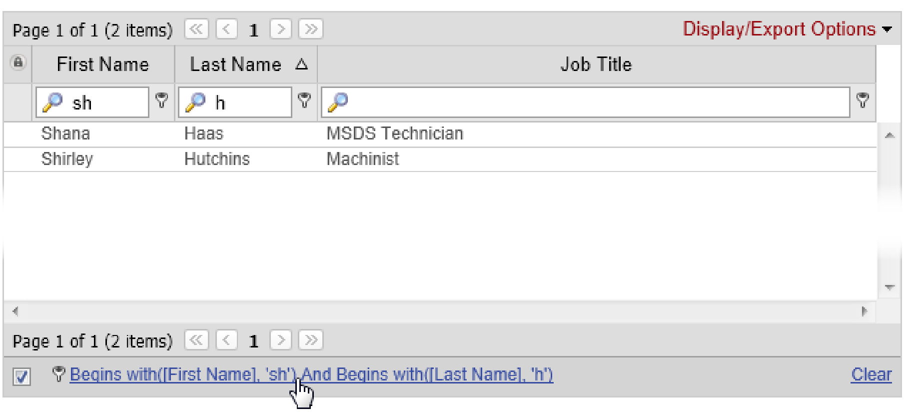

### Creating an Advanced Filter

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

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

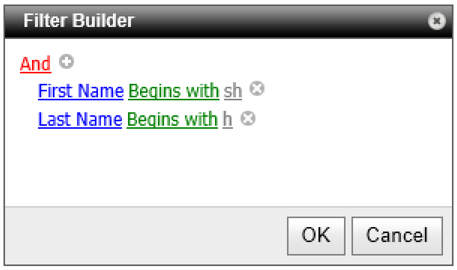



   - If you've already created a column filter, you can also click the filter formula at the bottom of the user list.




   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.

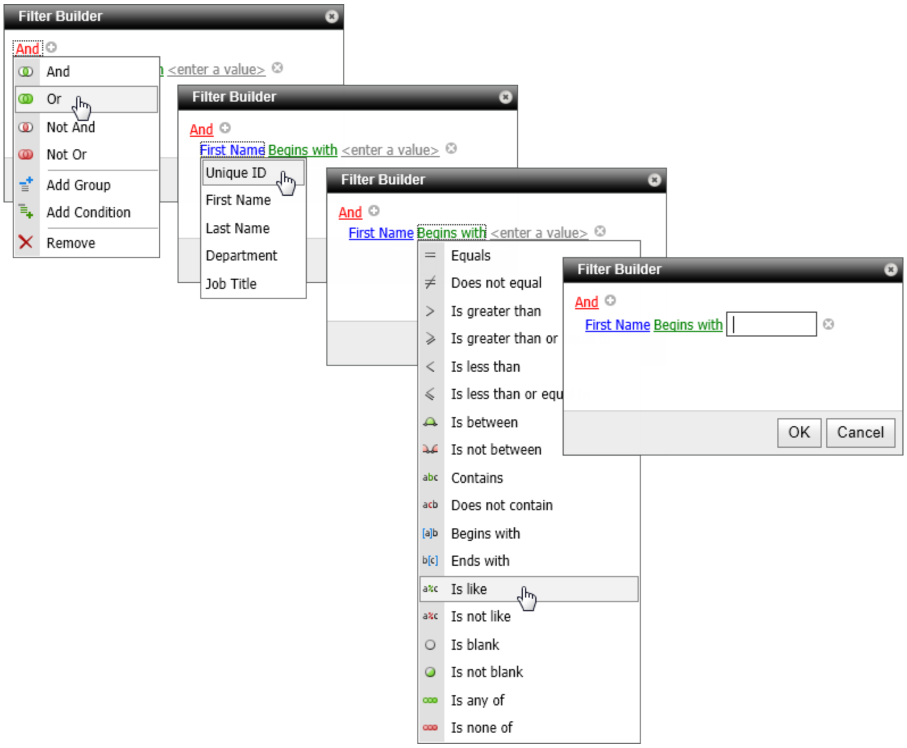



In the formula above the operator is in red font, the column name is in blue font, the filter type is in green font, and the condition parameter is in gray font.

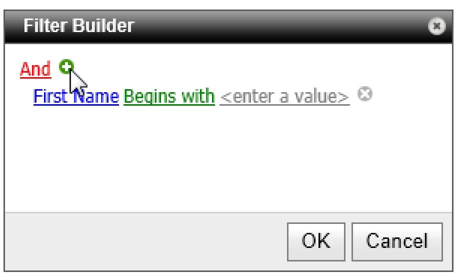
2. Use the following guidelines to create the filter.

**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.

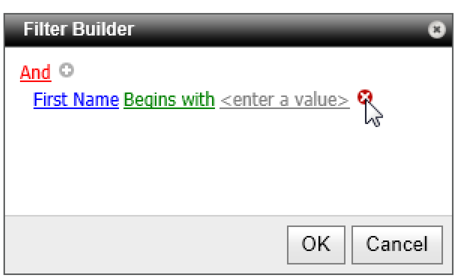
- To change any displayed filter element, click it and select an option, or type in the text box and press Enter.



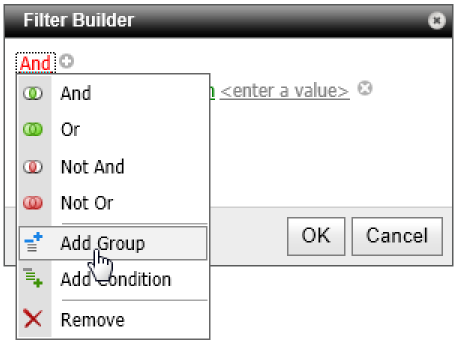

- A group is an operator and all the conditions below it. To add a condition to a group, click after the operator.




- To delete a condition, click after the condition.




- 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. Click **OK**.

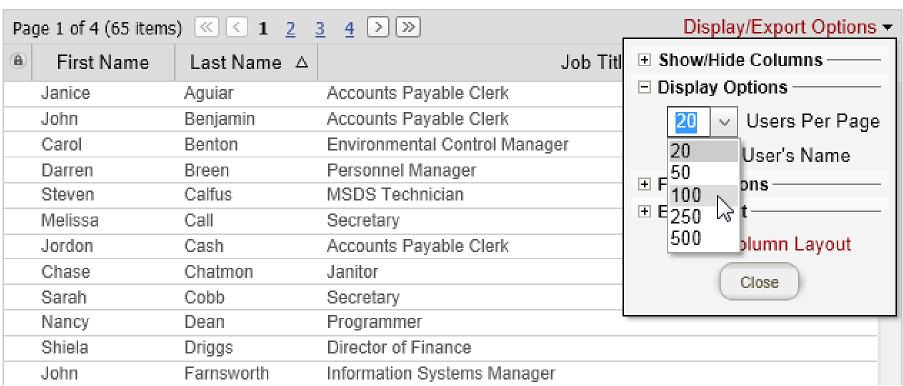
### Changing the Number of Users Displayed

By default, the user list contains 20 users per page.

To change the number of users displayed in a user list page,

1. With the user list displayed, click **Display/Export Options**, and then click **Display Options**.

2. In the **Users Per Page** list, click **20**, **50**, **100**, **250**, or **500**.




3. Click **Close**.

## Group Manager

When creating a document, the document owner assigns users to write, review, approve, and read the document. If there are certain sets of people who are regularly assigned as writers, reviewers, approvers, and readers, 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 marks a document as approved on behalf of an approval committee, such as a board of directors.

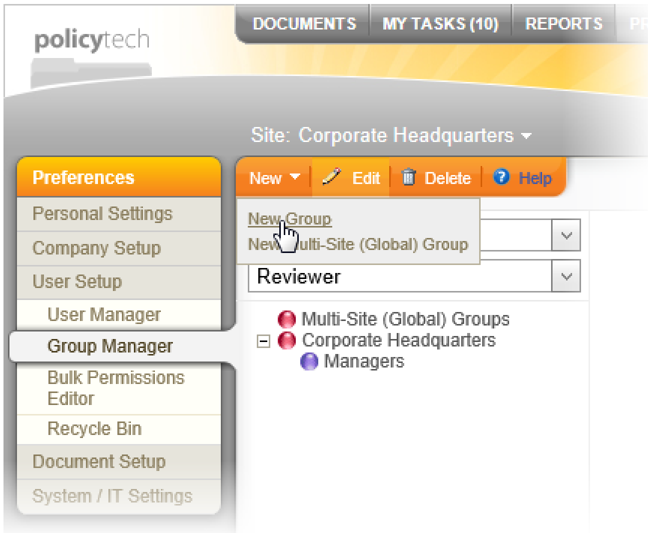
Refer to the following topics for details on working with groups:

[Adding a Writer, Reviewer, Approver, or Reader Group]
[Editing a Writer, Reviewer, Approver, or Reader Group]
[Deleting a Writer, Reviewer, Approver, or Reader Group]
[Working with All Readers Groups]

## Adding a Writer, Reviewer, Approver, or Reader Group

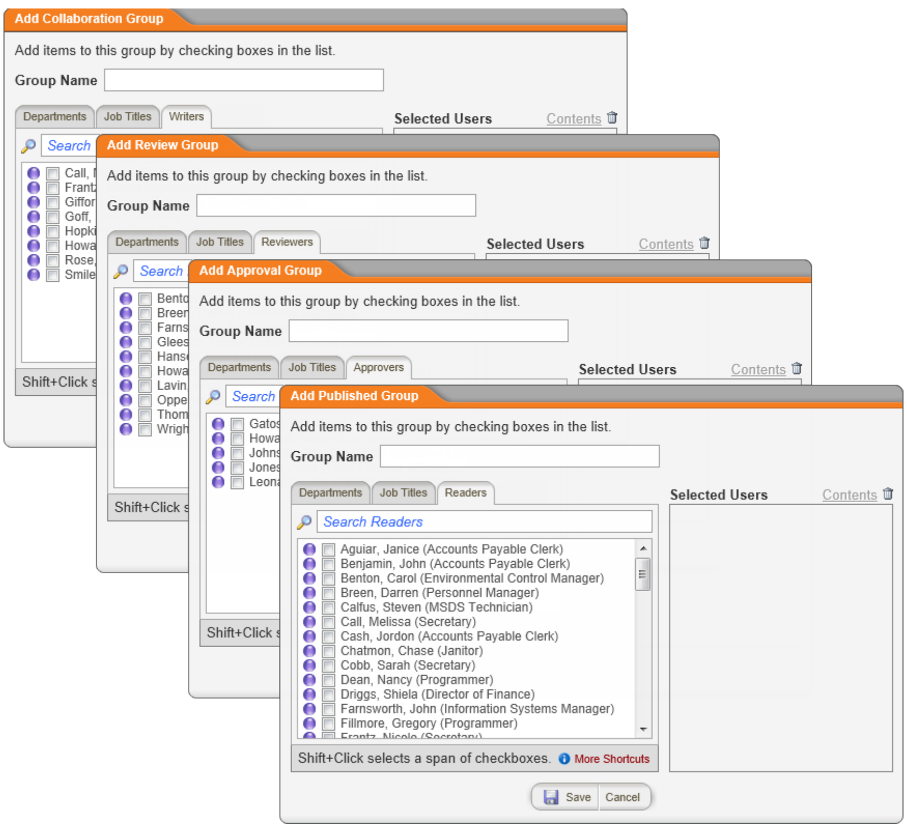
1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **Group Manager**.
3. In the site list, click the site containing at least some of the users you want to assign to the group.
4. Click the **Choose Group Type** box, and then click **Writer**, **Reviewer**, **Approver**, or **Reader**.


5. Click **New**, and then click **New Group** or **New Multi-Site (Global) Group**.




You will see an **Add [*group type*] Group** window with the **Writers**, **Reviewers**, **Approvers**, or **Readers** tab displayed, depending on the type of group you are adding.

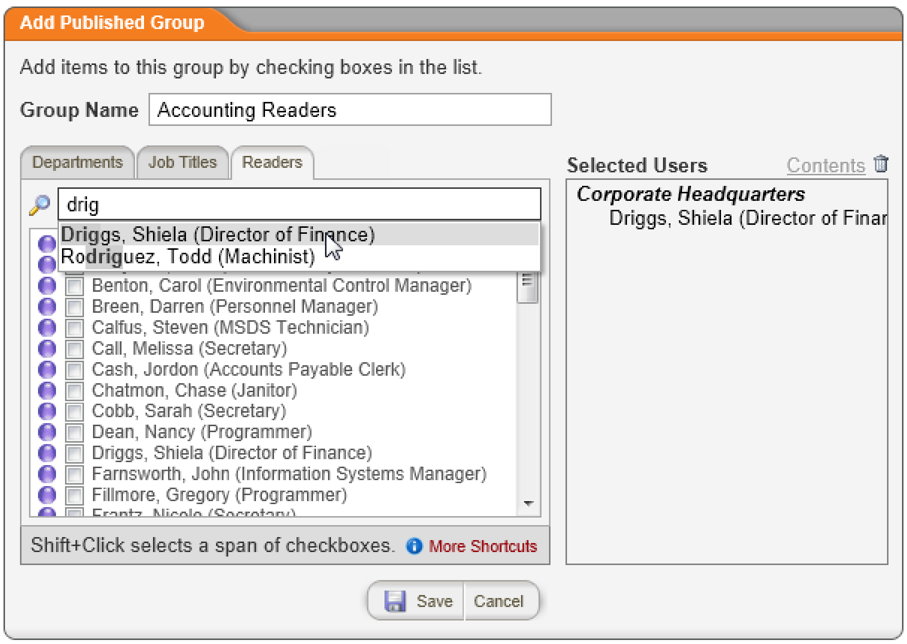
**Note:** The examples below are for a single-site group. If you are creating a multi-site group, you will also see a **Site** list under the **Group Name** box.



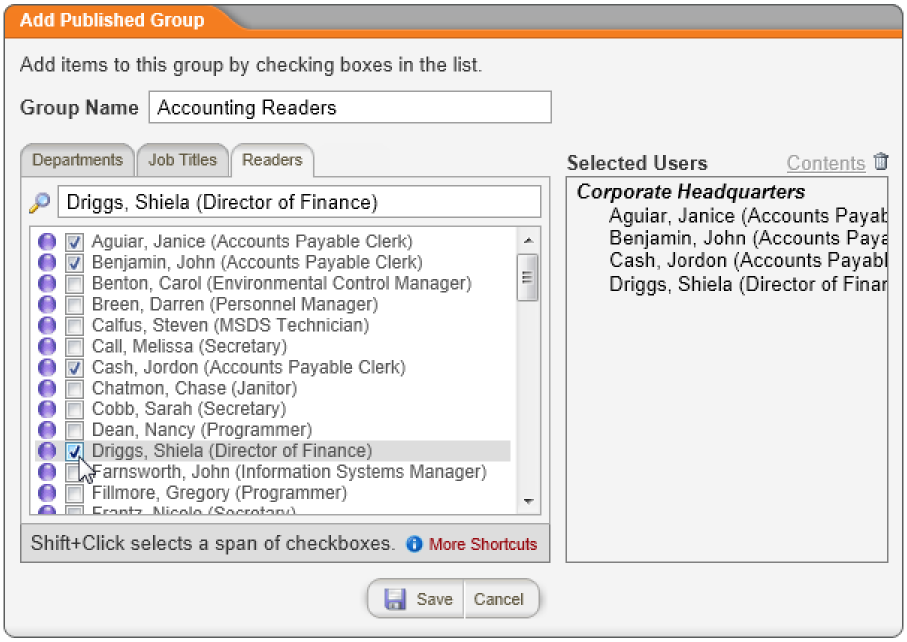
6. Type a group name.
7. Do any of the following to add users to the group:

**Note:** To create an **All Readers** group, see [Working with All Readers Groups](#).

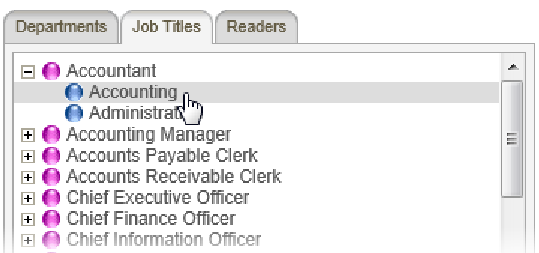
- In the **Search [*group type*]** box of the **Writers**, **Reviewers**, **Approvers**, or **Readers** tab, start typing the user's last or first name. A list appears of users containing the characters you typed that are anywhere in their first or last names. Click a name to add that user to the **Selected Users** box.



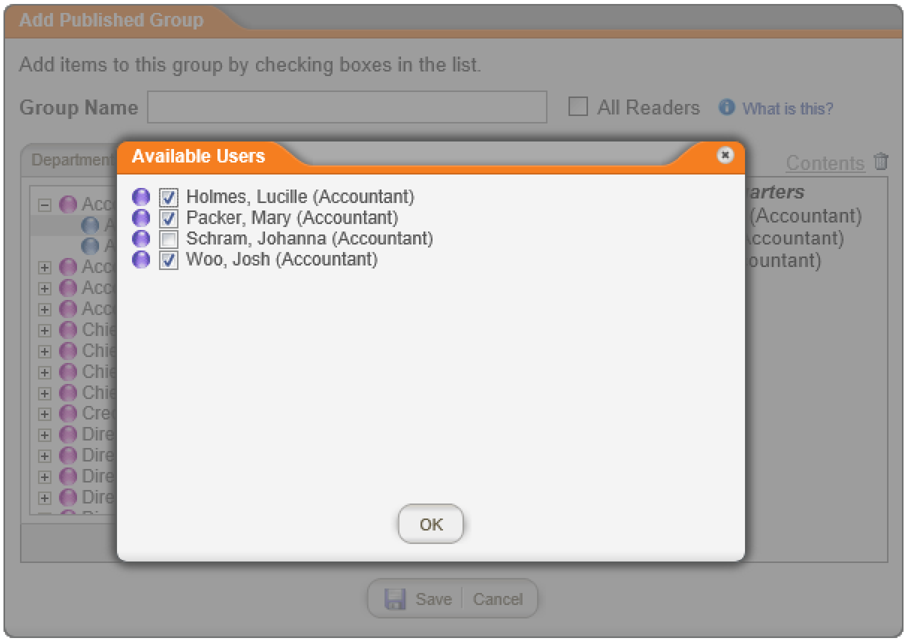

- With the **Writers**, **Reviewers**, **Approvers**, or **Readers** tab selected, click users' check boxes to add those users to the **Selected Users** box.



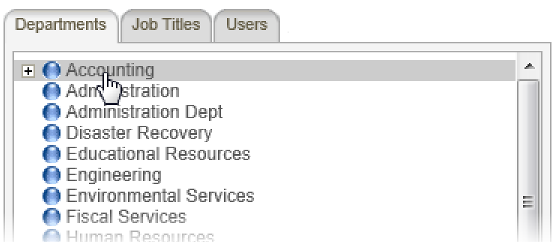

- Click **Job Titles** and then click a job title to display all users with that job title. If the job title is assigned to multiple departments and you want only those users from a specific department, click ⊞ before the job title, and then click a department.



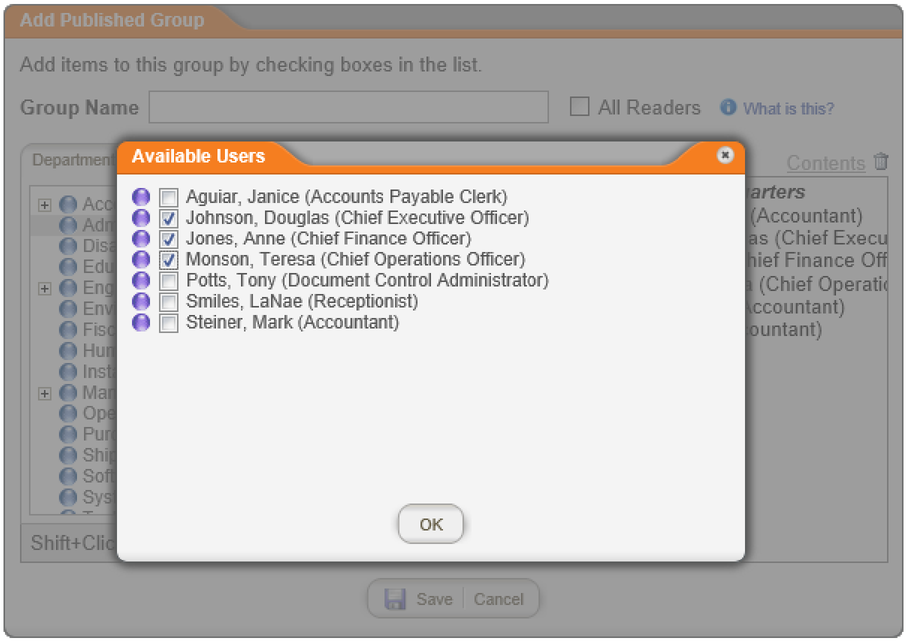

In the **Available Users** window, select users, and then click **OK**.




- With the **Departments** tab selected, click a department to display the users assigned to that department.




In the **Available Users** window, select users, and then click **OK**.




8. (Multi-site group only) To add users from another site, in the site list, click a different site, and then repeat step 7.

9. When you are finished adding users, click **Save**.

## Editing a Writer, Reviewer, Approver, or Reader Group

To change the name or selected users in a group,

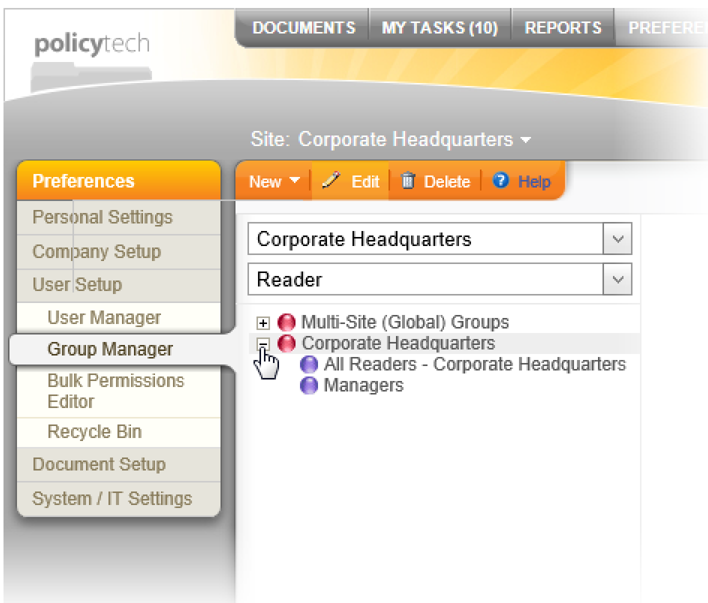
1. Click **PREFERENCES**.

2. Click **User Setup**, and then click **Group Manager**.

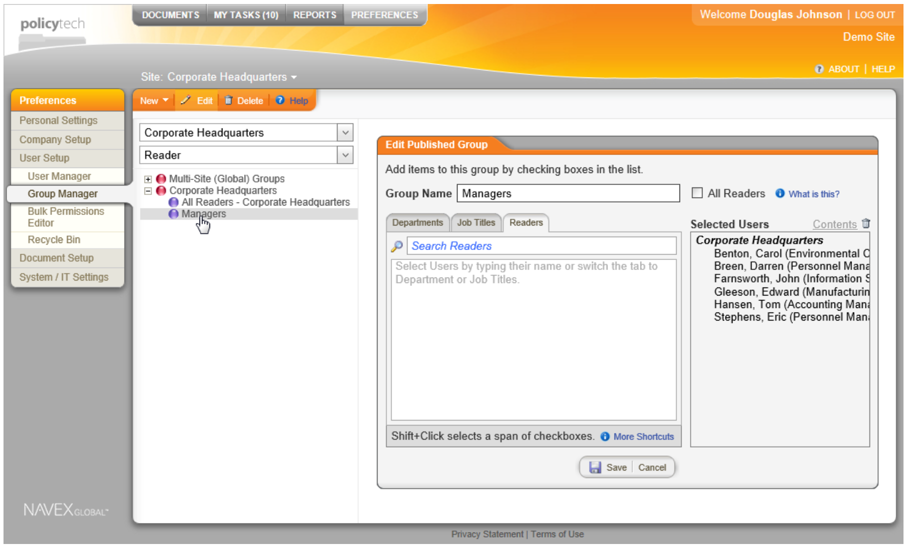
3. (Single-site groups only) In the site list, click the site the group is assigned to.

4. In the **Choose Group Type** list, click the type of group you need to change.


A list appears with the groups for the current site displayed. If you want to change a multi-site group, click ⊞ before **Multi-Site (Global) Groups**.




5. Click a group to open the **Edit [*group type*] Group** window.



6. Do any of the following:
   - Change the group name.
   - Add users to the group (see Adding a Writer, Reviewer, Approver, or Reader Group).
   - Delete users from the group. To delete users, in the **Selected Users** box, click one or more user names, and then click .
   - For a reader (published) group, add or remove the **All Readers** designation (see Working with All Readers Groups for details).
7. Click **Save**.

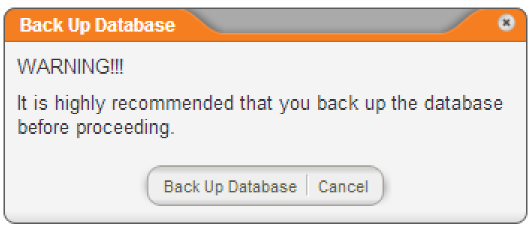
## Deleting a Writer, Reviewer, Approver, or Reader Group

1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **Group Manager**.
3. (Single-site groups only) In the site list, click the site the group is assigned to.
4. In the **Choose Group Type** list, click the type of group you need to delete.

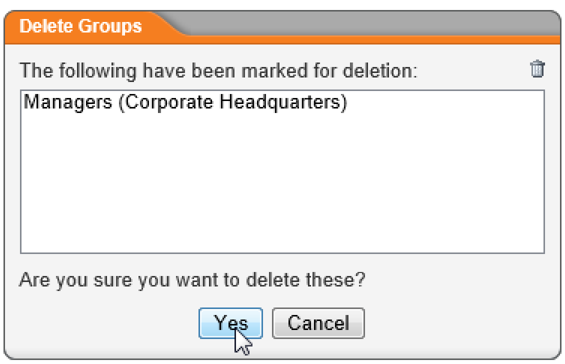

A list appears with the groups for the current site displayed. If you want to delete a multi-site group, click ⊞ before **Multi-Site (Global) Groups**.


5. Click a group, and then click **Delete**.


6. You will be prompted to back up the PolicyTech™ database before deleting the group. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.



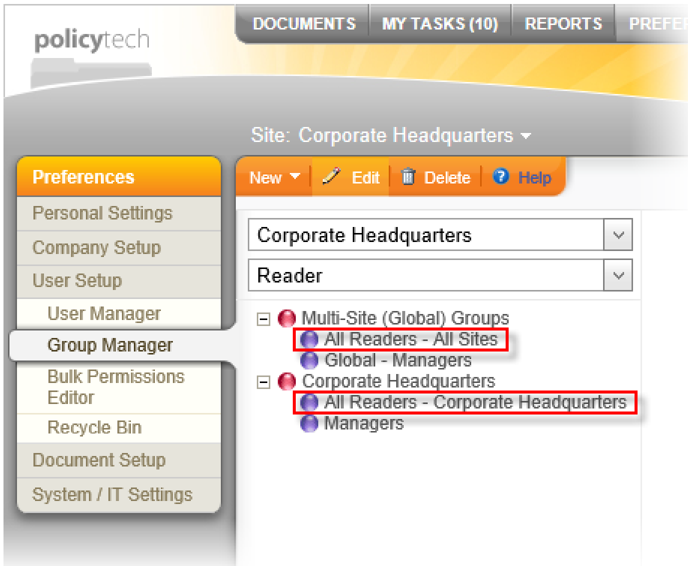

7. Click **Yes** to delete the group, and then click **OK**.




**Note:** Deleting a group places it in the **Recycle Bin**. See The Recycle Bin for details on restoring a deleted group.

## Working with All Readers Groups

When you install or upgrade to PolicyTech™ 7.1 or later, PolicyTech automatically adds an **All Readers** group for each existing site, and you can manually create an **All Readers** group for all sites. A new site-specific **All Readers** group is also created whenever you add a site. As the name implies, an **All Reader** group contains all users assigned the reader role.




An **All Readers** group behaves differently than other user groups. Whenever a user is assigned the **Reader** role, that user is automatically added to the **All Readers** group for that user's site and to the **All Reader** group for all sites.

## Adding an All Readers Group Manually

You can designate a group you create as an **All Readers** group that behaves the same as an **All Readers** group created by PolicyTech.

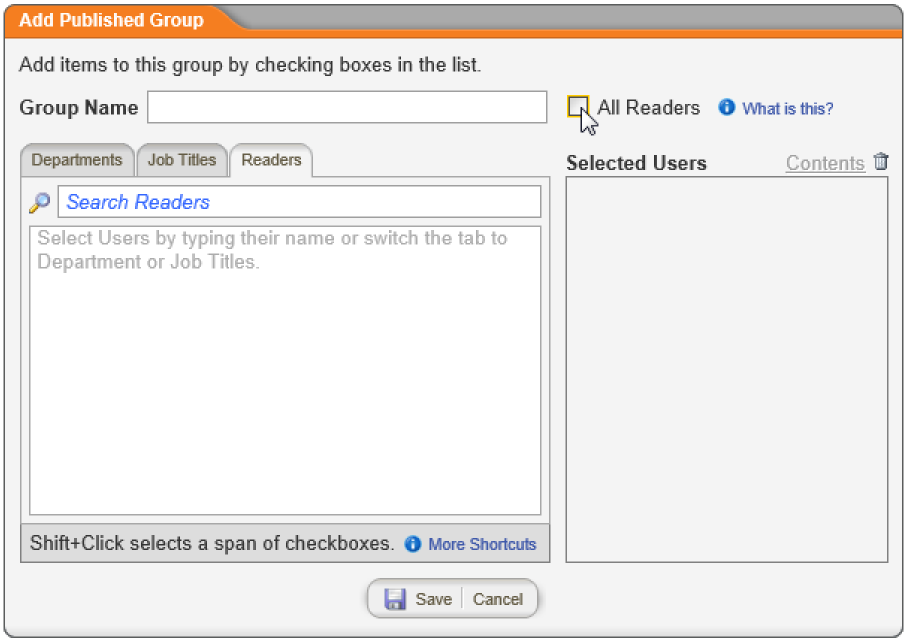
1. Do one of the following:

   - Add a single- or multi-site reader group (see Adding a Writer, Reviewer, Approver, or Reader Group), and then click that group name in **Group Manager** to open the **Edit Published Group** window.

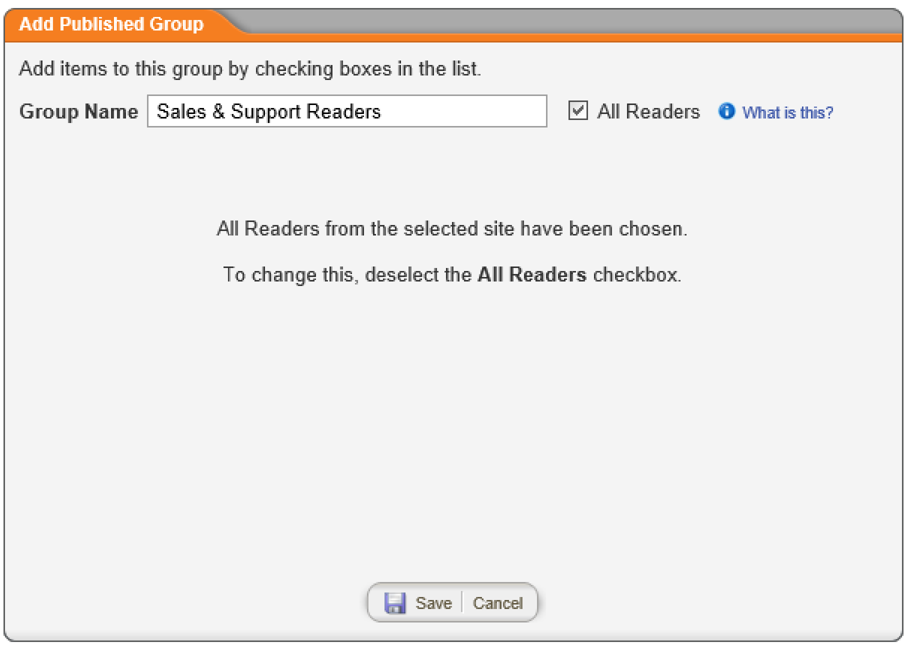
**Note:** You can add as few as one user to the new group, since the **All Readers** designation will override any manually added users.

   - Begin editing an existing reader group (see Editing a Writer, Reviewer, Approver, or Reader Group).

2. Click **All Readers**.




The **Add Published Group** or **Edit Published Group** window changes, as shown below.

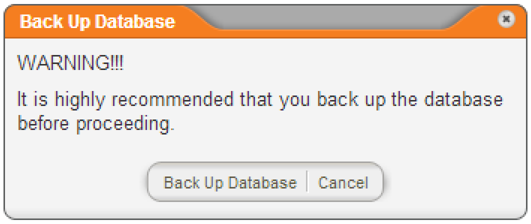



3. Click **Save**.

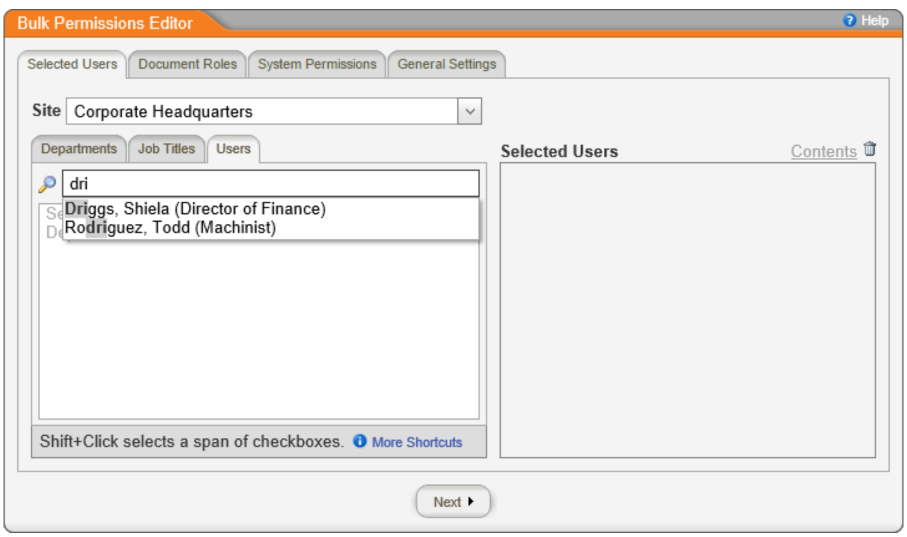
## Bulk Permissions Editor

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

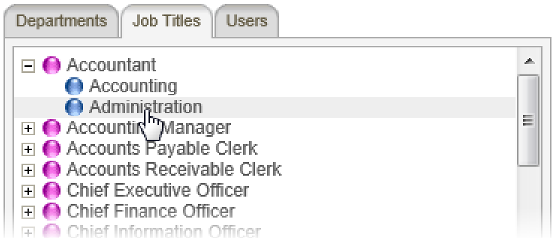
1. Click **PREFERENCES**.
2. Click **User Setup**, and then click **Bulk Permissions Editor**.
3. You are prompted to back up the PolicyTech™ database before using the **Bulk Permissions Editor**. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.



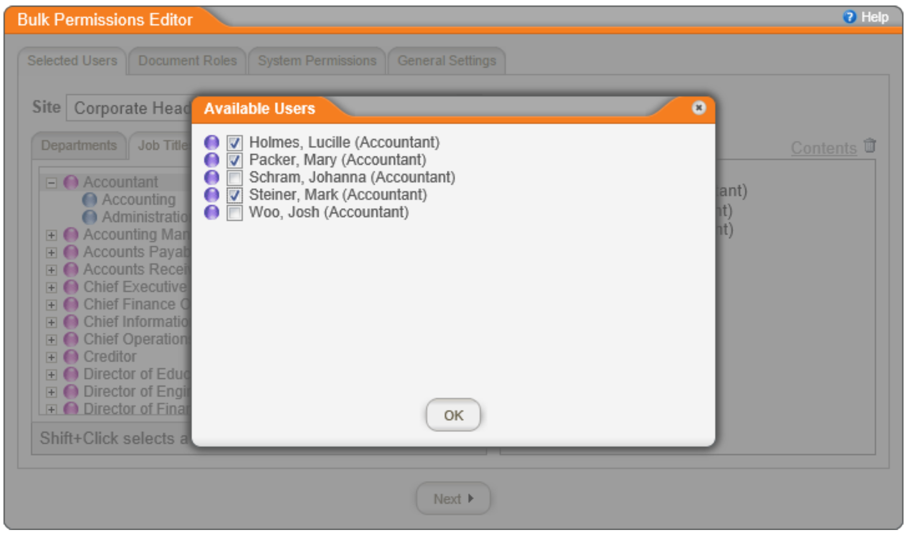

4. In the **Site** list, click a site.
5. Do any of the following to select users:
   - In the **Search Users** box, start typing the user's last or first name. A list appears of users containing the characters you typed that are anywhere in their first or last names. Click a name to add that user to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



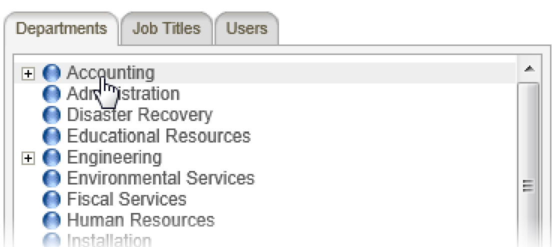

   - Click **Job Titles** and then click a job title to display all users assigned that title. If the job title is assigned to multiple departments and you want only those users from a specific department, click ⊞ before the job title, and then click a department.



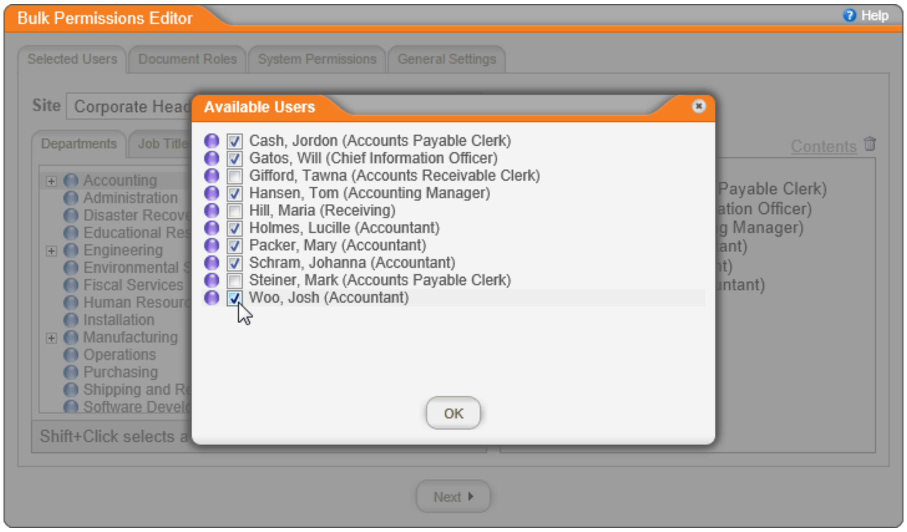

In the **Available Users** window, select users, and then click **OK**.




- With the **Departments** tab selected, click a department to display the users assigned to that department.

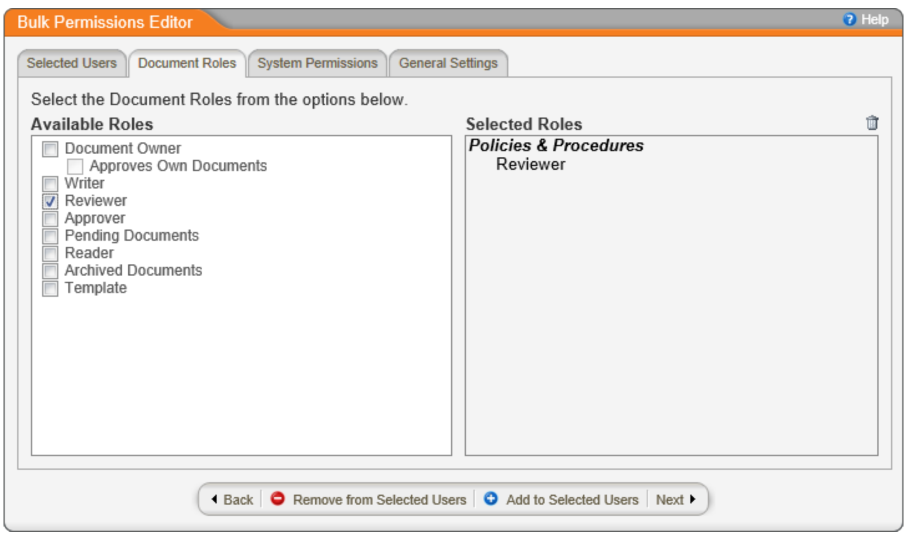



In the **Available Users** window, select users, and then click **OK**.

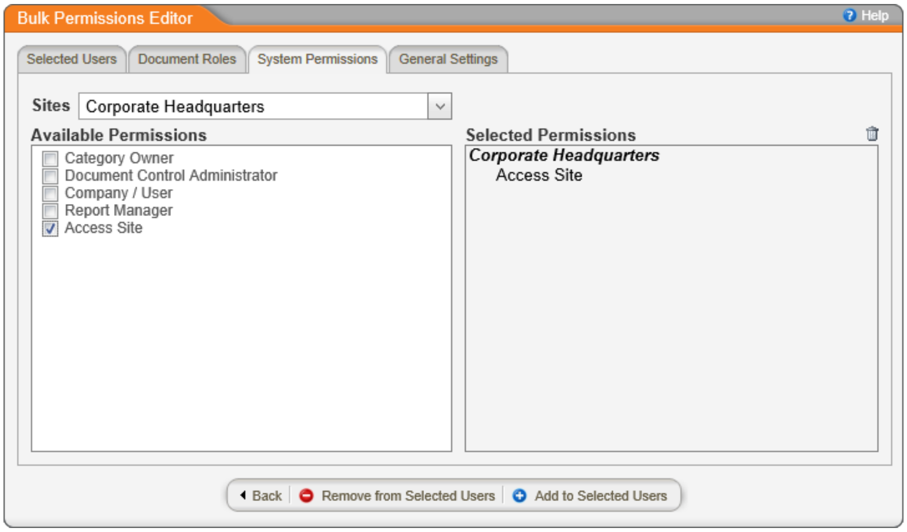



6. Do any of the following:

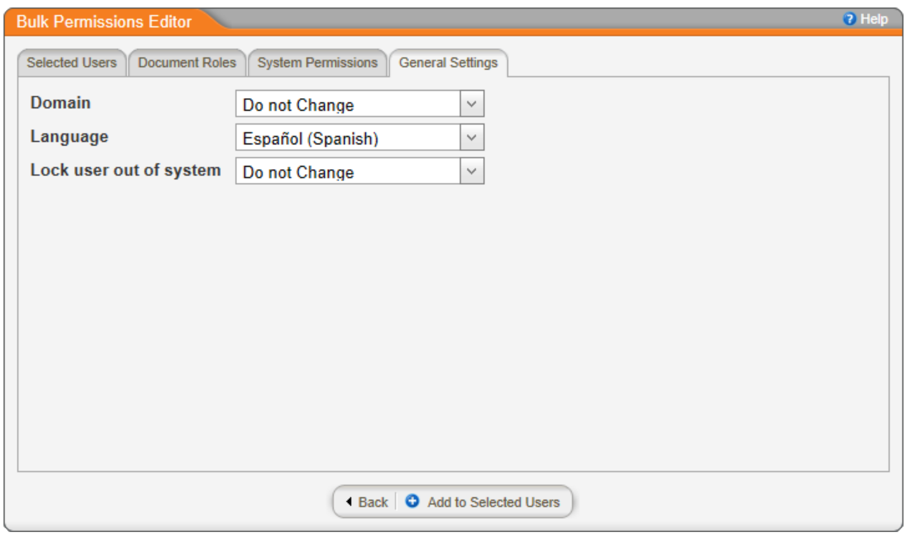
 - Click the **Document Roles** tab, and then select the roles you want assigned to all of the selected users.




 - Click the **System Permissions** tab, and then select the permissions you want assigned to all of the selected users.

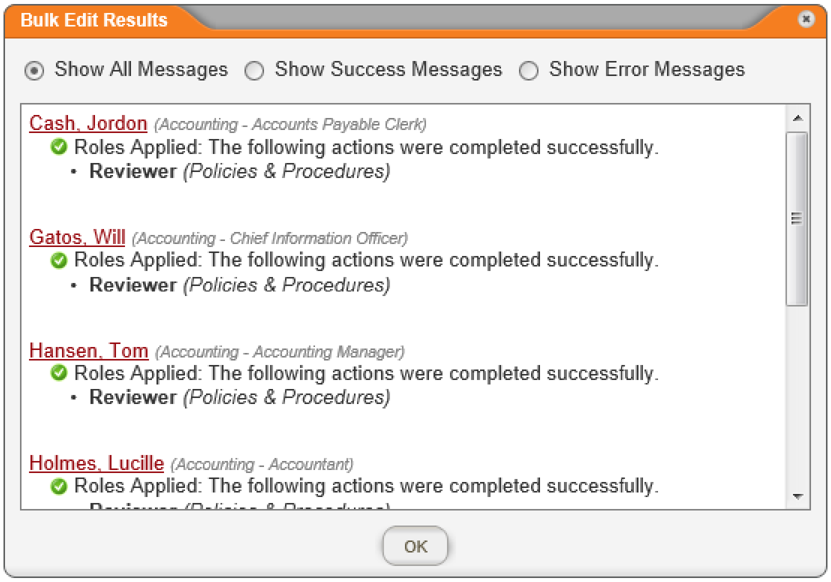



- Click the **General Settings** tab, and then select settings you want changed for all of the selected users.




7. Click **Add to Selected Users** or **Remove from Selected Users**.

   A window appears with the results of the action you selected. All messages are shown by default. You can choose to show only success messages or only error messages.


Bulk Edit Results
Show All Messages
Show Success Messages
Show Error Messages
Cash, Jordon (Accounting - Accounts Payable Clerk)
Roles Applied: The following actions were completed successfully.
Reviewer (Policies & Procedures)
Gatos, Will (Accounting - Chief Information Officer)
Roles Applied: The following actions were completed successfully.
Reviewer (Policies & Procedures)
Hansen, Tom (Accounting - Accounting Manager)
Roles Applied: The following actions were completed successfully.
Reviewer (Policies & Procedures)
Holmes, Lucille (Accounting - Accountant)
Roles Applied: The following actions were completed successfully.
OK

8. Click **OK**.

# Document Setup

Setting up your document environment includes working with the following:

Default Document Properties

Categories

Templates

Importing Documents

Exporting Documents

Bulk Edit

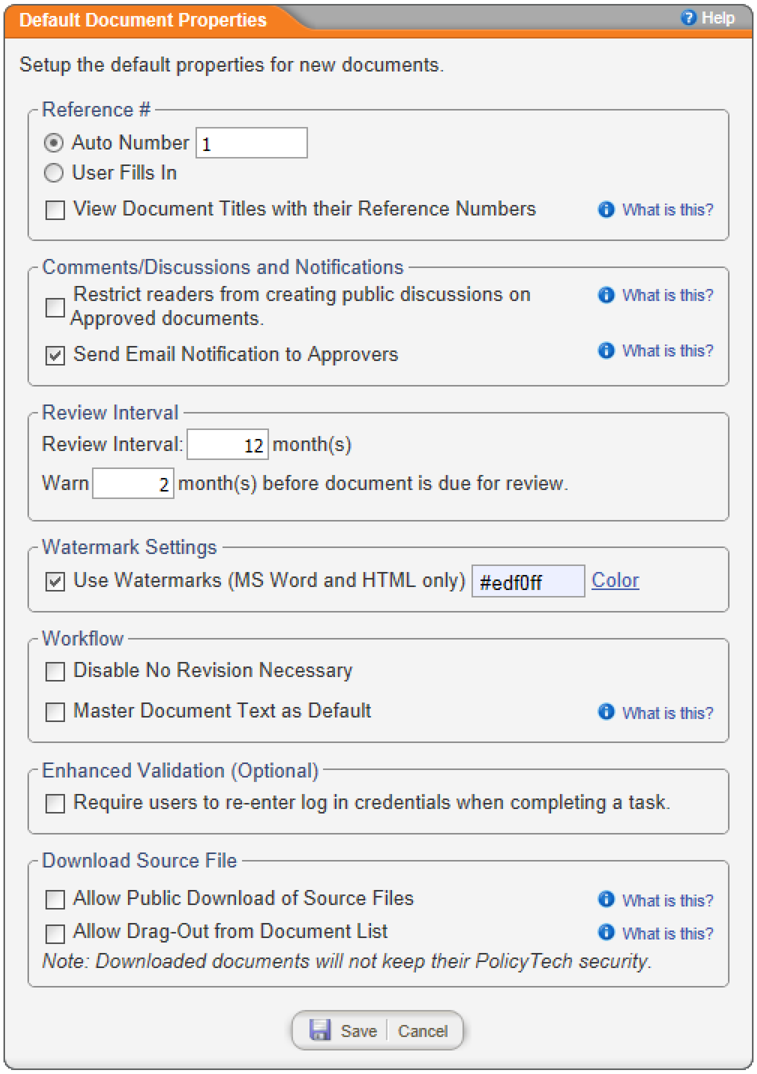
## Default Document Properties

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

**Note:** You can also use templates to set other properties for specific types of new documents (see Creating a Template).

To set default document properties,

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Default Properties**.




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
4. Click **Save**.

## Reference #

Every document created or imported into PolicyTech™ must have a reference number, which is used to uniquely identify each document.

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.

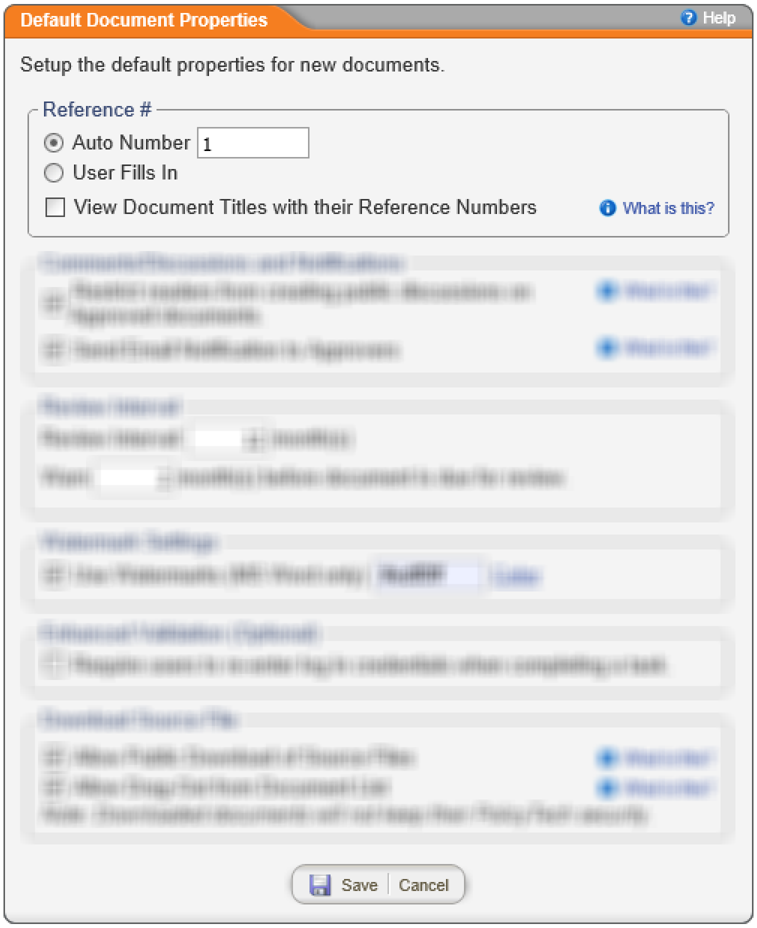
To change reference number settings,

1. If the **Default Document Properties** window is not already open, click **PREFERENCES**, 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.

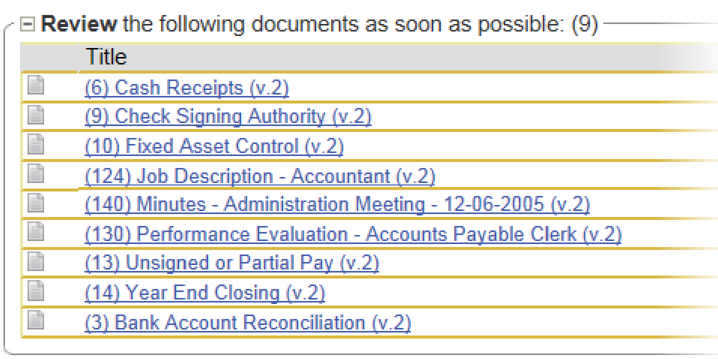
**Note:** An automatically assigned reference number cannot be changed.

   - 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.

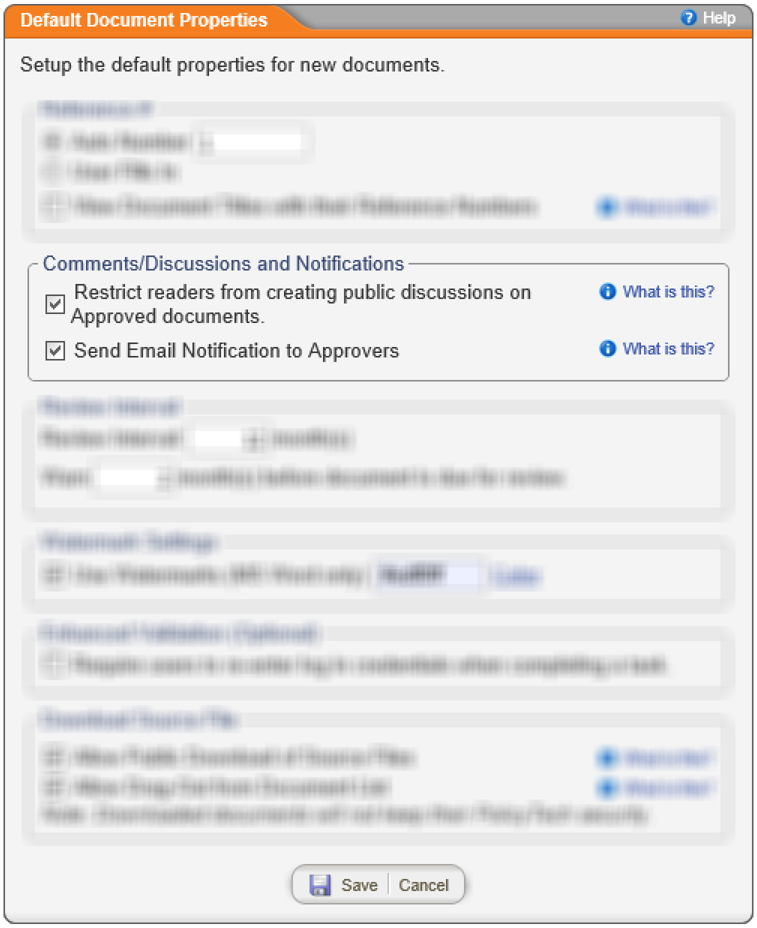



3. To have the reference number displayed with the document title in various PolicyTech contexts, click **View Document Titles with their Reference Numbers**. In the example of a task list below, the reference number is shown in parentheses before each document title.

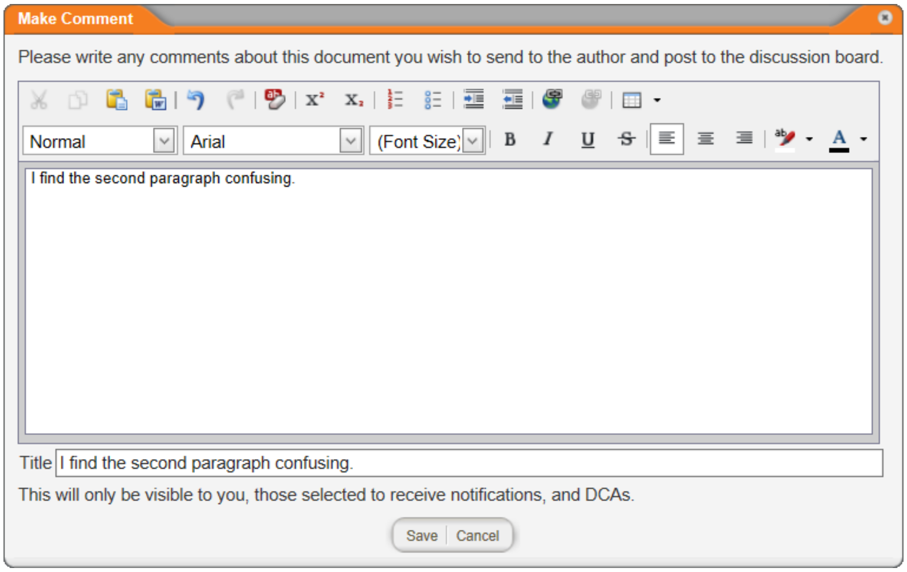



## Comments/Discussions and Notifications

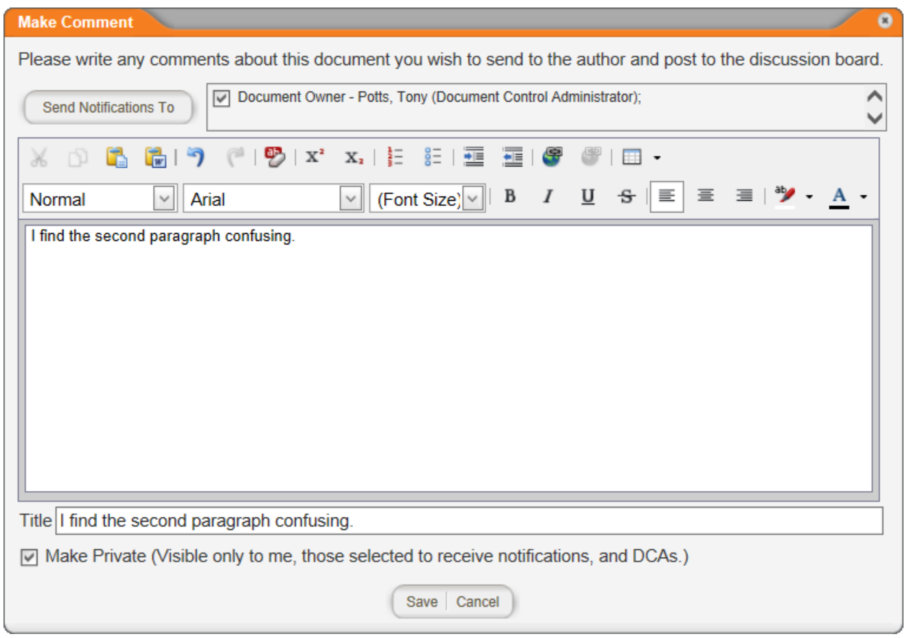
The **Comments/Discussions and Notifications** settings control who sees comments and notifications created for approved documents.




**Restrict readers from creating public discussions on Approved documents.** Select this option to keep readers from selecting recipients when they add a comment or start a discussion for a document, as in the sample comment below. Only the document owner and document control administrators will see the comment or discussion.

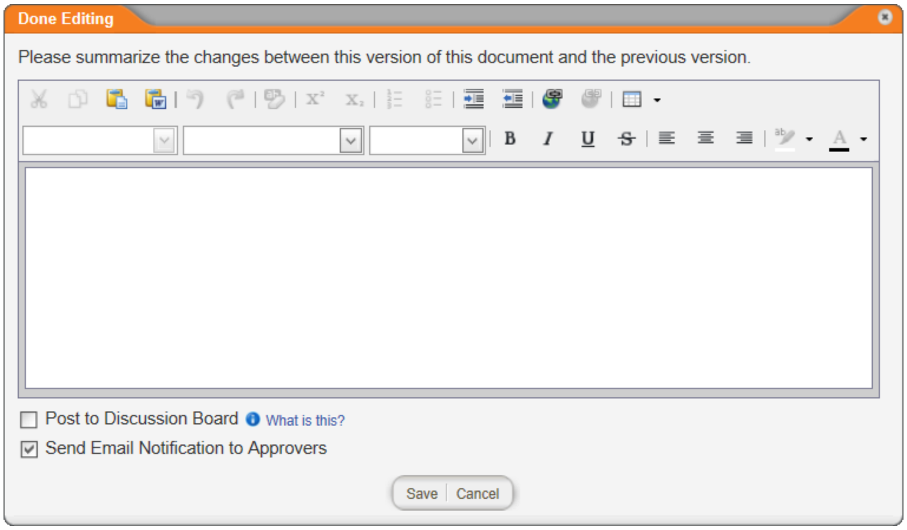



If this setting is not selected, a reader can select any users as viewers of a comment or participants in a discussion, as shown below.




**Send Email Notification to Approvers.** This option applies when a document control administrator (DCA) edits an approved document in its current state. When the DCA is done editing, the window shown below appears for the DCA to describe the changes made. If you select **Send Email Notification to Approvers** in the **Default Document Properties** window, that option will be preselected when the DCA sees the **Done Editing** window.

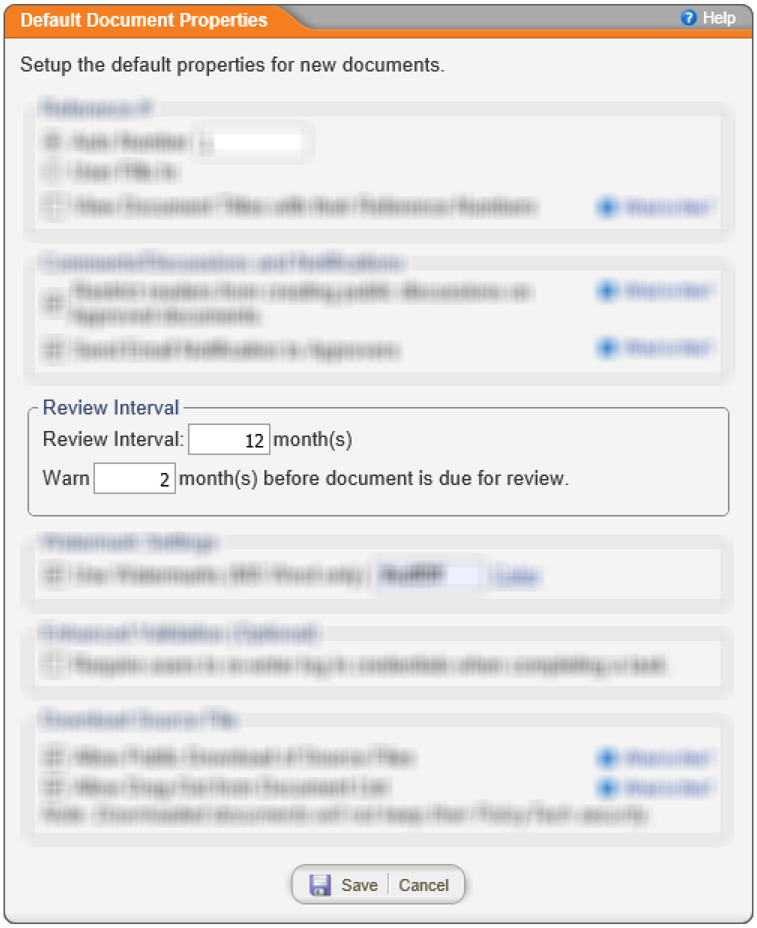
> **Note:** The DCA can still click to clear the **Send Email Notifications to Approvers** check box. This email setting simply helps the DCA not to forget to select that option.




## Review Interval

Policy and procedure documents usually require another review and updating at set intervals. What you enter here will be the default review interval for all new templates.

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




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

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

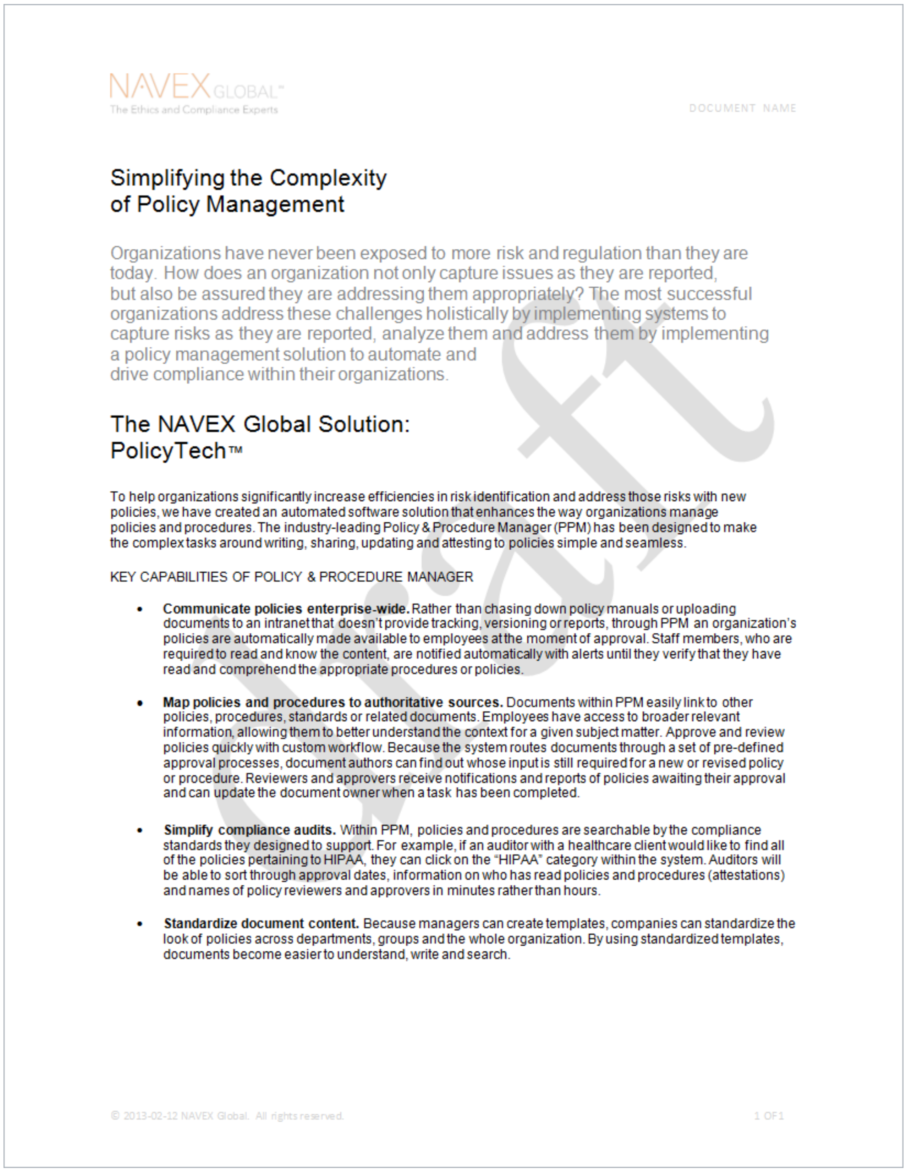
2. In the **Warn** box, type a number of months before the review interval due date that you want document owners notified that a review is approaching.

## 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.

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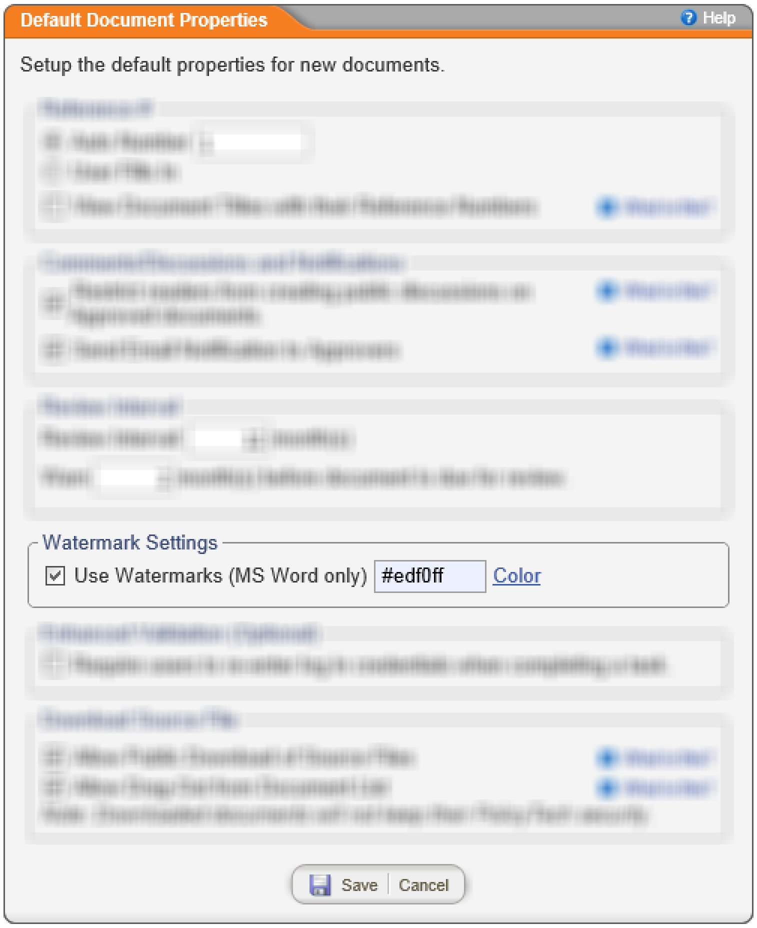
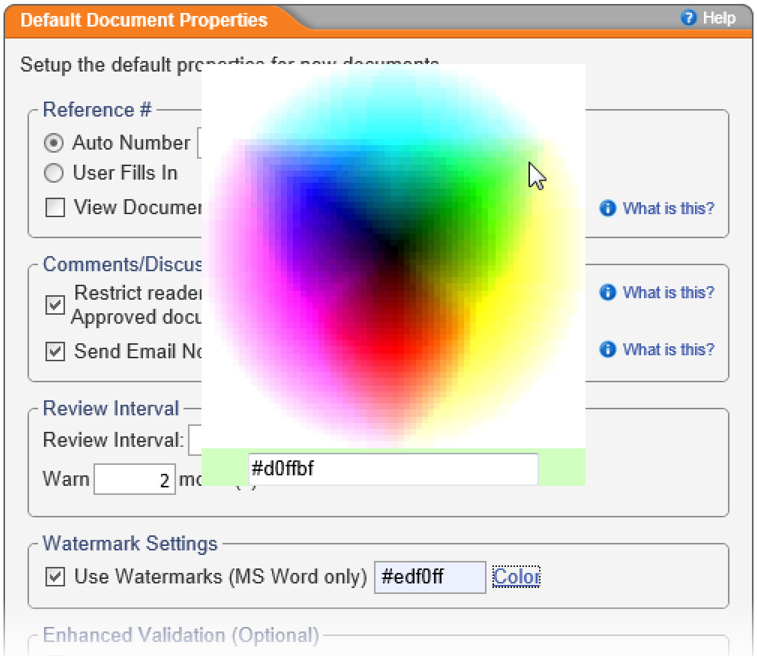
1 OF1

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:

- Click **Color**, and then click a color on the palette. The color's hexadecimal code is displayed in the **Color** box, and the background of the **Color** box changes to the selected color.




- In the **Color** box, type a new hexadecimal color code.

**Notes:**

- The background color of the **Color** box doesn't change immediately after typing a new color code. Click **Default Properties** under **Document Setup** on the left to refresh the page and see the new color.
- For a list of color codes, search for "HTML color codes" or "hex color codes" on the Internet.

## Workflow

### Disable No Revision Necessary

When creating a document template, a document control administrator (DCA) has the option of assigning a review interval for all documents created from that template. The document owner also has the option of changing or setting a review interval when creating a document.

**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 and then create a new version of the document 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 (and a DCA) has the option of indicating that a document due for review does not need to be updated by clicking **Options** and then clicking **No Revision Necessary**. This removes the task from the document owner's list and resets the periodic review date out the number of months specified.

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

### Master Document 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 is approved, new versions of the localized copies are automatically put in draft status. By default, the contents in the **Edit Document** tab 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 the **Master Document Text as Default** check box if you want the new version of the master document's content copied into the **Edit Document** tab 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 text, such as translations or localized content, in the previous version of those copies. However, the previous version of the copies are available for comparison purposes.

### Proxy Mark as Read

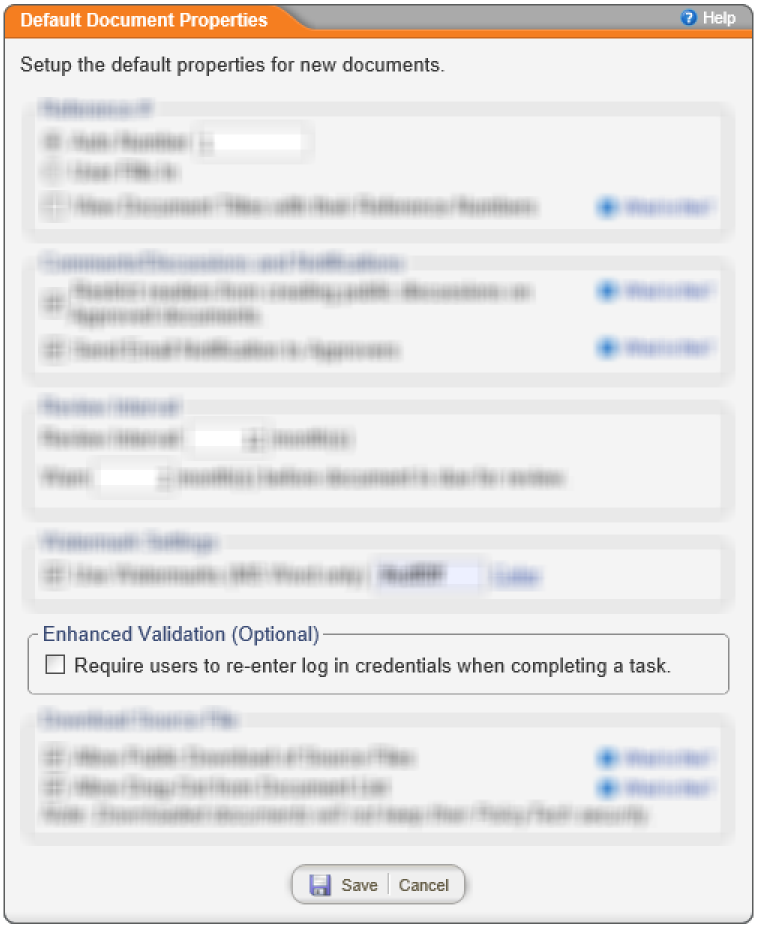
## Enhanced Validation (Electronic Signature)

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.

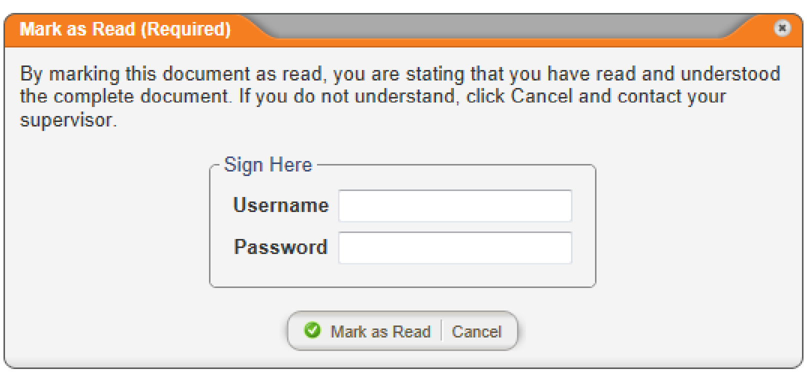
**Important:** Enhanced Validation can also be enabled or disabled on templates and individual documents. See Template Setting: Enhanced

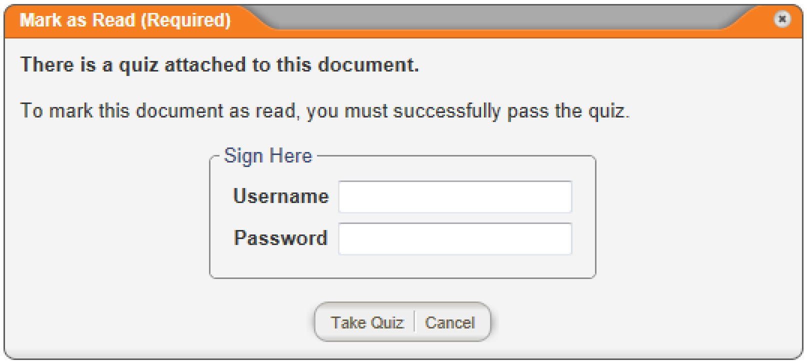
Validation and "Optional Document Settings" in the User's Guide. Changing the Enhanced Validation setting in Default Document Properties does not affect this setting in existing templates and documents. It will, however, become the default setting for new templates.

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

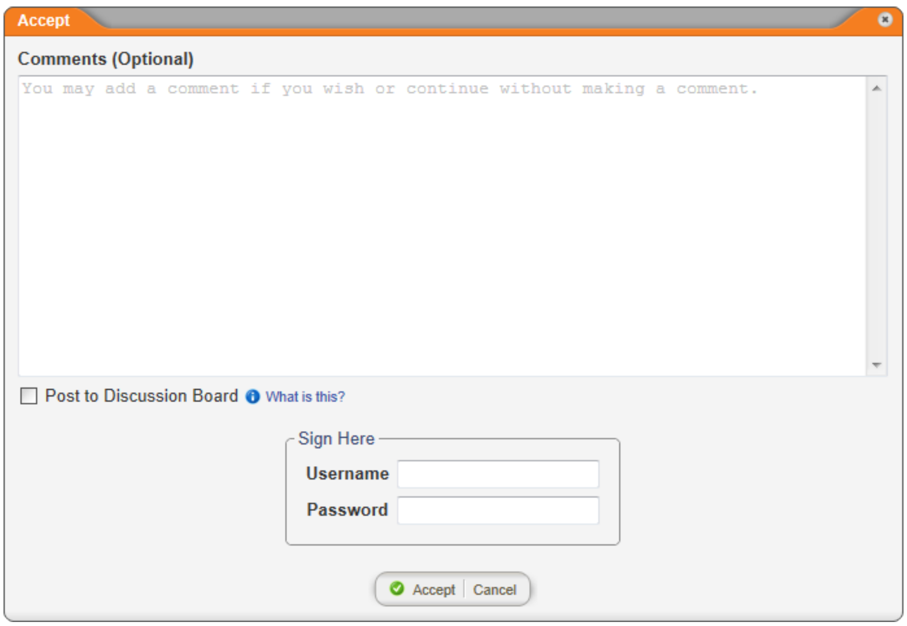



The two screenshots below show what a user will see when marking a document as read if enhanced validation is required.






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




## Download Source File

**Allow Download Source.** This setting applies only if you have enabled the **PDF Converter** add-on (see Module Manager for details). With the **PDF Converter** enabled, all documents are automatically converted into PDF files when they are approved. If **Allow Download Source** is selected, users can download an approved PDF document that was created in Microsoft® Word in its native Word format. (See "Working with Word or Excel Undocked" in the User's Guide for details on how a user can download a document source file.)

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


**Allow Drag-Out from Document List.** When selected, this option allows users to drag the file icon from the approved document list directly to their desktops, to folders in Windows® Explorer, or into emails as attachments.

> **Note:** Dragging out source files is only available with WordModule*Plus*™ 3.5.1188 and higher and only when one of the following conditions exists: the **Allow Public Download Source Files** option is also selected, or your organization has enabled **PDF Converter** (see Module Manager).

## Categories

By creating categories, you can group documents logically to make searching for and locating specific types of documents 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 can assign documents to might include, Forms, Memorandums, Job Descriptions, Policies, Procedures, and Employee Handbook. Or, if the category is ISO 9000, you would create a sub-category for each ISO 9000 level or activity.

Below is a partial list of different document types you may want to consider including:

- Policies
- Procedures
- Forms
- Minutes
- Memos
- Contracts
- Training
- Marketing
- Job descriptions
- Performance evaluations
- Plans
- Standard operating procedures (SOP)
- Bylaws
- Operations
- Rules and regulations
- Protocols
- Bulletins
- Directives
- Status reports
- Records
- Proposals
- Legal documents

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](#)

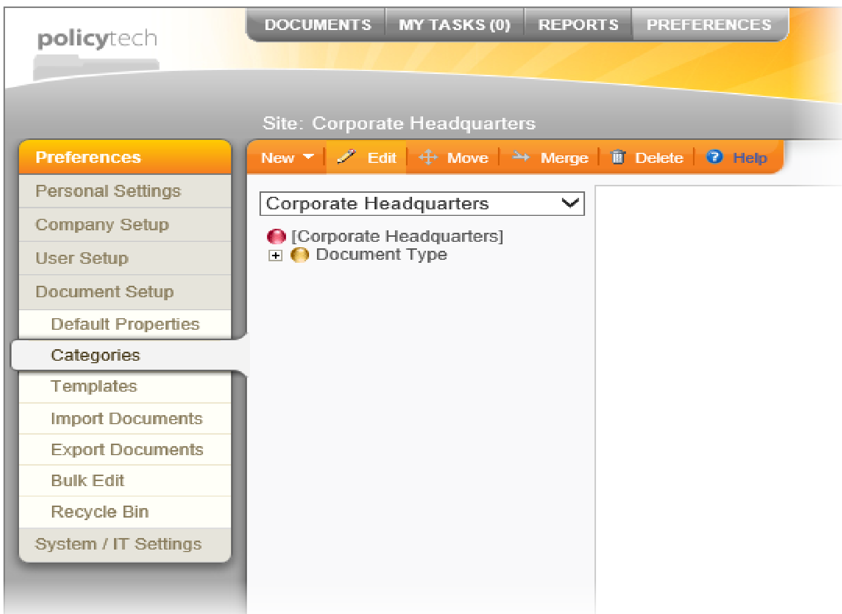
[Deleting Categories](#)

## Adding a Category

You can think of a category as a container for subcategories. Because documents can only be assigned to subcategories, each top-level category you create must contain at least one sub-category before it is useful for categorizing documents.

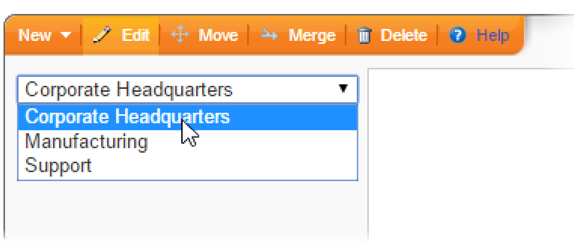
To add a top-level category,

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Categories**.

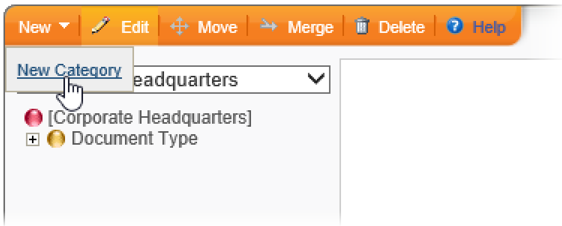



3. If your PolicyTech system has multiple sites, select a site you want to assign the category to.

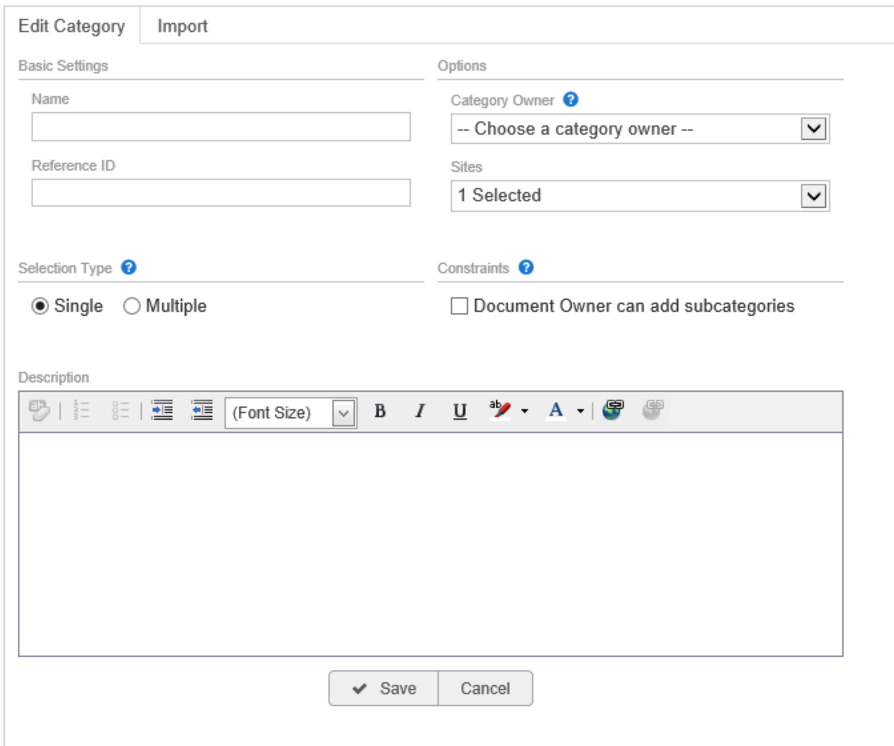
**Note:** You can assign the category to additional sites later.




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




5. In the **Edit Category** tab, define the new category (see [Category Properties](#) below for details).




6. Click **Save**.

7. 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.

**Category Owner.** If you want to assign someone to manage this category (to add and maintain subcategories), in the **Category Owner** list, click a user name. (See [Assigning System Permissions](#) for details on assigning a user as a category owner.)

**Sites.** This property determines what sites will offer this category as an option when users are creating documents. Your primary site is selected by default. You can also choose to have the new category automatically added to all future sites by selecting the **Automatically select new sites as they get created** check box.

**Selection Type.** This property determines whether document creators can assign a document to just one subcategory under this category or to more than one. The default setting is **Single**.

**Constraints.** When the **Document Owner can add subcategories** check box is selected, document owners and proxy authors will have the option to create new subcategories under this category when they create documents.

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

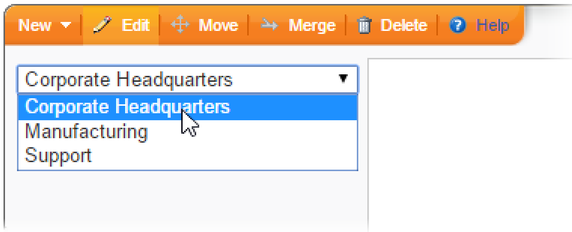
## Adding Subcategories Manually

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

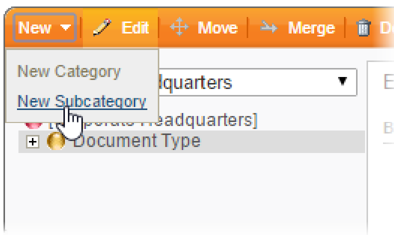
To add a subcategory,

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Categories**.

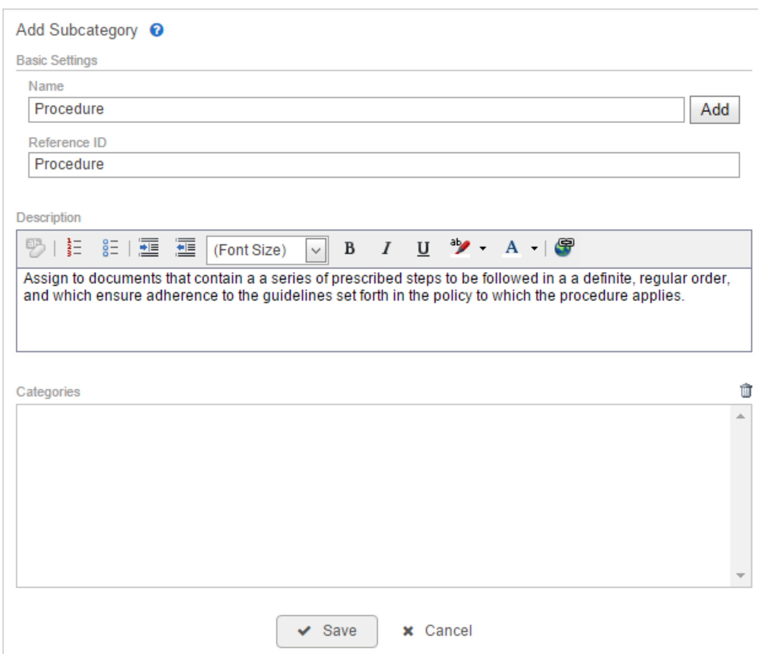

3. If your PolicyTech system has multiple sites, select the site for the category to which you want to add a subcategory.




4. Click the top-level category or subcategory you want to add a subcategory to.
5. Click **New**, and then click **New Subcategory**.



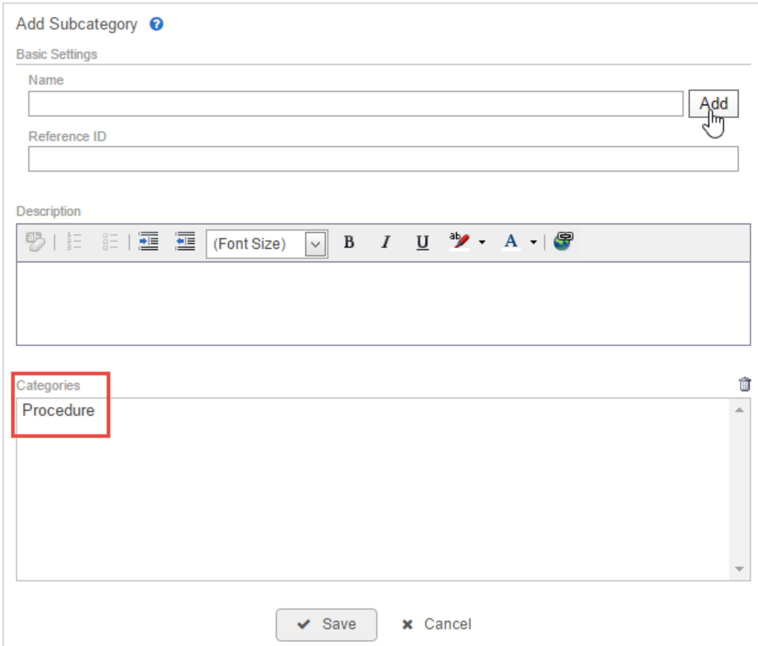

6. Type a subcategory name.




7. By default, 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.
8. (Optional) In the **Description** box, describe the type of document that

should be added to this subcategory.

9. Click **Add**. The new subcategory appears in the **Categories** box.

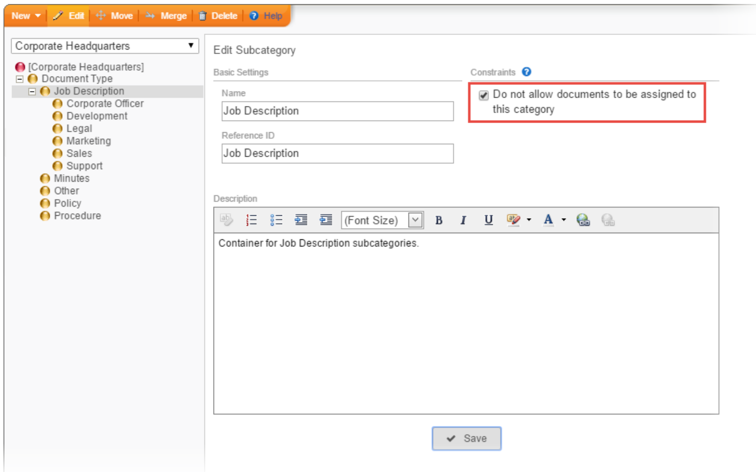



10. (Optional) To create additional subcategories under the same category, repeat steps 6 through 9.

> **Note:** You can click one of the subcategories in the **Categories** box to change that subcategory's properties. When you finish making changes, click **OK** to save them. To delete a subcategory, click it, and then click 🗑.

11. When you're finished adding subcategories, click **Save**.

12. (Optional) Under some circumstances, you may not want a subcategory you've added to be assigned to documents. 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 to documents, find and click the subcategory in the category tree, select the **Do not allow documents to be assigned to this category** check box, and then click **Save**.



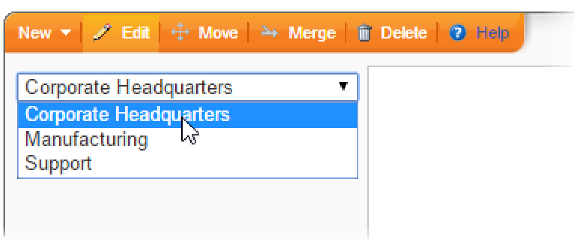

## Importing Subcategories

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

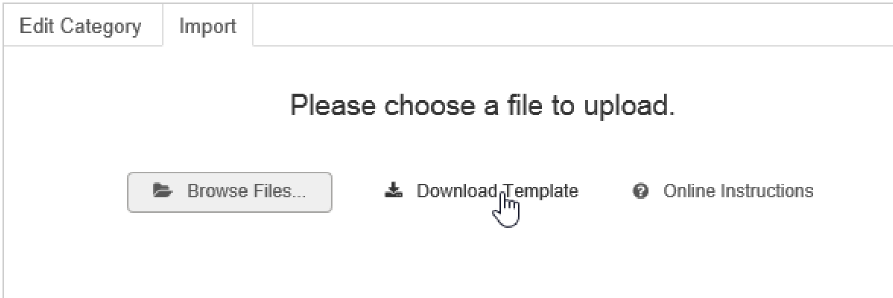
**Important:**

- 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 **PREFERENCES**.
2. Click **Document Setup**, and then click **Categories**.
3. If your PolicyTech system has multiple sites, select the site containing the category you want to add subcategories to.

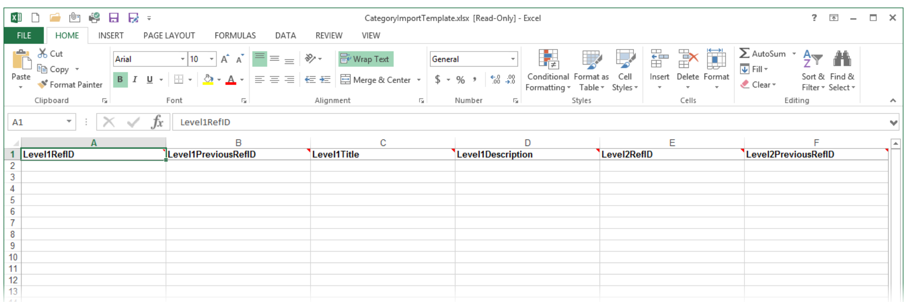



4. Click a category (the target category for the subcategory import).
5. Click the **Import** tab, and then click **Download Template**.




6. 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**.

7. When prompted, open the template and enable it for editing.



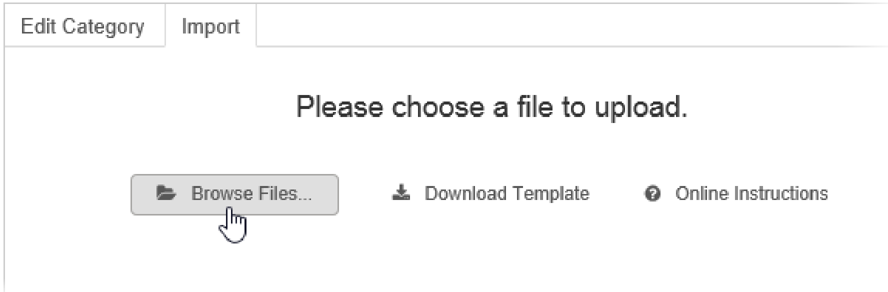

8. Prepare the import spreadsheet (see [Preparing the Import Spreadsheet](#) below for details).

9. Save the spreadsheet in .xlsx (Excel 2007 or later) format.

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

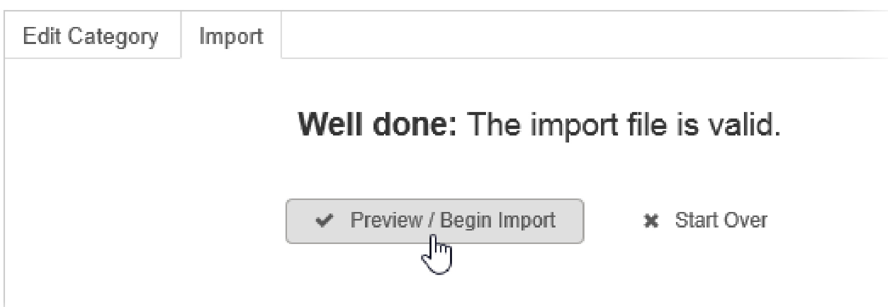
10. Back in PolicyTech, click **Browse Files**, find and select the import spreadsheet file, and then click **Open**.

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

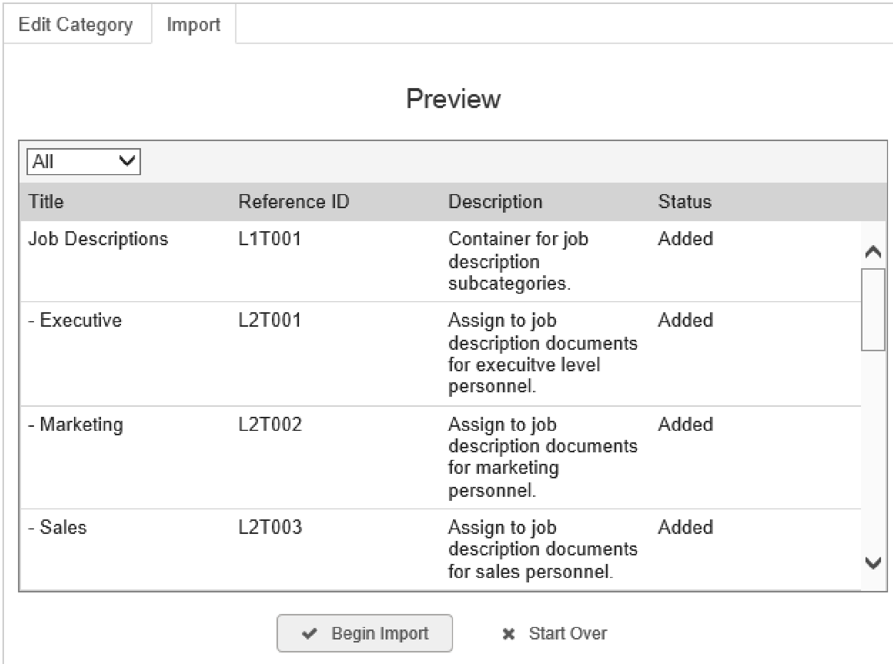



After uploading and analyzing the file, PolicyTech displays the number of issues found.


11. (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.
12. 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.



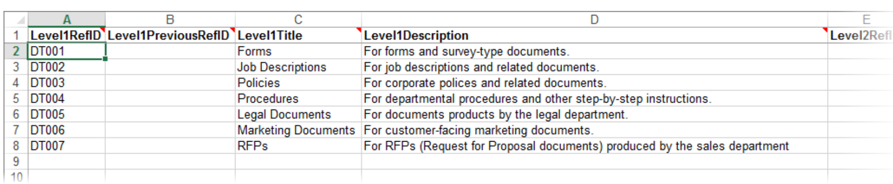

13. Click **Begin Import**.

14. 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 |
|---|---|---|---|---|
| 2 | DT001 | Forms | Forms | For forms and survey-type documents. |
| 3 | DT002 | Job Descriptions | Job Descriptions | For job descriptions and related documents. |
| 4 | DT003 | Policies | Policies | For corporate polices and related documents. |
| 5 | DT004 | Procedures | Procedures | For departmental procedures and other step-by-step instructions. |
| 6 | DT005 | Legal Documents | Legal Documents | For documents products by the legal department. |
| 7 | DT006 | Marketing Documents | Marketing Documents | For customer-facing marketing documents. |
| 8 | DT007 | RFPs | RFPs | For RFPs (Request for Proposal documents) produced by the sales department |

- 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 |
|---|---|---|---|---|---|---|---|---|
| 2 | L1T001 | | Job Descriptions | Container for job description subcategories. | | | | |
| 3 | | | | | L2T001 | | Executive | For executitve level personnel job descriptions. |
| 4 | | | | | L2T002 | | Marketing | For marketing personnel job descriptions. |
| 5 | | | | | L2T003 | | Sales | For sales personnel job descriptions. |
| 6 | | | | | L2T004 | | Legal | For legal personnel job descriptions |
| 7 | | | | | L2T005 | | Development | For development personnel job descriptions. |
| 8 | | | | | L2T006 | | Manufacturing | For manufacturing personnel job descriptions. |
| 9 | | | | | L2T007 | | Human Resources | For human resources personnel job descriptions. |
| 10 | L1T002 | | Policies | Container for policy subcategories | | | | |
| 11 | | | | | L2T101 | | Security | For policy documents dealing with security topics. |
| 12 | | | | | L2T102 | | Human Interaction | For policy documents dealing with human interaction topics. |
| 13 | | | | | L2T103 | | Environment | For policy documents dealing with environmental topics. |
| 14 | | | | | L2T104 | | Safety | For policy documents dealing with safety topics. |
| 15 | | | | | 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

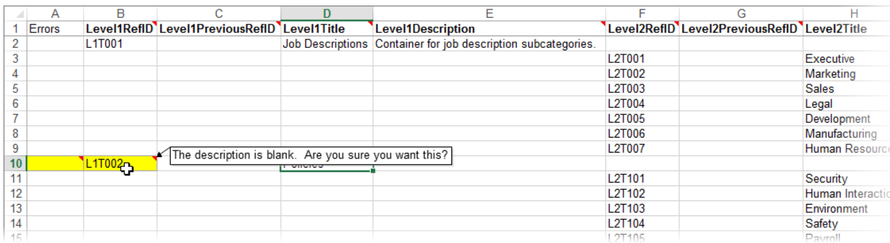
There are three issue levels:

- **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.

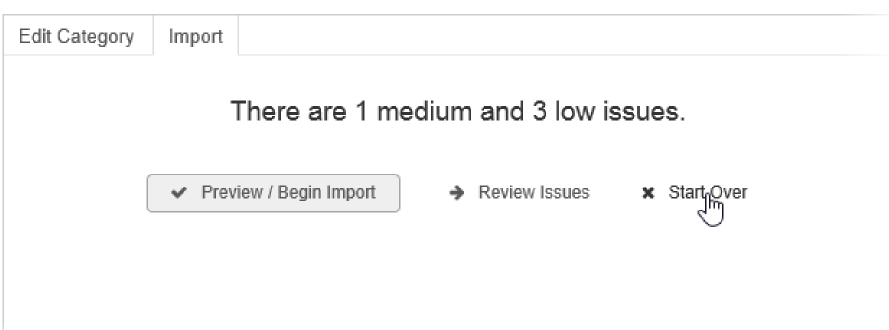
**Important:** Be sure to scan the entire row for colored cells as there may be multiple issues with the same subcategory.




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**.

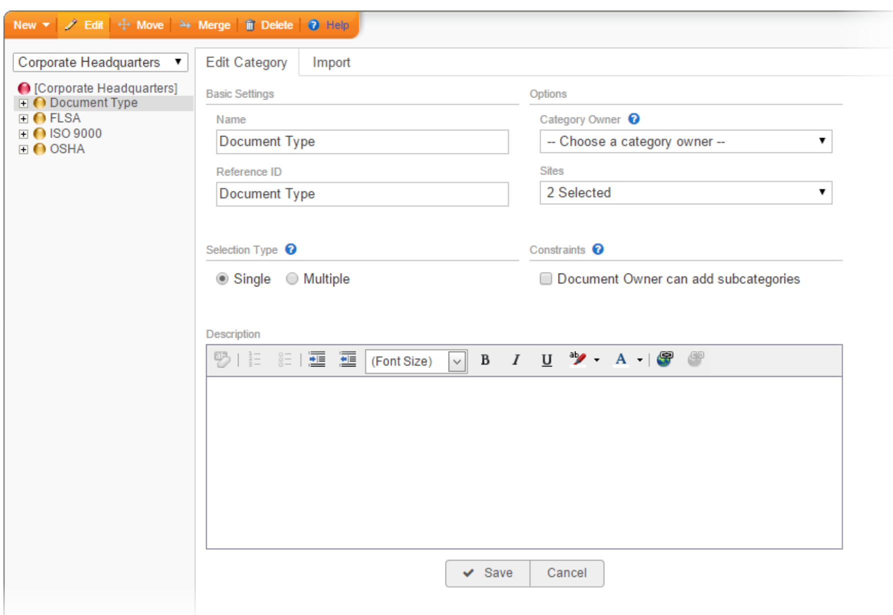


5. Click **Browse Files**, find and select the import spreadsheet file, and then click **Open**.
6. Do one of the following:
   - If there are still issues, click **Review Issues**, open the issues spreadsheet, and repeat the steps above until you are comfortable with the import spreadsheet contents.
   - 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.

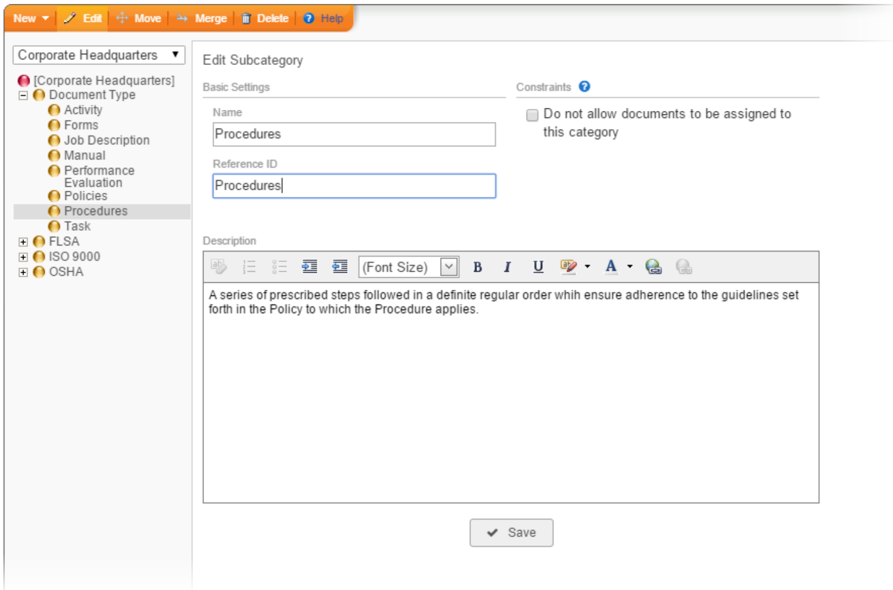
## Editing a Category or Subcategory

To make changes to an existing category,

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Categories**.
3. If your PolicyTech system has multiple sites, select the site containing the category or subcategory you want to edit.
4. Do one of the following:
   - To edit a top-level category, click it to show the **Edit Category** tab.




   - To edit a subcategory, click + before the category, and then click the subcategory to show the **Edit Subcategory** tab.




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

6. Click **Save**.

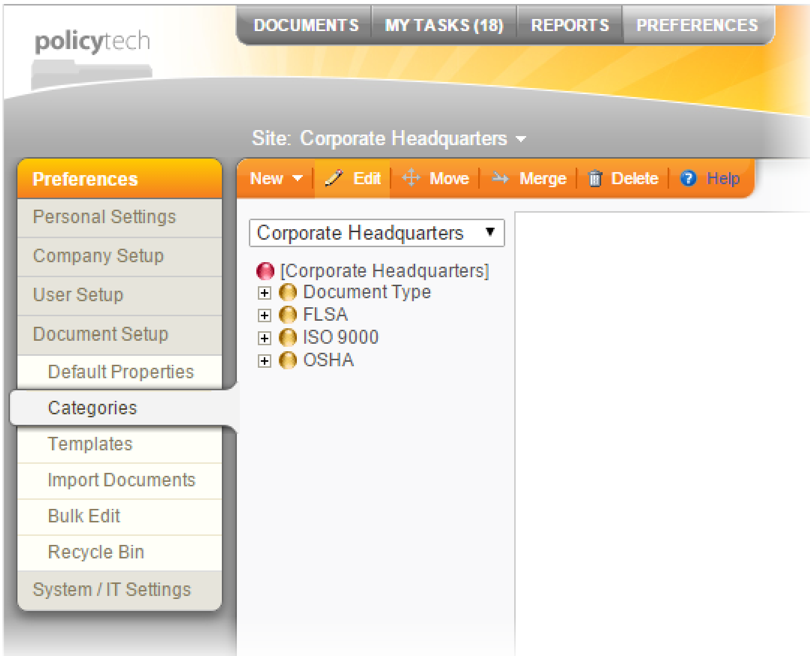
## Moving a Category or Subcategory

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.

To move a category,

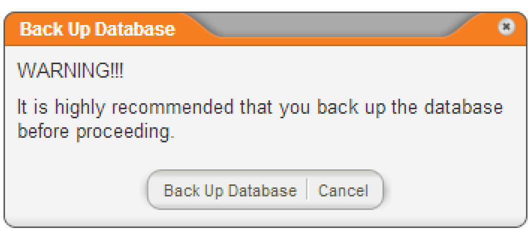
1. Click **PREFERENCES**.

2. Click **Document Setup**, and then click **Categories**.

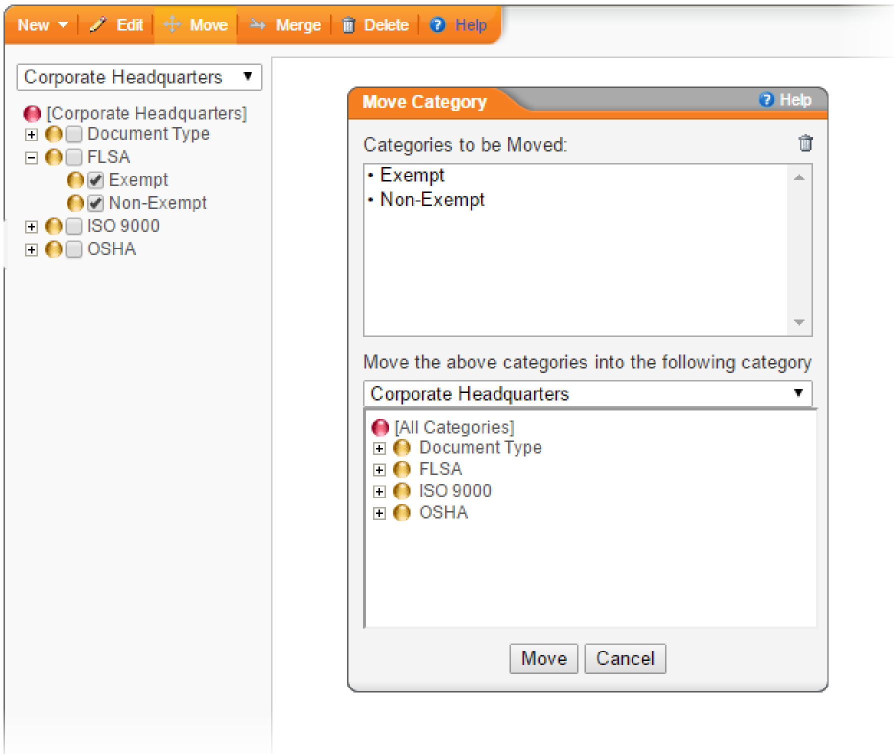



3. Click **Move**.

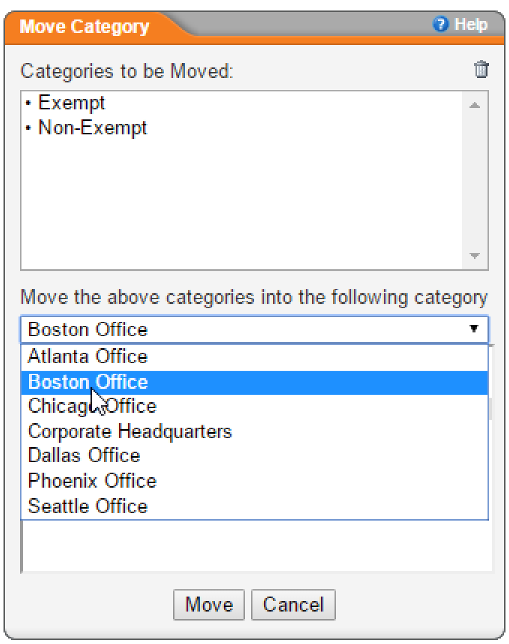
4. Depending on whether your PolicyTech system is hosted or installed on your organization's premises, one of the following two warnings appears. Either click **Continue** to clear the message, or click **Backup Database**, click **OK**, and then, when the backup is complete, click **Close**.

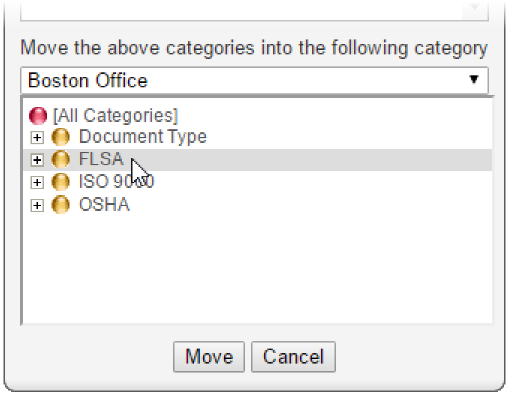

5. Find and select the check boxes of one or more categories you want to move to the same location. Each category you select is added to the **Categories to be Moved** box.




6. If your PolicyTech system has multiple sites and you plan to move the selected categories or subcategories to a different site, select that site.




7. In the bottom box, click the category or subcategory you want the selected categories to be moved under.




8. Click **Move**.
9. A message appears indicating whether the move was successful. If the move could not be completed, the message explains why. Click **OK** to clear the message.
10. If the move was not successful, follow the instructions in the Finding Category Assignments section, and then try to move the categories again.

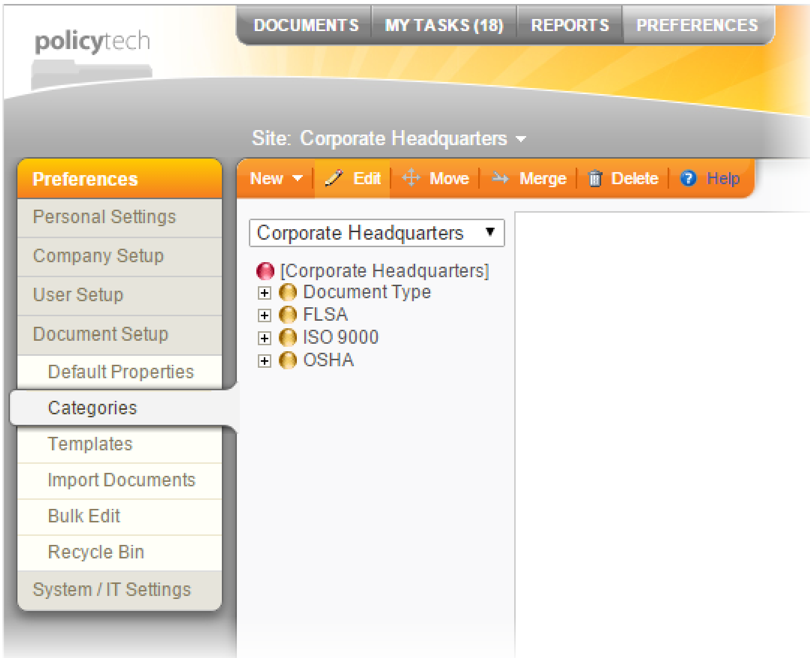
## Merging Categories or Subcategories

When merging one or more categories into another category (the target category), all of the subcategories assigned to the categories to be merged will be reassigned to the target category. The categories to be merged will be deleted, with the target category remaining.

**Important:** A category that is merged into another is not placed in the **Recycle Bin** 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 (see step 4 below).

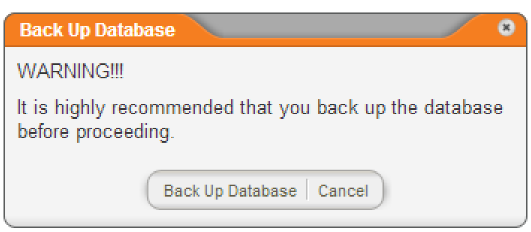
To merge categories,

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Categories**.

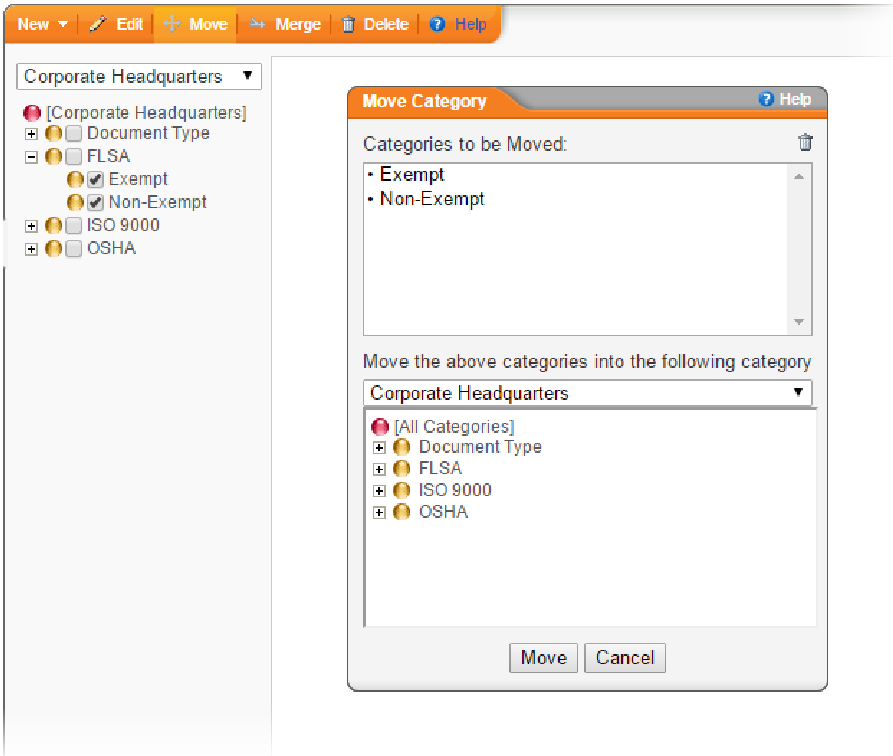



3. Click **Merge**.

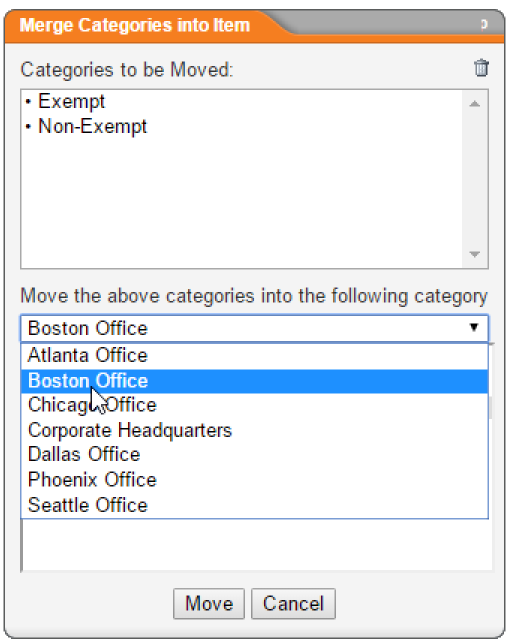
4. Depending on whether your PolicyTech system is hosted or installed on your organization's premises, one of the following two warnings appears. Either click **Continue** to clear the message, or click **Backup Database**, click **OK**, and then, when the backup is complete, click **Close**.

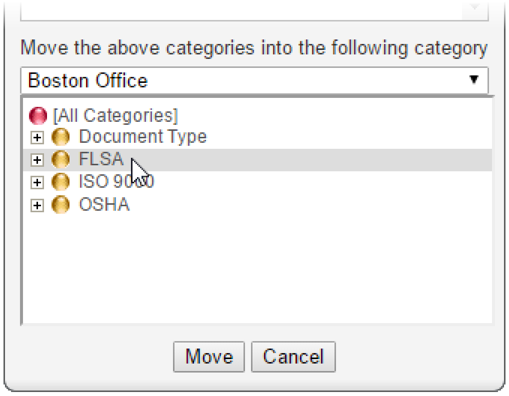

5. In the category list on the left, select the check boxes for one or more categories or subcategories to be merged.




6. If your PolicyTech system has multiple sites and you plan to merge the selected categories or subcategories into a category or subcategory at a different site, select that site.




7. Navigate to and click the category or subcategory you want the selected categories to be merged into.




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

9. (Conditional) If the merge was not successful, address the issues shown in the merge status message, and then try to merge the categories again.

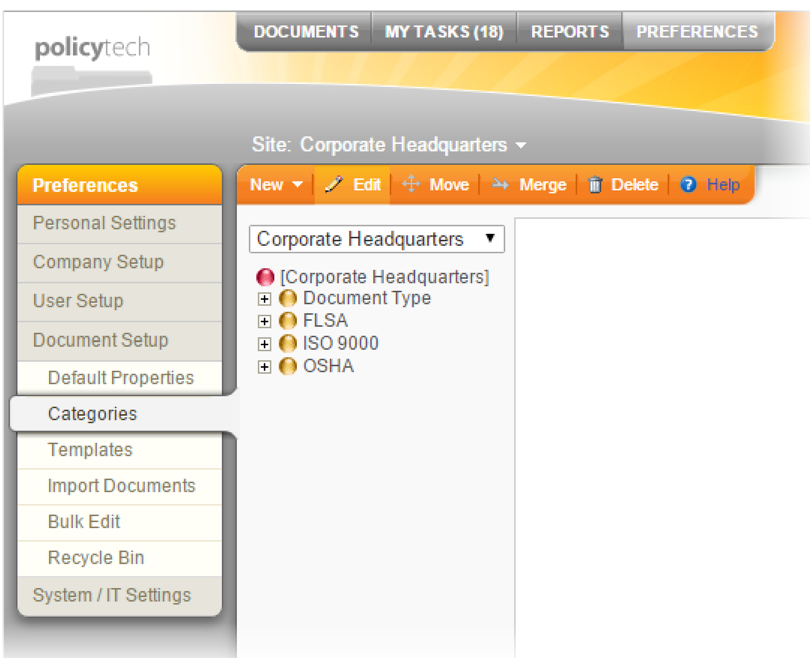
### Deleting Categories or Subcategories

Before you can delete 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.

To delete a category or subcategory,

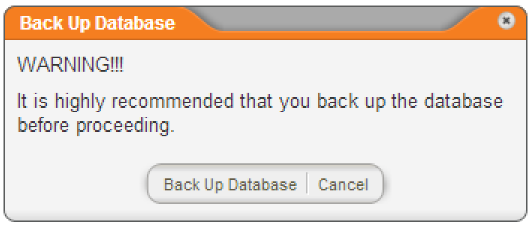
1. Click **PREFERENCES**.

2. Click **Document Setup**, and then click **Categories**.



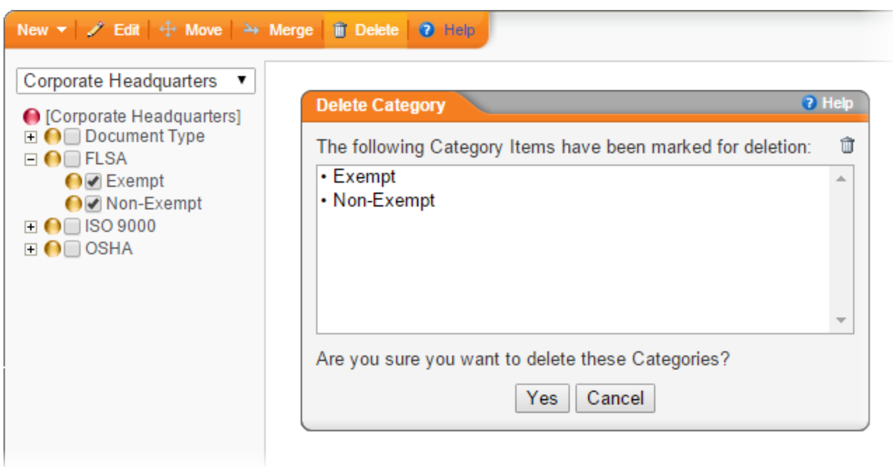

3. Click **Delete**.

4. Depending on whether your PolicyTech system is hosted or installed on your organization's premises, one of the following two warnings appears. Either click **Continue** to clear the message, or click **Backup Database**, click **OK**, and then, when the backup is complete, click **Close**.


5. Select the check boxes of one or more categories or subcategories you want to delete, and then click **Yes**.

**Important:** You cannot delete a category or subcategory that has any subcategories under it. Delete all subcategories below a category or subcategory before attempting to delete it.




6. A message appears indicating whether the deletion was successful. If the deletion could not be completed, the message explains why. Click **OK** to clear the message.

7. If the deletion was not successful, follow the instructions in the Finding Category Assignments section below, and then try to delete the categories again.

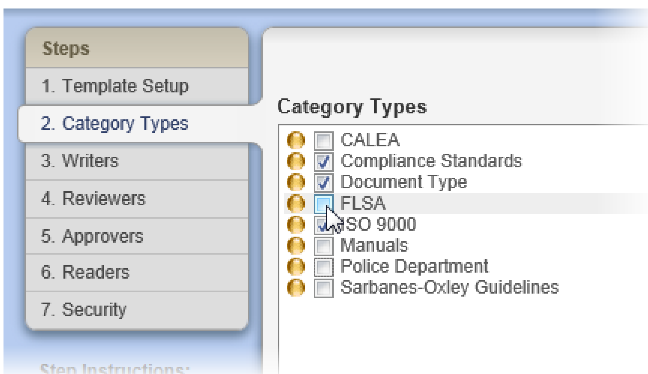
## Finding Category Assignments

Depending on your PolicyTech™ configuration, discovering what documents are assigned to a category can be quite a complex process. The steps below offer one systematic way to find all templates and documents assigned to a specific category.

### Removing Categories From Templates

To make sure no templates are using a specific category,

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Templates**.
3. Click the first template in the list to open it.
4. On the **Properties Wizard** tab, click **2. Category Types** to display the list of all top-level categories.
5. Find the top-level category that contains or is the same as the category you want to delete. If the category is selected, click to clear its check box.

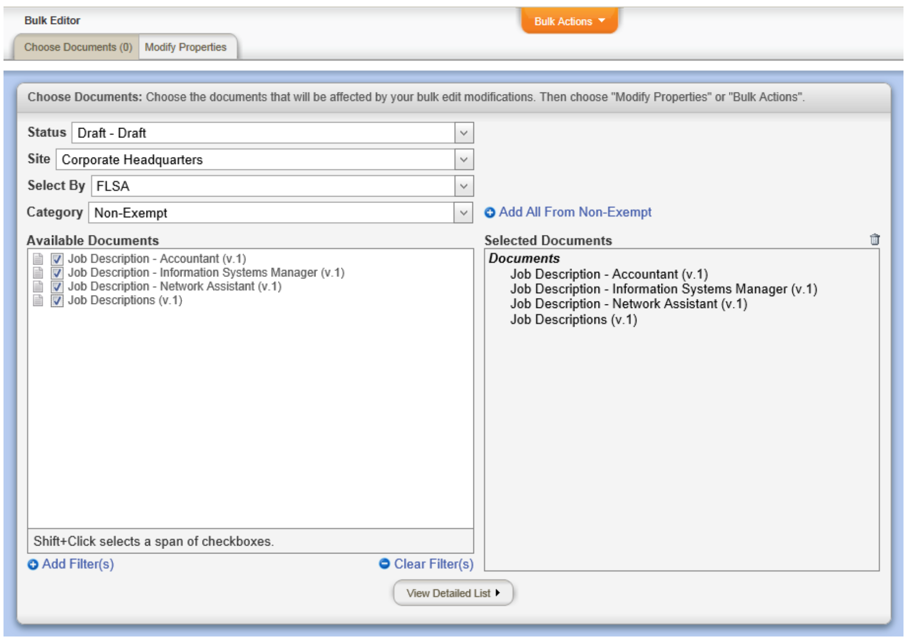



6. Click **Save and Close**.
7. Repeat steps 3-6 with each remaining template in the list.

### Removing Categories From Documents

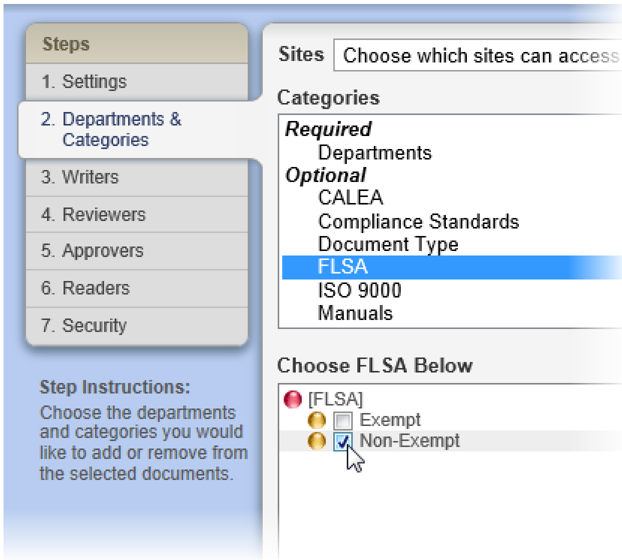
1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Bulk Edit**.
3. A warning appears recommending that you back up the database before making changes with **Bulk Edit**. Click **Backup Database**, and then click **OK**. When the backup is complete, click **Close**.
4. Click **Launch Bulk Edit** to open the **Bulk Editor** in a separate window.
5. In the **Choose Documents** tab, in the **Status** list, click the status of the documents you want to check. (Each status must be selected separately.)

6. In the **Site** list, click a site containing the documents you want to check. (Each site must be selected separately.)
7. In the **Select By** list, click the top-level category that contains or is the same as the category you want to unassign.
8. In the **Category** list, click the category you want to unassign.
9. To select all the documents that match the status, site, and category you selected, select the check box for the first document in the list, and then hold down the Shift key while selecting the check box for the last document in the list. All the documents should now appear in the **Selected Documents** list.

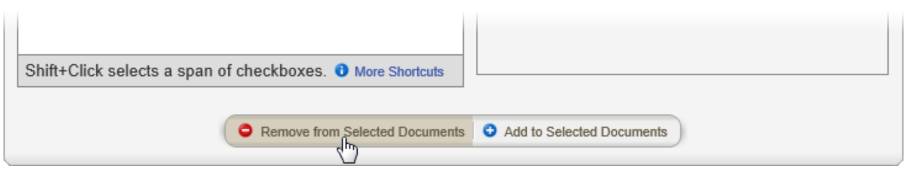



10. Click the **Modify Properties** tab.
11. Click **2. Departments & Categories**.
12. In the **Categories** box, click the top-level category that contains the category you want to unassign.
13. In the **Choose** box, select the check box for the category you want to unassign.

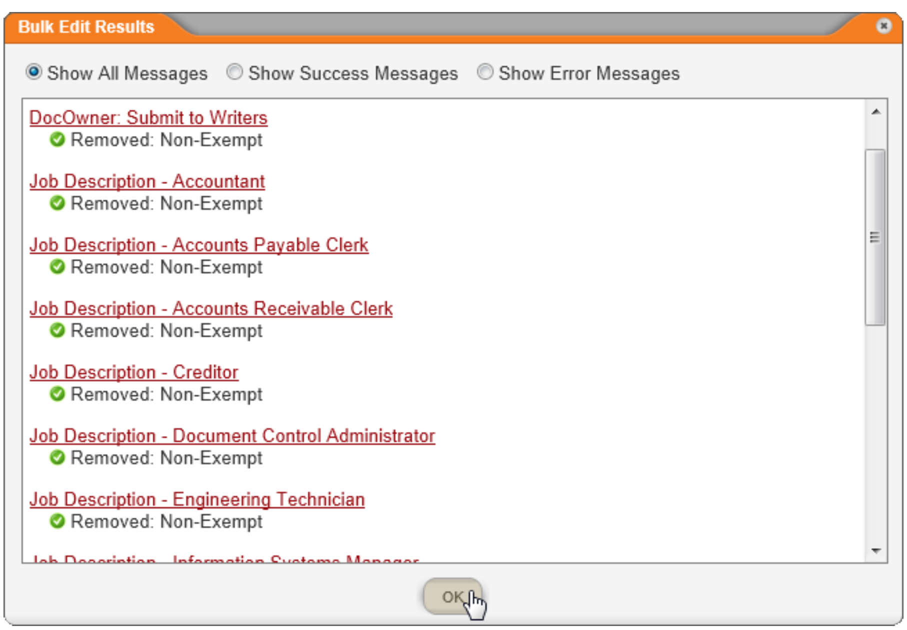
**Note:** If you need to unassign multiple sub-categories under the same parent category, and the parent category has been set to allow only one subcategory selection at a time, you will need to select each category individually to unassign it.




14. Click **Remove from Selected Documents** near the bottom of the **Bulk Editor**.




15. You should now see the **Bulk Edit Results** window with details of what was done to each document in the list. Click **OK** to close the window.



16. 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. You can create any number of templates for the different types of documents your organization creates. Within each template, you can set nearly all the same properties and make all the same assignments that a document owner can when creating a new document.

In a template you can preset a few document properties and pre-assign writers, reviewers, approvers, and readers as either optional or required. The document owner can change optional settings and assignments but cannot change or remove required ones.

**Note:** The only template settings that can be locked are **Email Notifications** and **Editing Document**.

You can also add document content, such as an outline or form, and default formatting.

Go to one of the following topics for instruction on creating, editing, or deleting a template.

Creating a Template

Editing a Template

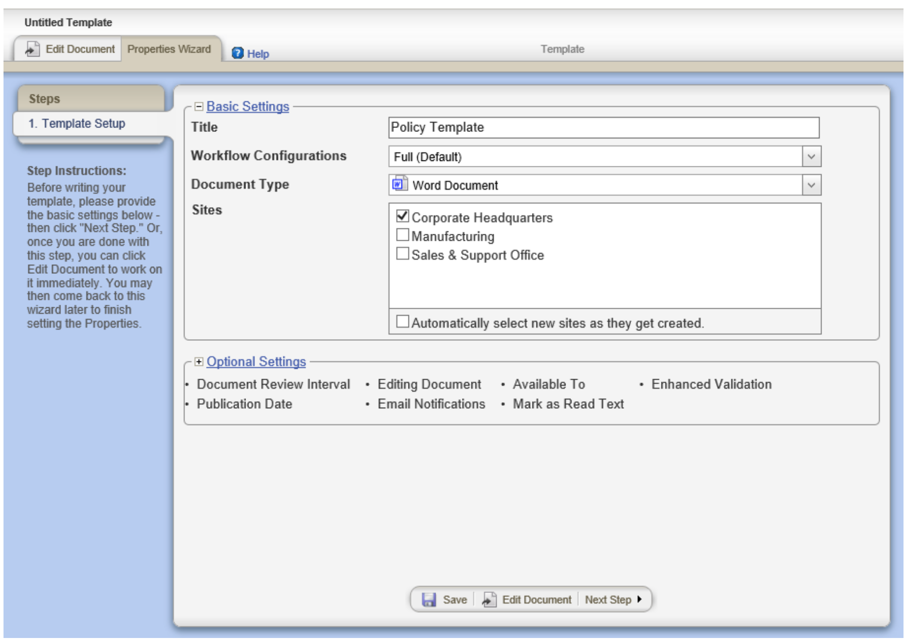
Deleting a Template

### Creating a Template

The following steps provide an overview of the template creation process and references to more detailed instructions.

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Templates**.
3. Click **New Template**.


4. On the **Template Setup** page, type a title.



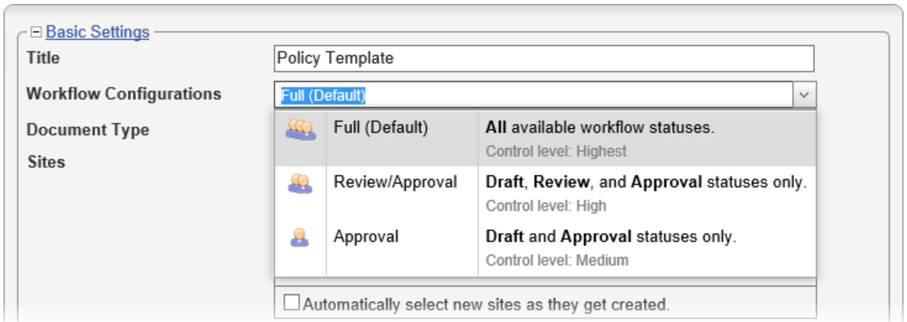

5. For **Workflow Configurations**, select one of the following options:

   - **Full (Default):** Includes all available workflow steps—draft, collaboration (for assigning writers), review, and approval—leading up to a document being published.

   - **Review/Approval:** Eliminates the collaboration step for documents based on this template.

- **Approval:** Eliminates both the collaboration and review steps for documents based on this template.

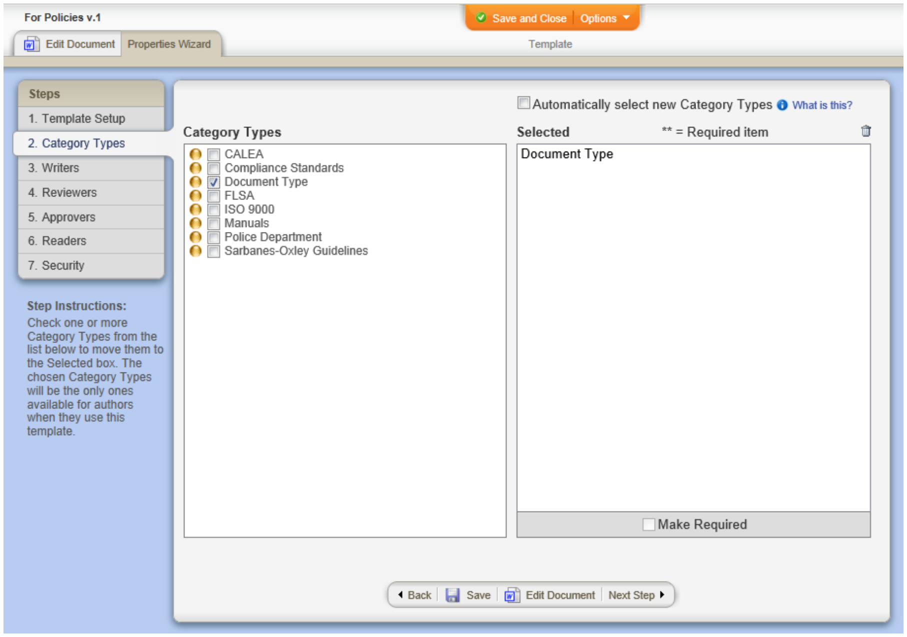
**Note:** Document owners can choose to skip the collaboration and review steps, even when they are included in the template. The draft and approval steps are always mandatory.




6. For **Document Type** box, click **Word Document**, **HTML Document**, **Excel Spreadsheet**, or **Upload a File**.
7. In the **Sites** list, click the sites you want to have access to this template.
8. (Optional) If this template is one you want all sites that might be created in the future to have access to, select the **Automatically select new sites as they get created** check box.
9. Click **Save** to display the remaining workflow steps and enable the **Edit Document** tab.

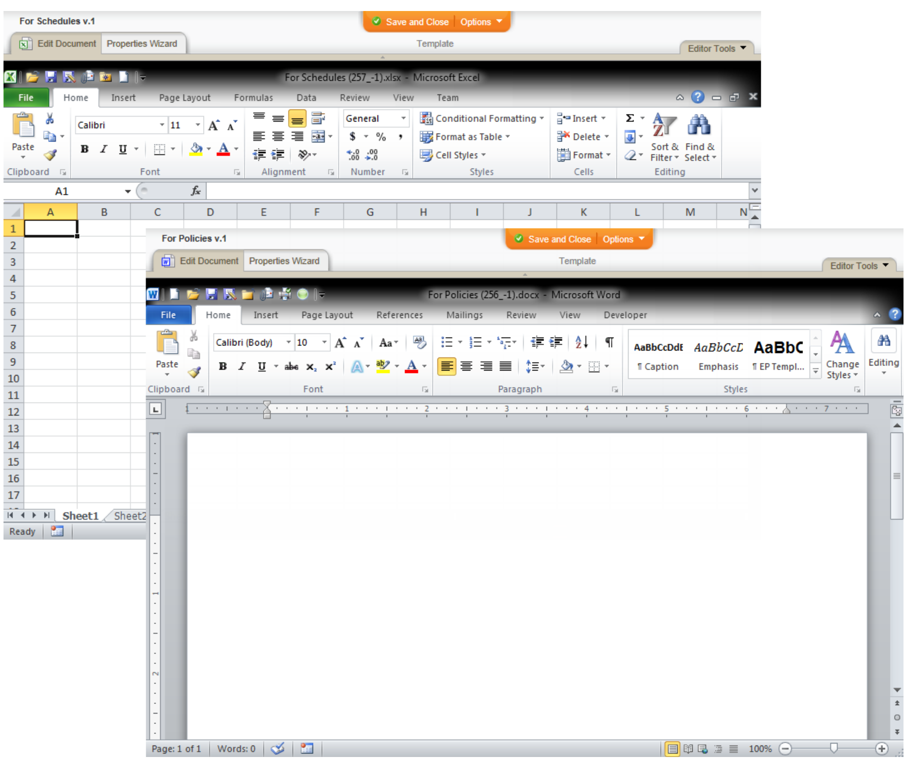
**Important:** You must at least type a title and then save the template before you can see the remaining **Properties Wizard** steps and edit the template contents.

10. (Optional) See Assigning Template Properties for instructions on configuring **Optional Settings** for step 1 and working through the remaining steps.

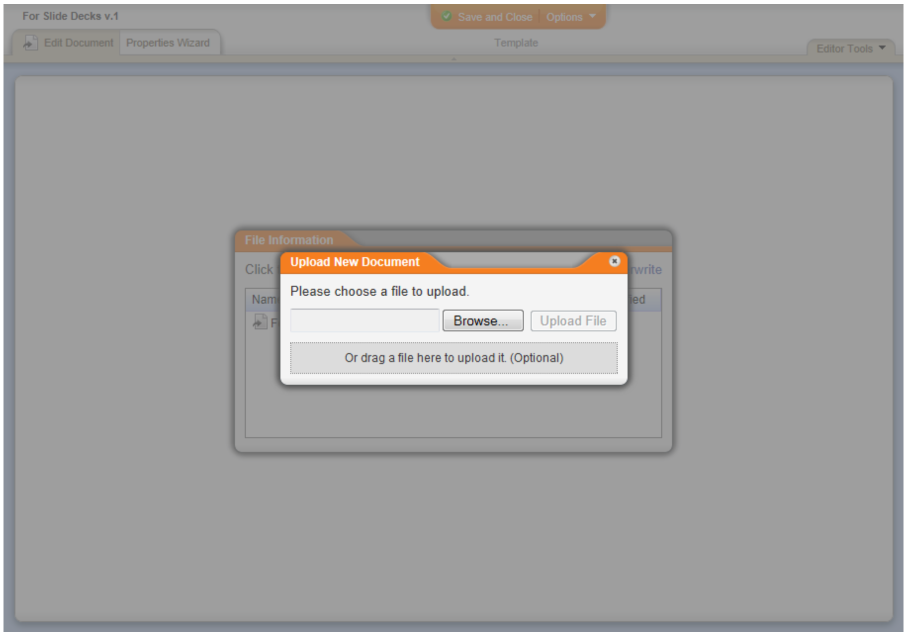



11. (Optional) Click **Edit Document**, and then do one of the following, depending on the document type you chose earlier:

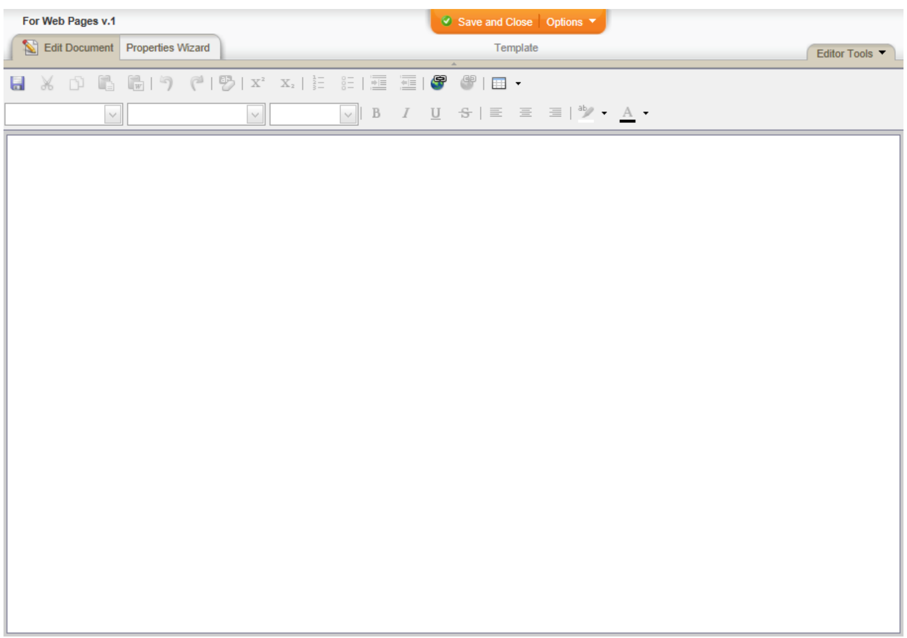
   - **Word Document or Excel Spreadsheet:** add, format, and edit the content (see [Adding Content to a Word or Excel Template](#)).



- **Upload a File:** follow the prompts to upload a document file into PolicyTech™ (see Adding Content to an Upload File Template).




- **HTML Document:** add, format, and edit the content (see Adding Content to an HTML Template).




12. Click **Save and Close**.

## Assigning Template Properties

The **Properties Wizard** breaks up property assignment for a template into the following seven steps. Each step is described in the sections that follow.

**Note:** You will most likely not need to perform all seven steps for every template you create.

Step 1: Set the template's critical properties (**Title**, **Document Type**, **Sites**) and other optional properties (**Document Review Interval**, **Warning Period**, **Publication Date**, **Email Notifications**, **Editing Document**, **Available To**, and **Mark as Read Text**).

Step 2: Assign departments and categories for any documents created from this template.

Step 3: Assign the writers who will collaborate on writing any document created from this template.

Step 4: Assign the users who will review any document created from this template.

Step 5: Assign the users who will approve any document created from this template.

Step 6: Assign the users who will be required read each document created from this template.

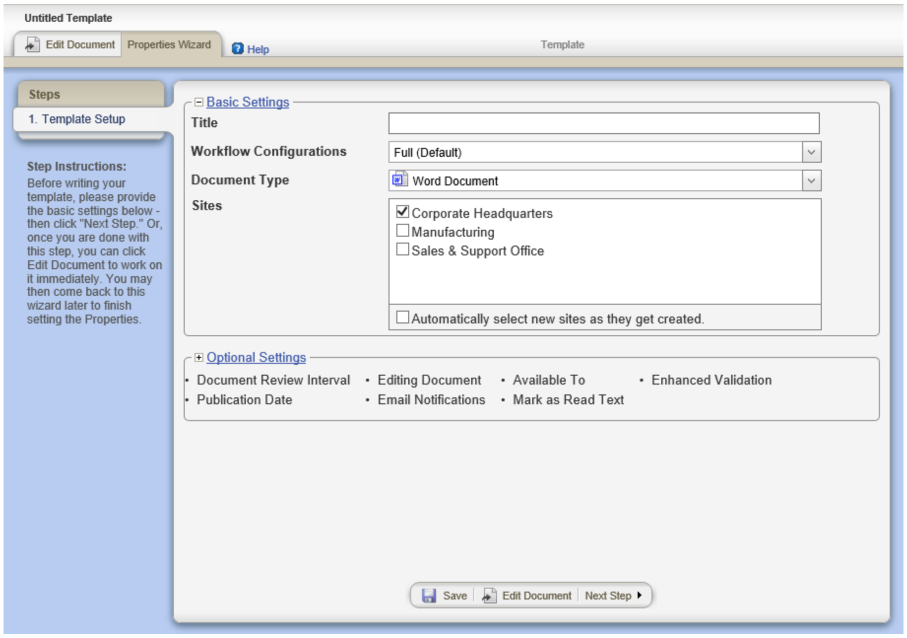
Step 7: Set the security level for any document created from this template.

### Step 1: Template Setup

1. If you have not already started a new template, click **PREFERENCES**, click **Document Setup**, and then click **New Template**.

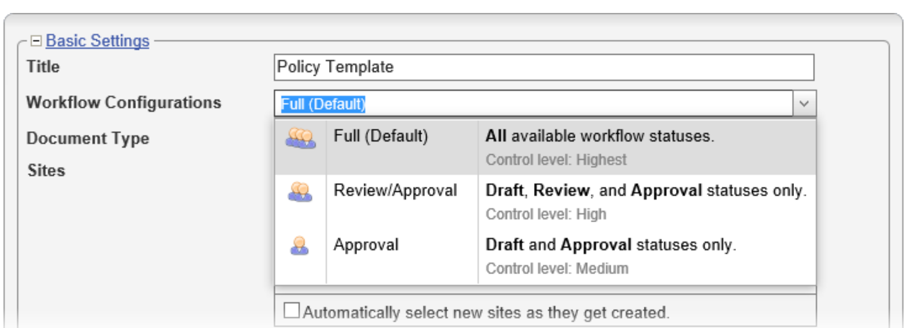
   The new template opens with only the first step of the **Properties Wizards**, called **Template Setup**, displayed.

Screenshot...




2. Type the template title, keeping in mind that document owners will have to select this template from a list when creating a document.
3. For **Workflow Configurations**, select one of the following options:
   - **Full (Default):** Includes all available workflow steps—draft, collaboration (for assigning writers), review, and approval—leading up to a document being published.
   - **Review/Approval:** Eliminates the collaboration step for documents based on this template.
   - **Approval:** Eliminates both the collaboration and review steps for documents based on this template.

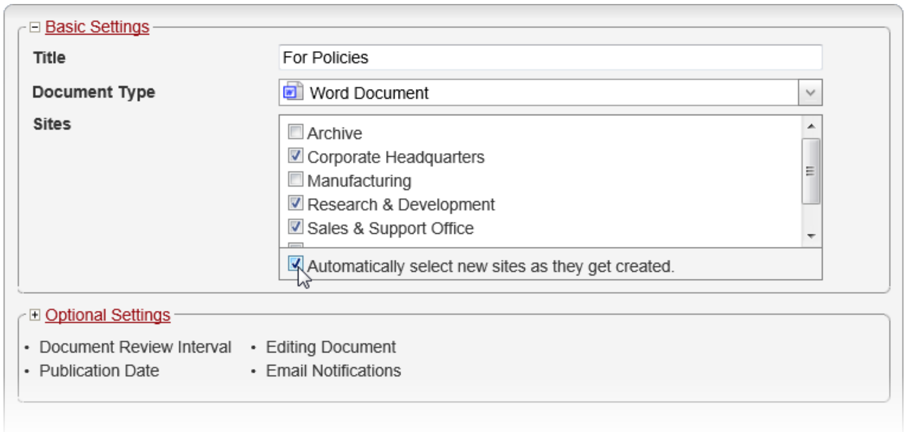
**Note:** Document owners can choose to skip the collaboration and review steps, even when they are included in the template. The draft and approval steps are always mandatory.



4. For **Document Type** box, click **Word Document**, **HTML Document**, **Excel Spreadsheet**, or **Upload a File**.
5. In the **Sites** list, click the sites you want to have access to this template.

**Note:** Your own default site is automatically selected, but you can click to clear its check box as long as at least one other site is selected.

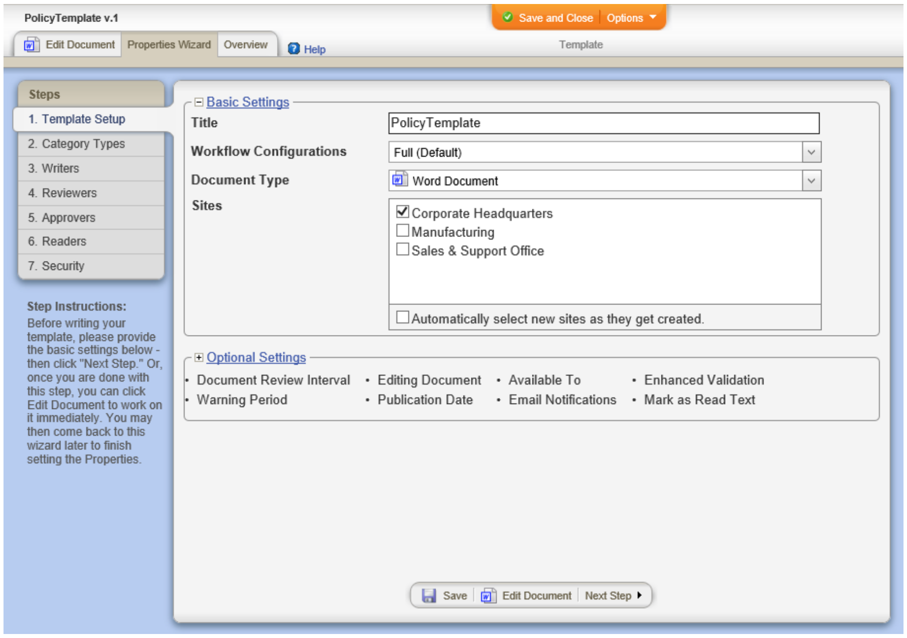
6. (Optional) If this template is one you want all sites that might be created in the future to have access to, select the **Automatically select new sites as they get created** check box.




6. Click **Save**.

**Important:** You must save the template at this point before you can access **Optional Settings** and the other six **Properties Wizard** steps.

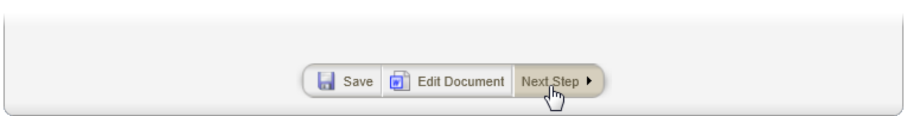
You should now see the **Properties Wizard** steps for the selected workflow configuration. (The screenshot below shows the steps for the **Full** workflow configuration.)



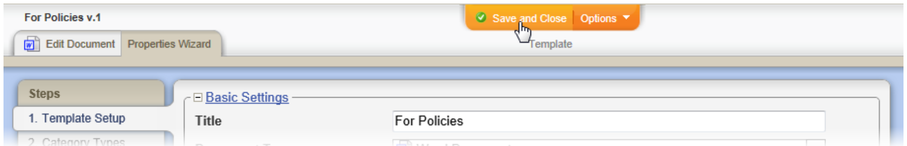
7. (Optional) Click **Optional Settings**, and then change one or more settings. See Optional Template Settings below for details on each setting.

8. Do one of the following:

   - To continue with assigning properties, click **Next Step**, and then go to Step 2: Category Types (Template) in this guide.



   - 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**. (When you are ready to continue with assigning properties, if the template is still open click **Properties Wizard**,or go to Editing a Template if you need to reopen it.)

### *Optional Template Settings*

**Important:** When creating a new document using this template, a document owner can change any of the following settings, except **Email Notifications** and **Editing Document** if you lock them.

Document Review Interval

Warning Period

Publication Date

Email Notifications

Enhanced Validation

Editing Document

Available To

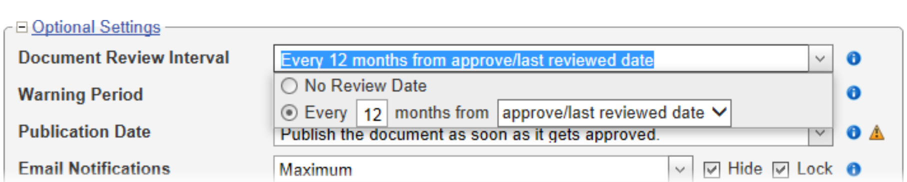
Mark as Read Text

#### *Document Review Interval*

When a review interval is set, any document created from this template will come due for review after the specified interval has past. The document owner receives an email and PolicyTech™ task as the review date approaches (see the next setting section—"Warning Period"—for details on when the document owner receives notification).

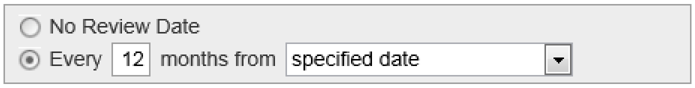
**Note:** To change the default document review interval for all new templates, see Default Document Properties.

1. In the **Document Review Interval** list, 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 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 document owner will select when using this template for a new document.




- Click **No Review Date**.

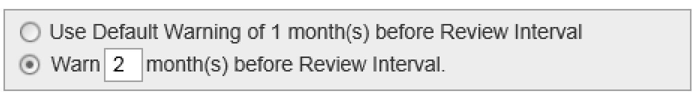
2. Click anywhere outside the **Document Review Interval** menu to close it.

***Warning Period***

Use this setting to change when the document owner receives notification that the next review due date is approaching.

> **Note:** To change the default document warning period for all new templates, see Default Document Properties.

1. Click the **Warning Period** box, and then 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 becomes available to readers.

1. To change the current selection, click the **Publication Date** box, and then do one of the following:
   - Click **Publish the document as soon as it gets approved**.
   - Click **Wait until specified date**, which the document owner will select when using this template for a new document. Also, select the **Require reading before publication** check box if you want the notification sent as soon as the document is approved. Assigned readers can then access the document during the interval between approval and publication (the pending status).

**Notes:**

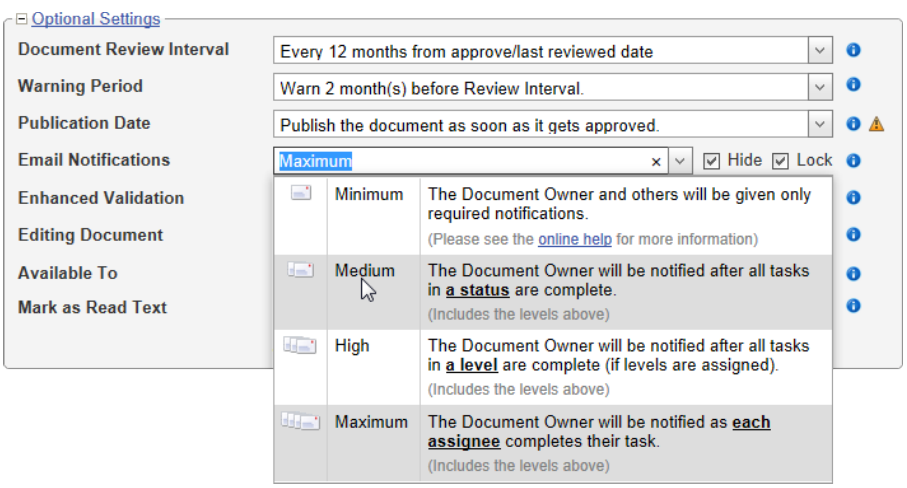
- If the document is approved after the specified publication date, it will be published immediately.
- Users who mark the document as read before the publication date will not be required to read it again when it is published.


2. Click anywhere outside the **Publication Date** menu to close it.

***Email Notifications***

Use this setting to change how many events will trigger an email notification to document assignees.

1. In the **Email Notifications** list, click a notification level. See "Email Notification Levels" in the User's Guide for a detailed description of each level.




2. By default, the **Email Notifications** 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 **Email Notifications** 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.

***Enhanced Validation***

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 "Optional Document 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***

1. In the **Editing Document** list, 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.
- A user's operating system (Windows or Mac OS) controls what program a document is opened in by default.
- When using a Mac computer, all documents, including Word and Excel documents, can only be opened outside of the browser.

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:

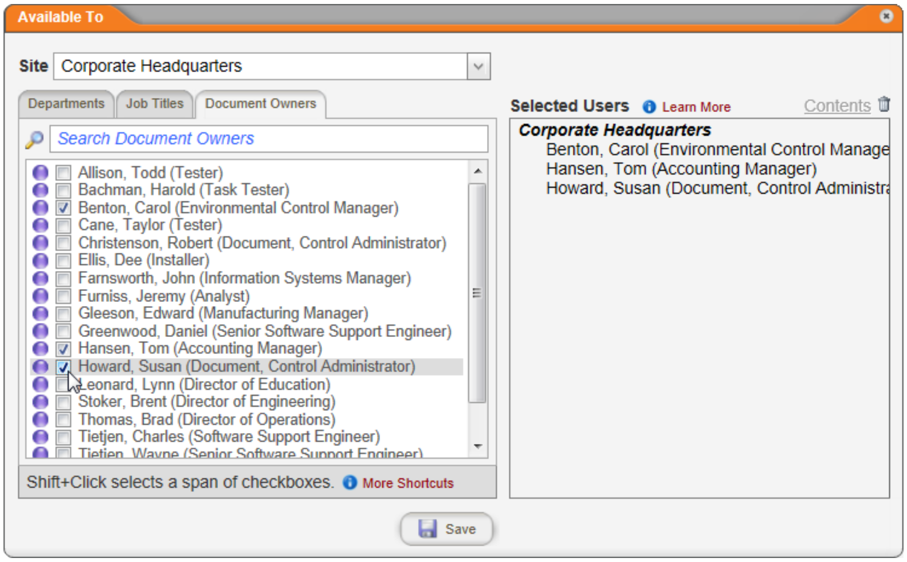
- **Users with Document Owner Role (the default setting):** Any user assigned the document owner role will be able to see a document created with this template while it is in any workflow status (draft, collaboration, review, approval, pending, and published) as long as the document is assigned to a site and department the document owner has access to.
- **Custom Selection (Document Owners):** Besides the assigned document owner, only the document owners you specify can access the document.

To select document owners,

1. In the **Available To** list, click **Custom Selection (Document Owners)**, and then click **Select Users**.
2. In the **Site** list, click the site containing the document owners you want to give access to this template.
3. Do any of the following to select document owners:

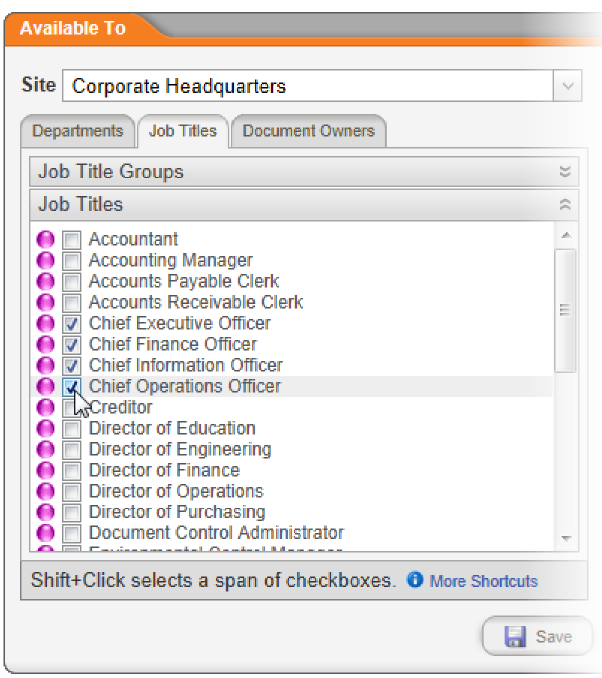
   - By default, a list of all document owners within the currently selected site is displayed. Select the check boxes of one or more document owners.

**Note:** Clicking a document owner's name shows information about that document owner.




**Important:** The remaining entities that you can assign have special properties. If you assign a job title or department, or a group of job titles or departments, all document owners, and only document owners, with those job titles or within those departments will be given access to documents created from this template. If document 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 the check boxes of one or more job titles.



- Click the **Job Titles** tab, and then click the **Job Title Groups** heading. Select the check boxes of one or more job title groups.
- Click the **Departments** tab.In the **Departments** list (displayed by default), select the check boxes of one or more departments.
- Click the **Departments** tab, and then click the **Department Groups** heading. Select the check boxes of one or more job title groups.

4. Click **Save**.

#### ***Mark as Read Text***

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.

To replace the default text, click inside the **Mark as Read Text** box, and then type the replacement 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.

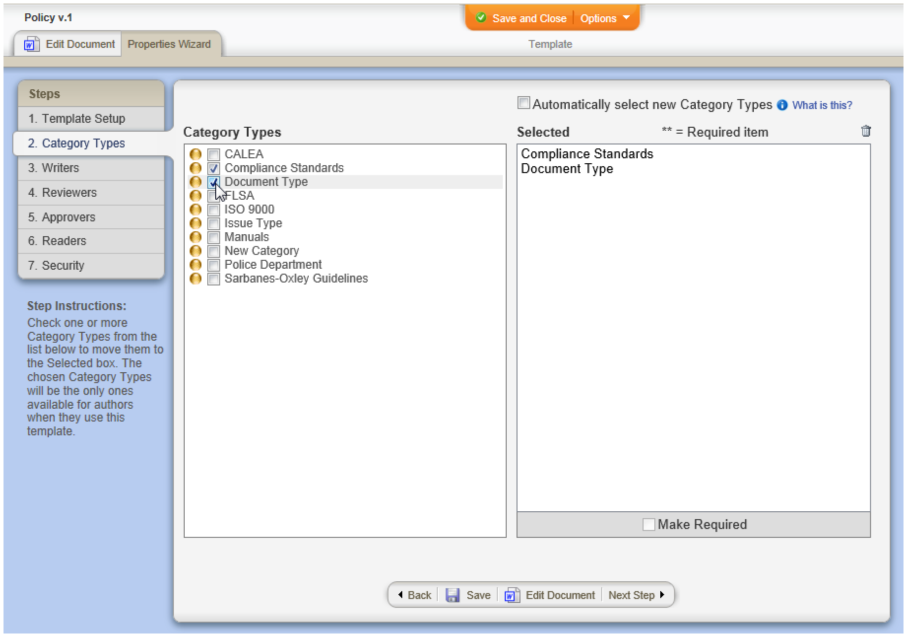
### Step 2: Category Types (Template)

**Important:** This step is completely optional. However, document owners can only assign categories within the category types you add here. For example, if you assign no category types, a document owner creating a document using this template cannot assign any categories.

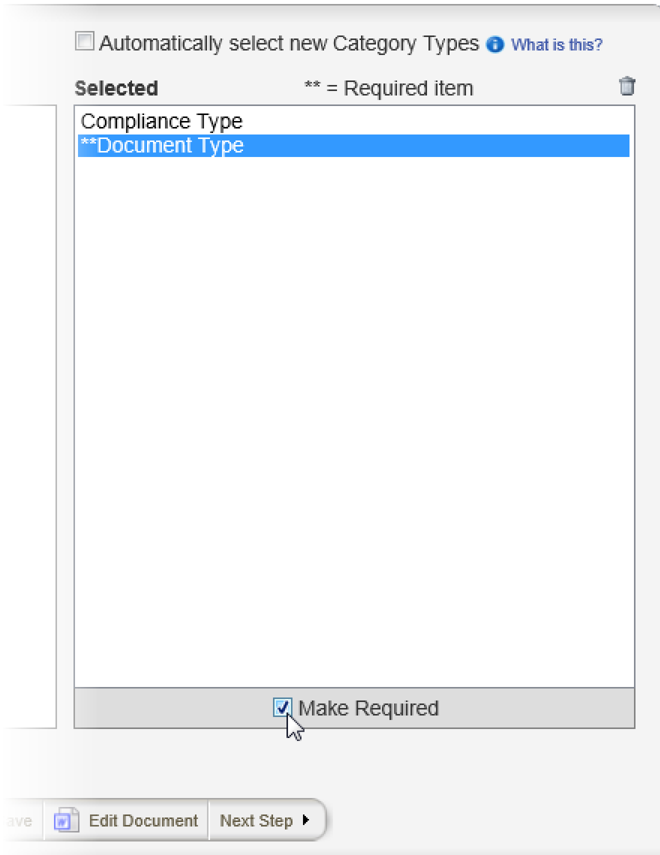
1. In step **2. Category Types**, select the top-level categories you want to assign. Your selections appear in the **Selected** box.

**Notes:**

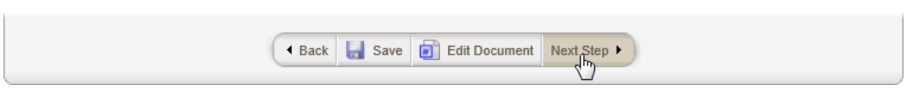
- You can only select a top-level category, from which the document owner using the template can select one or more subcategories.
- To remove a category type from the **Selected** box, click it, and then click .



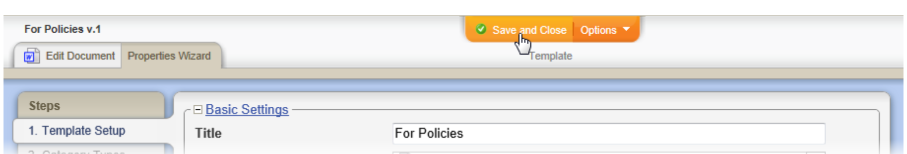

2. (Optional) The category types you've added are optional, and the document owner can treat them as suggestions. To make a category type required, in the **Selected** box, click the category type, and then click **Make Required**. The two asterisks indicate that the category is required. Document owners using this template must now select one or more categories of that type.




3. (Optional) Above the **Selected** box, click **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 Step 3: Collaboration (Template) in this guide.




   - 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**. (When you are ready to continue with assigning properties, if the template is still open click **Properties Wizard**,or go to Editing a Template if you need to reopen it.)

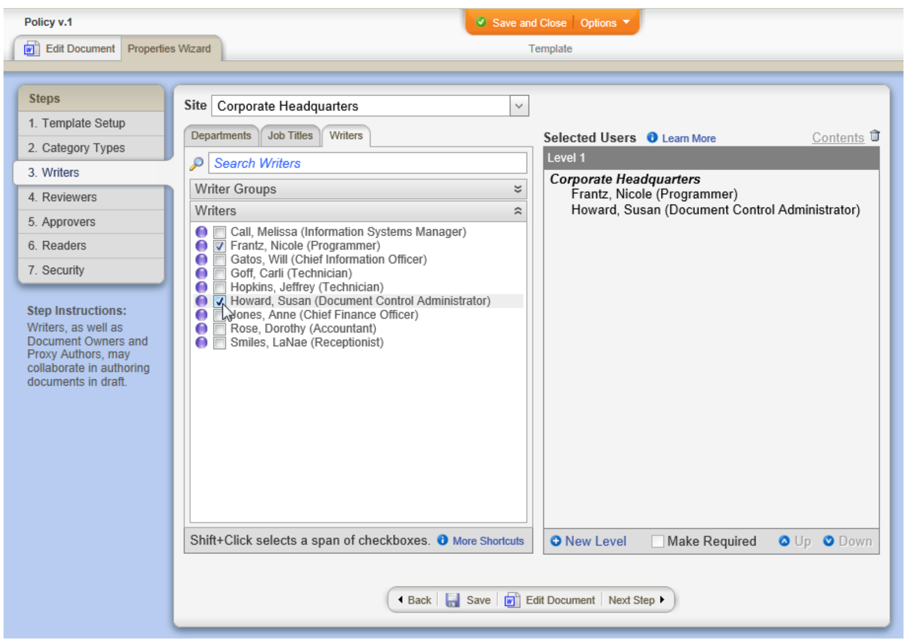
### Step 3: Collaboration (Template)

**Important:** This step is completely optional.

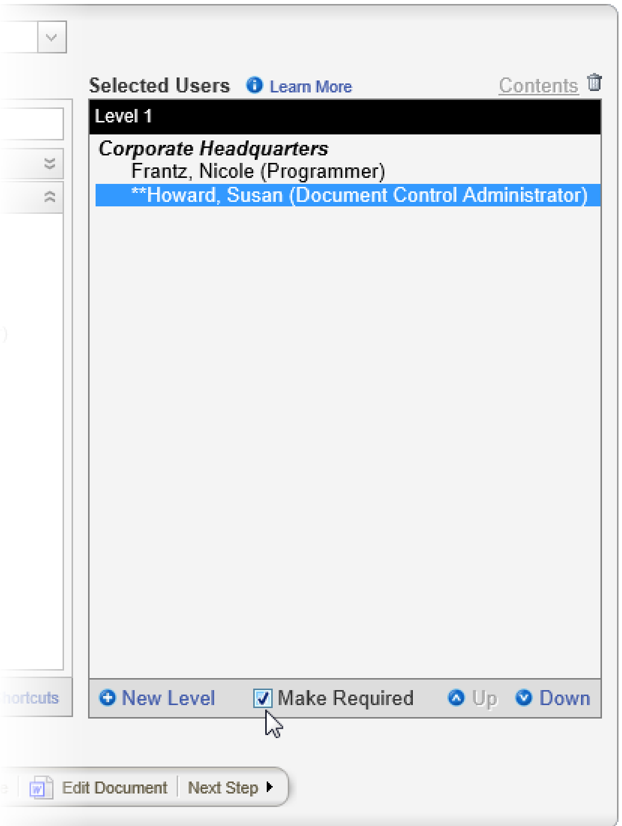
Use this step to assign optional or required writers to the template.

1. In the **Site** list, click a site containing one or more writers you want to assign.
2. When you first access step **3. Collaboration**, a list of writers is displayed. If you want to use another method for selecting writers, see Other Ways to Select Writers. Otherwise, select one or more writers from the list.

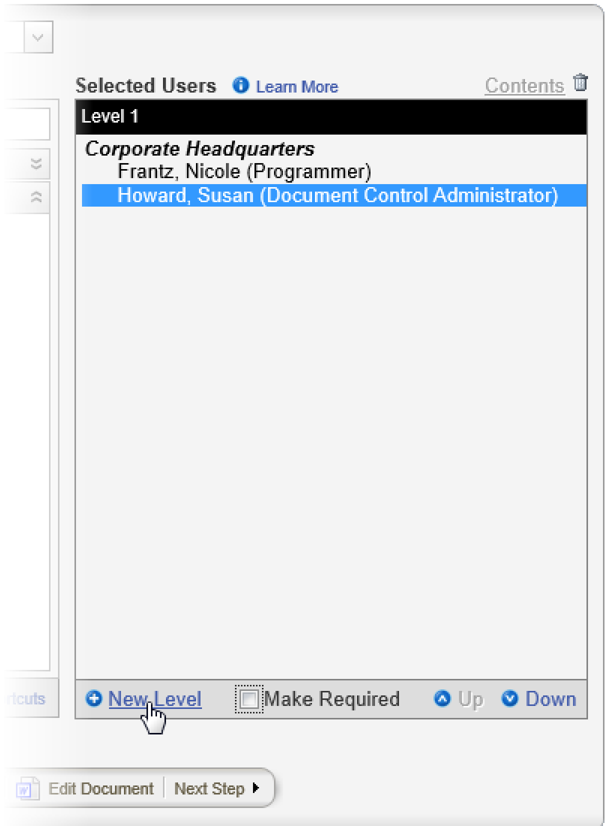
**Note:** To remove a writer from the **Selected Users** box, click the writer's name, and then click .




3. (Optional) When you're finished adding writers from the current site, repeat steps 1 and 2 for any other sites containing writers you want to assign.
4. (Optional) To make a writer a required assignee, in the **Selected Users** box, click the writer's name, and then click **Make Required**.

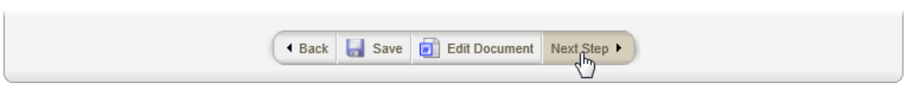



5. (Optional) As you assign writers, they are all assigned to level 1 of the collaboration status, meaning that they will all receive a writing task at the same time when the document is submitted to writers. If you want the document to go to writers in a specific order, click **New Level** to create additional writing levels. See Working with Levels (Template) for details.

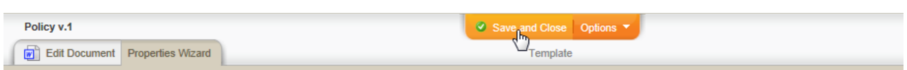



6. Do one of the following:

   - To continue with assigning properties, click **Next Step**, and then go to Step 4: Reviewers (Template) in this guide.




   - 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**. (When you are ready to continue with assigning properties, if the template is still open click Properties Wizard , or go to Editing a Template if you need to reopen it.)

### *Other Ways to Select Writers*

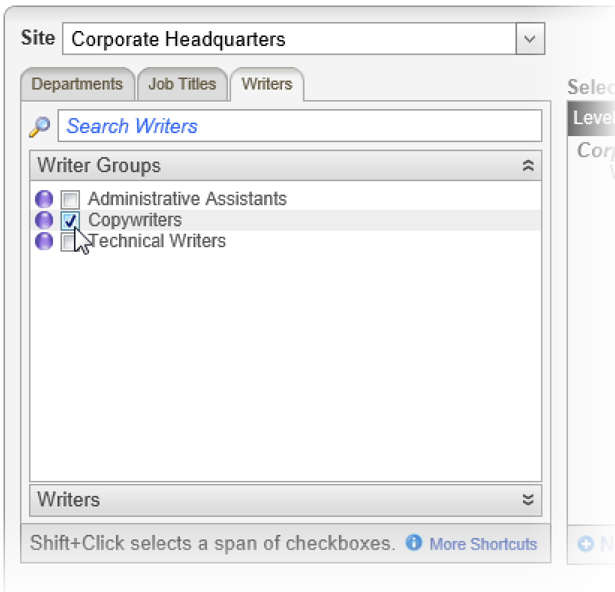
The default writer selection method is to select individual writers. You can also select by writer group, department, or job title.

***Writer Groups***

Click the **Writers** tab, and then click the **Writer Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by ⊞, click ⊞ to display group names. Select a department group.

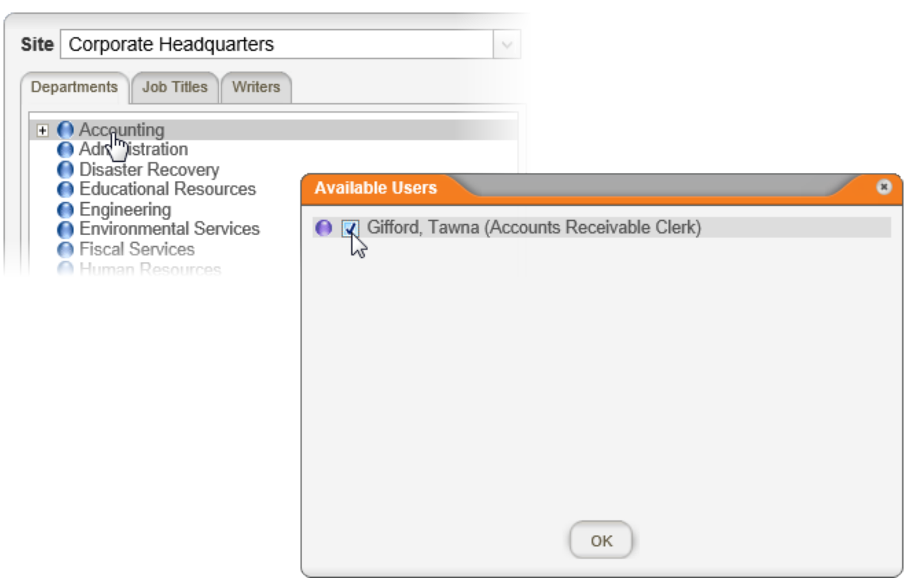
**Notes:**

- A group is a combination of writers from a single site or from multiple sites.
- To assign individual writers from a group, click the group name, and then select writers.



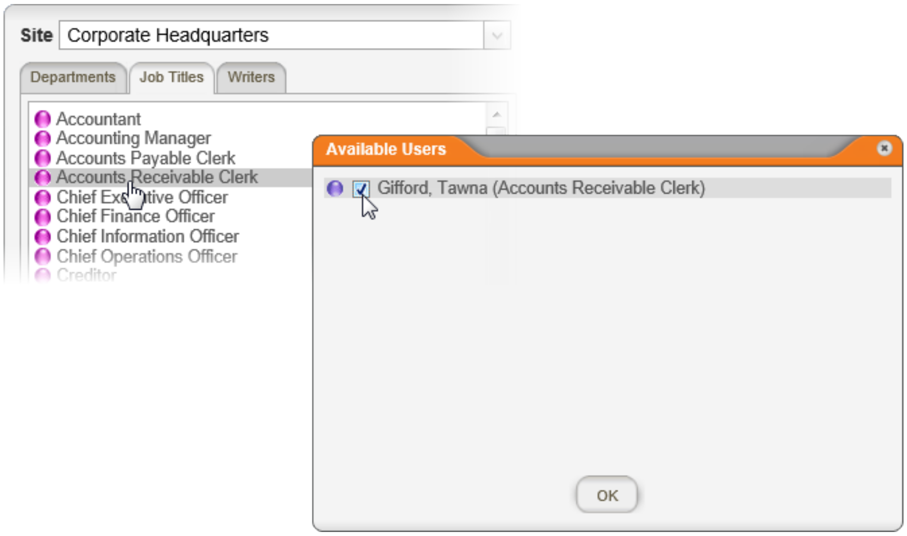

***Departments***

Click the **Departments** tab, click a department, and then select one or more listed writers.



***Job Titles***

Click the **Job Titles** tab, click a job title, and then select one or more listed writers.



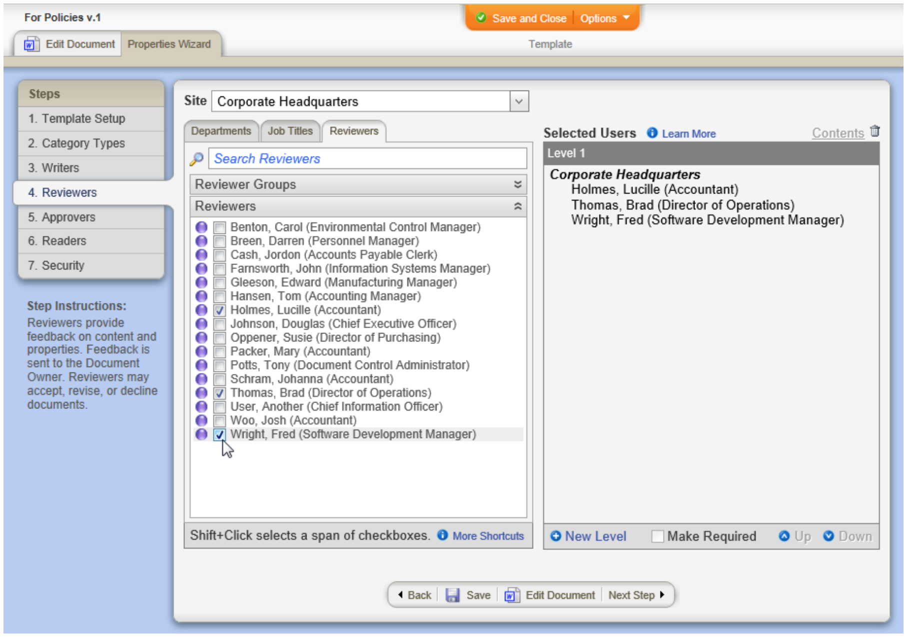

### Step 4: Reviewers (Template)

**Important:** This step is completely optional.

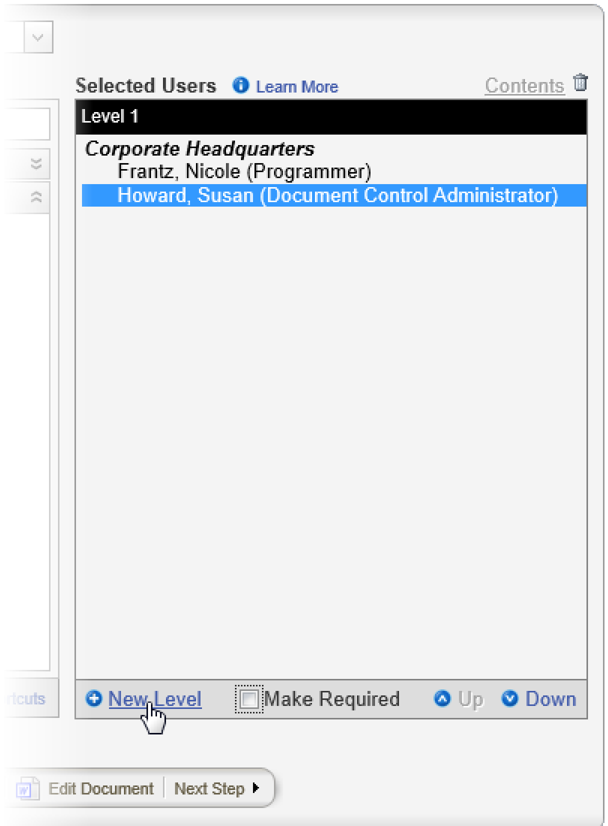
Use this step to assign optional or required reviewers to the template.

1. In the **Site** list, click a site containing one or more reviewers you want to assign.
2. A list of reviewers within the selected site is displayed by default. If you want to use another method for selecting reviewers, see Other Ways to Select Reviewers. Otherwise, select one or more reviewers from the list.

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

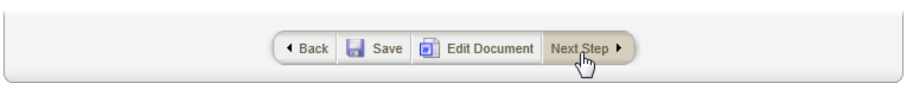



3. (Optional) When you are finished adding reviewers from the current site, repeat steps 1 and 2 for any other sites containing reviewers you want to assign.
4. (Optional) To make a reviewer a required assignee, in the **Selected Users** box, click the reviewer's name, and then click **Make Required**.
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.

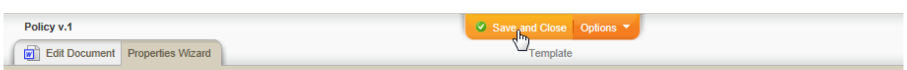



6. Do one of the following:

 - To continue with assigning properties, click **Next Step**, and then go to [Step 5: 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**. (When you are ready to continue with assigning properties, if the template is still open click **Properties Wizard**, or go to [Editing a Template]() if you need to reopen it.)

### *Other Ways to Select Reviewers*

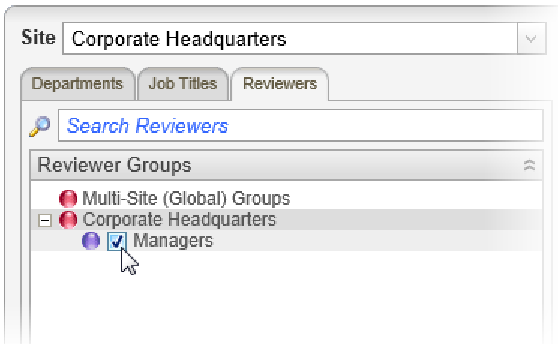
The default reviewer selection method is to select individual reviewers. You can also select by reviewer group, department, or job title.

***Reviewer Groups***

Click the **Reviewers** tab, and then click the **Reviewer Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by ⊞, click ⊞ to display group names. Select a reviewer group.

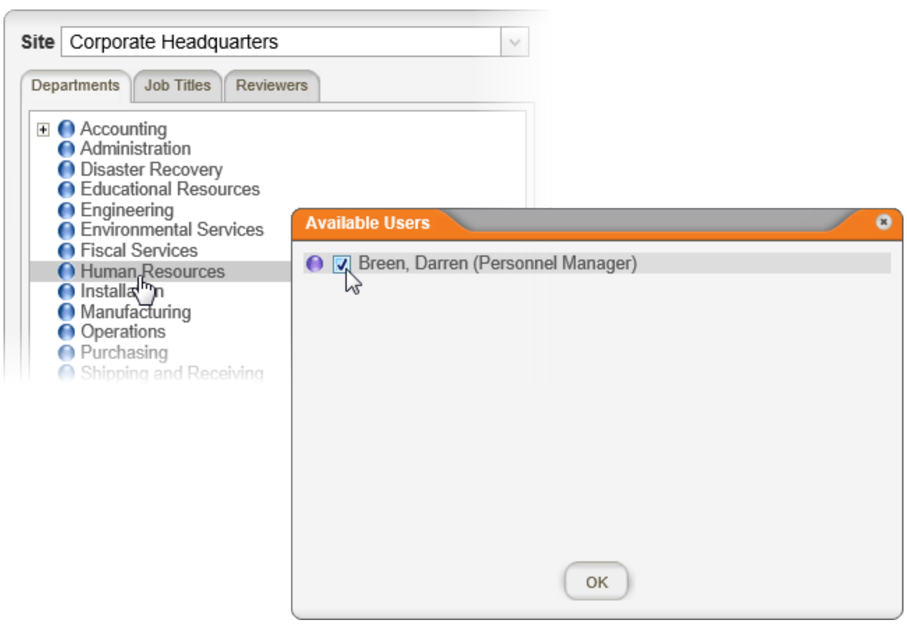
**Notes:**

- A group is a combination of reviewers from a single site or from multiple sites.
- To assign individual reviewers from a group, click the group name, and then select reviewers.



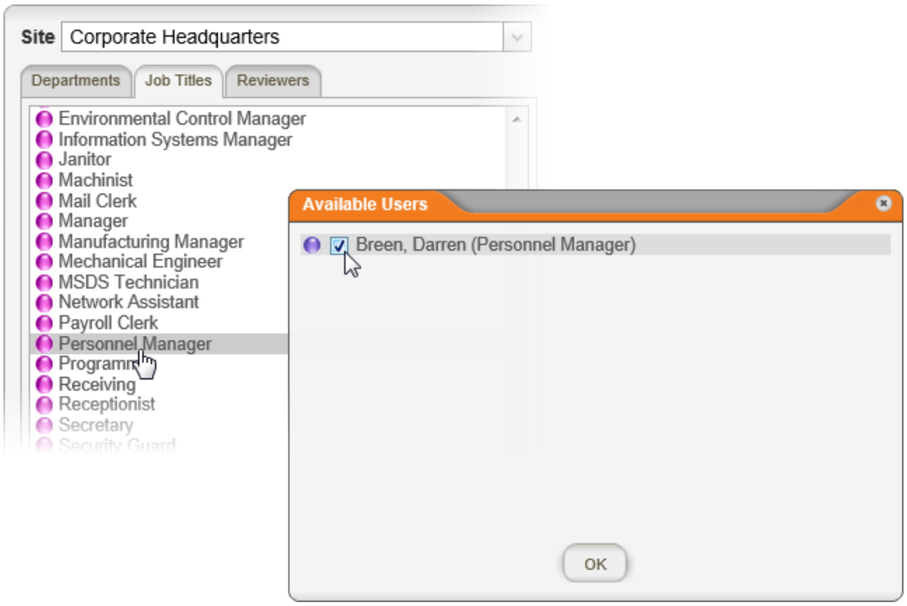

***Departments***

Click the **Departments** tab, click a department, and then select one or more listed reviewers.




***Job Titles***

Click the **Job Titles** tab, click a job title, and then select one or more listed reviewers.



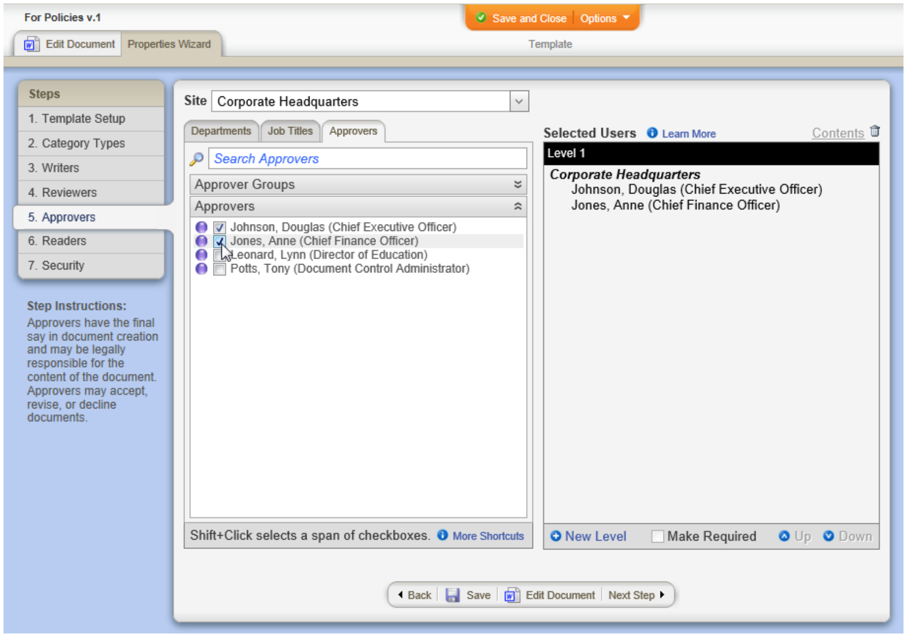

### Step 5: Approvers (Template)

**Note:** This step is completely optional.

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

1. In the **Site** list, click a site containing one or more approvers you want to assign.
2. A list of approvers within the selected site is displayed by default. If you want to use another method for selecting approvers, see Other Ways to Select Approvers. Otherwise, select one or more approvers from the list.

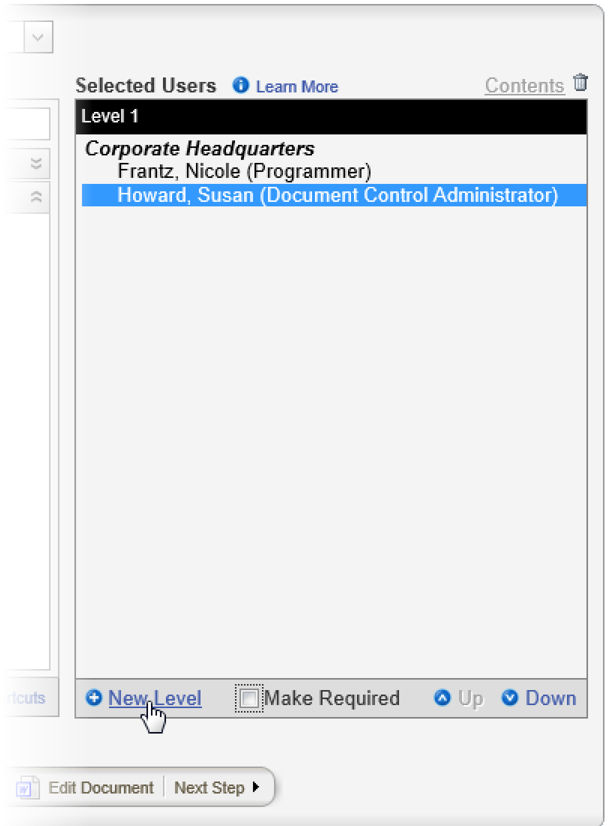
**Note:** To remove an approver from the Selected Users box, click the approver's name, and then click .




3. (Optional) When you are finished adding approvers from the current site, repeat steps 1 and 2 for any other sites containing approvers you want to assign.

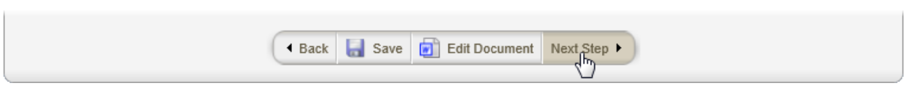
4. (Optional) To make an approver a required assignee, in the **Selected Users** box, click the approver's name, and then click **Make Required**.

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.

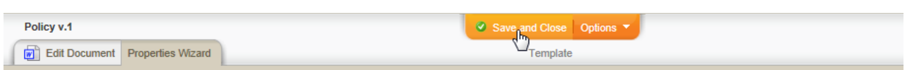



6. Do one of the following:

 - To continue with assigning properties, click **Next Step**, and then go to Step 6: Readers (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**. (When you are ready to continue with assigning properties, if the template is still open click Properties Wizard , or go to Editing a Template if you need to reopen it.)

### *Other Ways to Select Approvers*

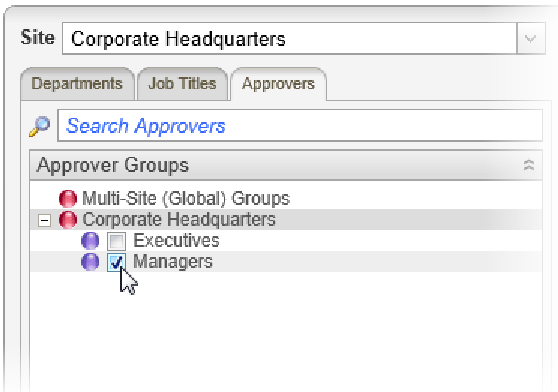
The default approver selection method is to select individual approvers. You can also select by approver group, department, or job title.

***Approver Groups***

Click the **Approvers** tab, and then click the **Approver Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by ⊞, click ⊞ to display group names. Select an approver group.

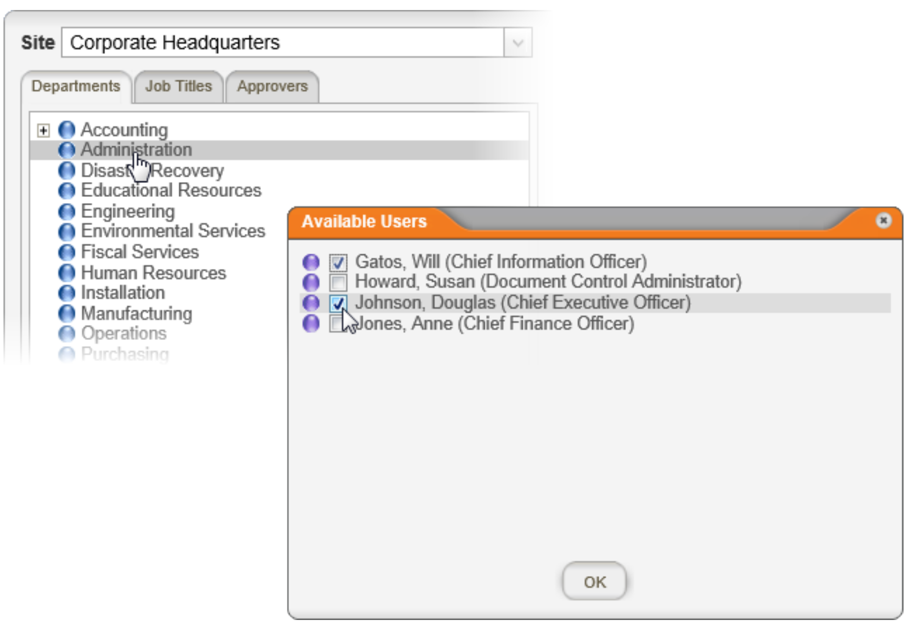
**Notes:**

- A group is a combination of approvers from a single site or from multiple sites.
- To assign individual approvers from a group, click the group name, and then select approvers.



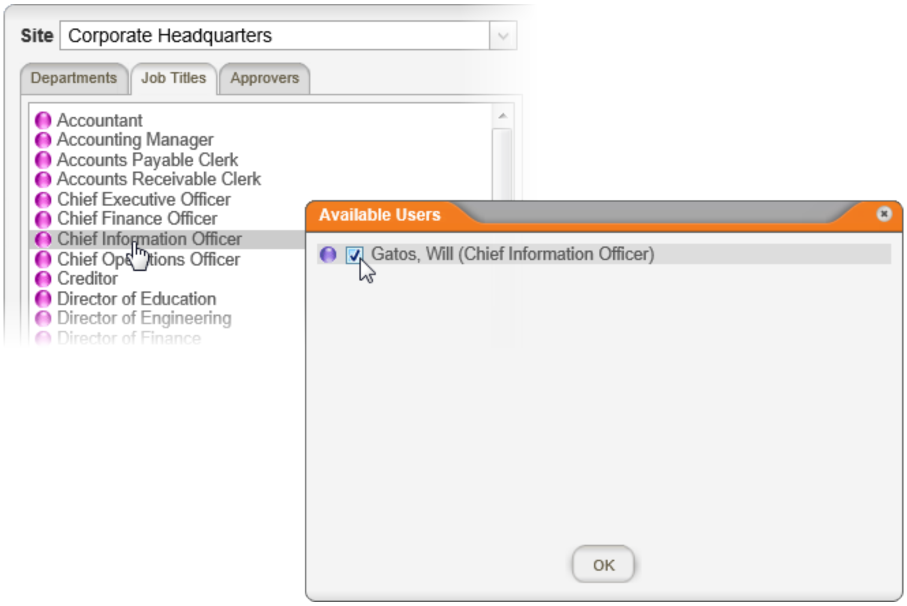

***Departments***

Click the **Departments** tab, click a department, and then select one or more listed approvers.




***Job Titles***

Click the **Job Titles** tab, click a job title, and then select one or more listed approvers.



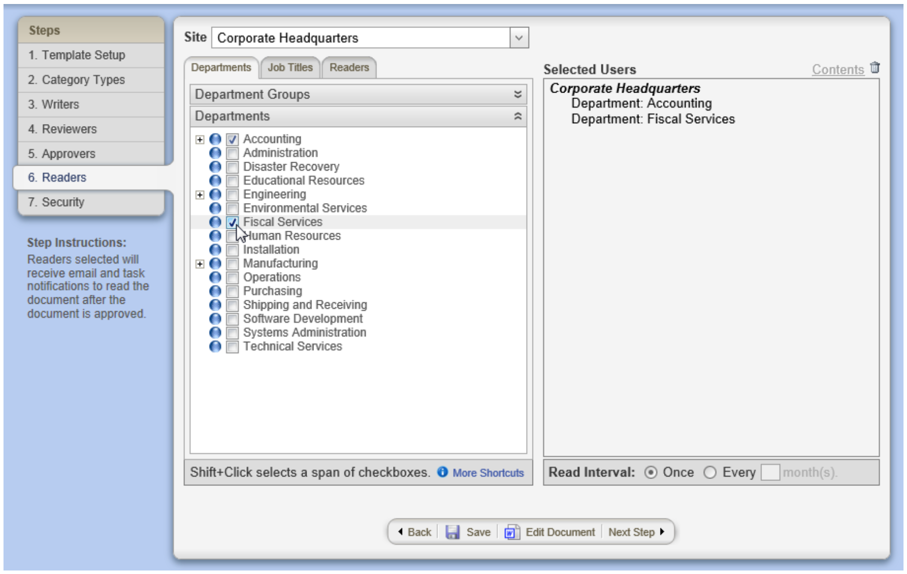

### Step 6: Readers (Template)

**Important:** This step is completely optional.

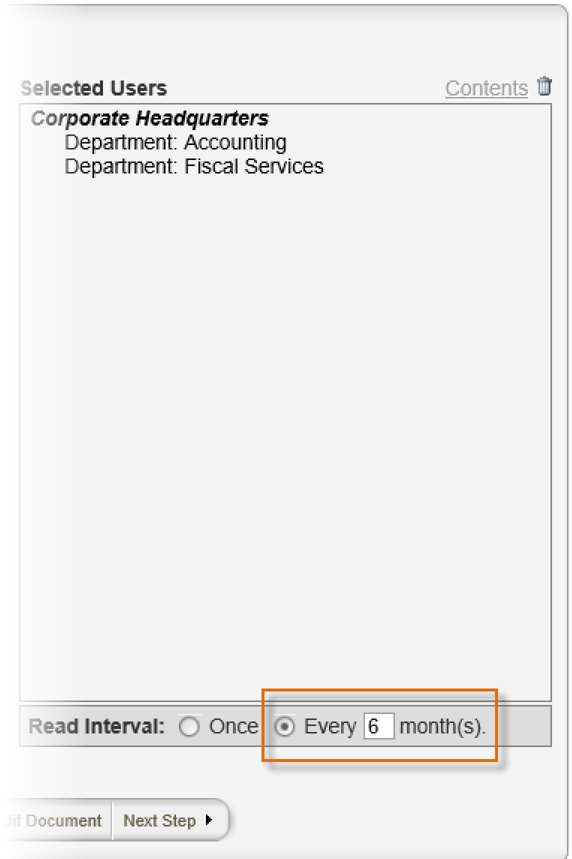
Use this step to assign optional or required readers to the template.

1. In the **Site** list, click a site containing one or more readers you want to assign.
2. A list of departments within the selected site is displayed by default. If you want to use another method for selecting readers, see Other Ways to Select Readers. Otherwise, select one or more departments from the list.

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

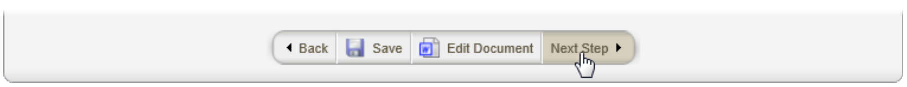



3. (Optional) When you are finished adding readers from the current site, repeat steps 1 and 2 for any other sites containing readers you want to assign.
4. (Optional) To make a department a required assignment, in the Selected Users box, click the department name, and then click **Make Required**.
5. (Optional) By default, readers receive only one reading assignment for a document. If you want the assigned readers to read the document again periodically, for the Read Interval setting, click **Every**, and then type a number of months.

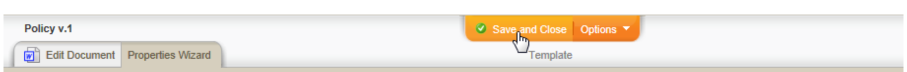



6. Do one of the following:

   - To continue with assigning properties, click **Next Step**, and then go to Step 7 - Security (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**. (When you are ready to continue with assigning properties, if the template is still open click **Properties Wizard** , or go to Editing a Template if you need to reopen it.)

### *Other Ways to Select Readers*

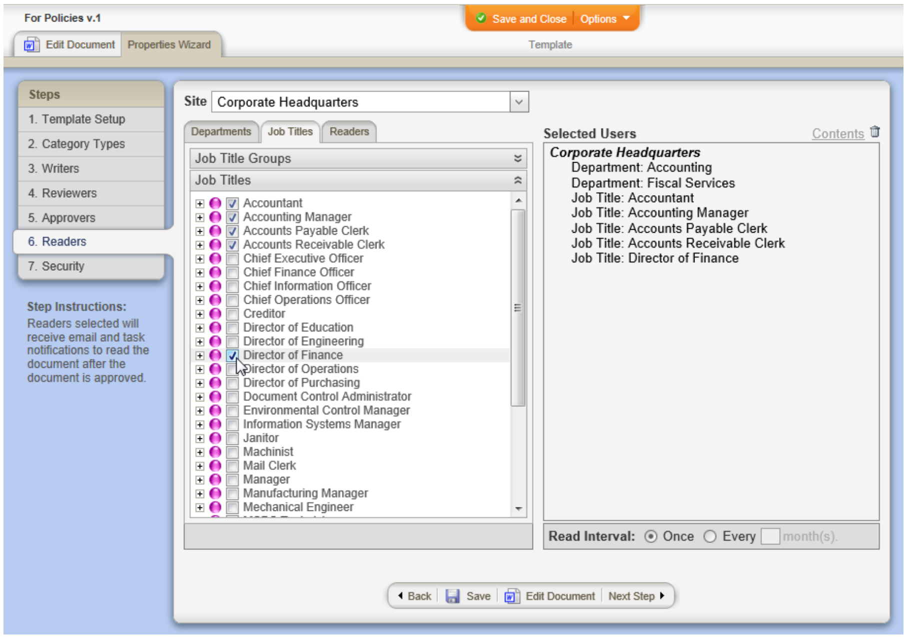
The default reader selection method is to select individual departments. You can also select by job title, by reader group, or by readers.

***Job Titles***

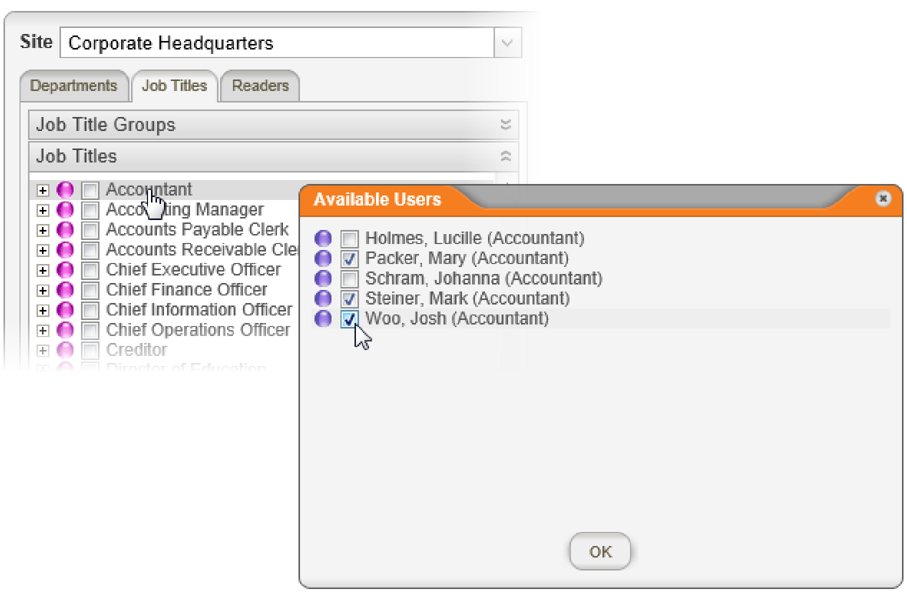
Click the **Job Titles** tab, and then do one of the following:

- Select the check box before a job title to add all readers with that job title.

**Important:** The advantage of selecting a job title rather than individual readers is that the reading assignment will be automatically updated as users are assigned or unassigned to that job title.




- Click a job title, and then select one or more listed readers.

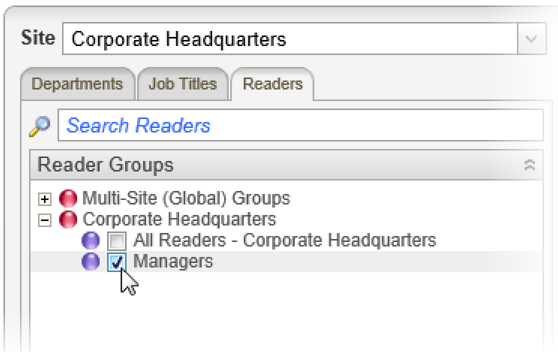



***Reader Groups***

Click the **Readers** tab, and then click the **Reader Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by +, click + to display group names. Select a reader group

**Notes:**

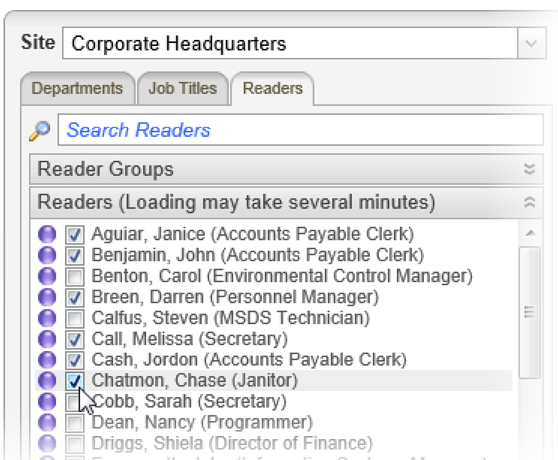
- A group is a combination of readers from a single site or from multiple sites.
- To assign individual readers from a group, click the group name, and then select reviewers.




***Readers***

Click the **Readers** tab, click the **Readers** heading, and then select one or more listed readers.

**Note:** Because every user is usually assigned the reader role, loading the reader list could take several minutes.

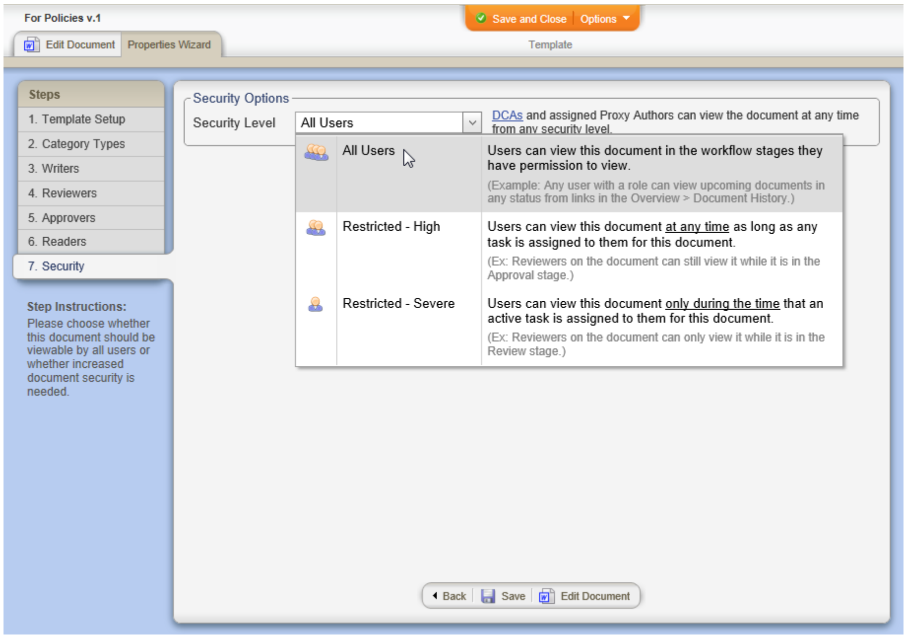



### Step 7: Security (Template)

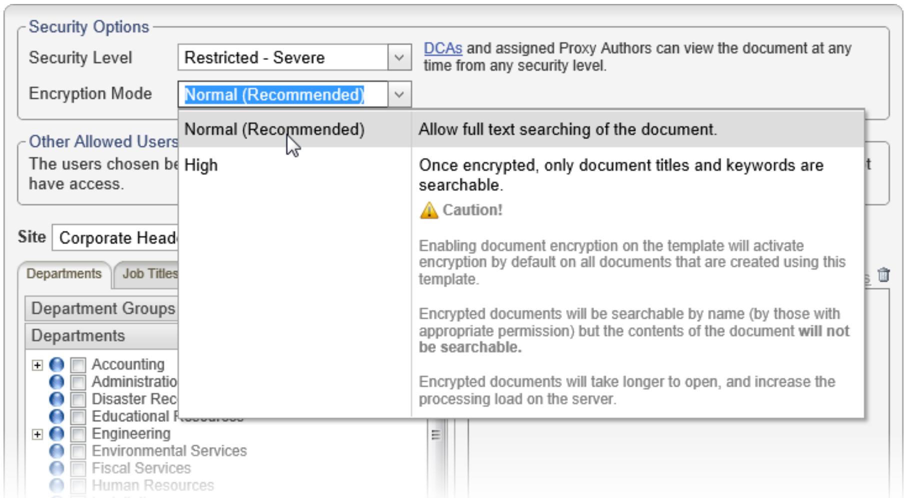
**Important:** This step is completely optional.

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 created with this template .

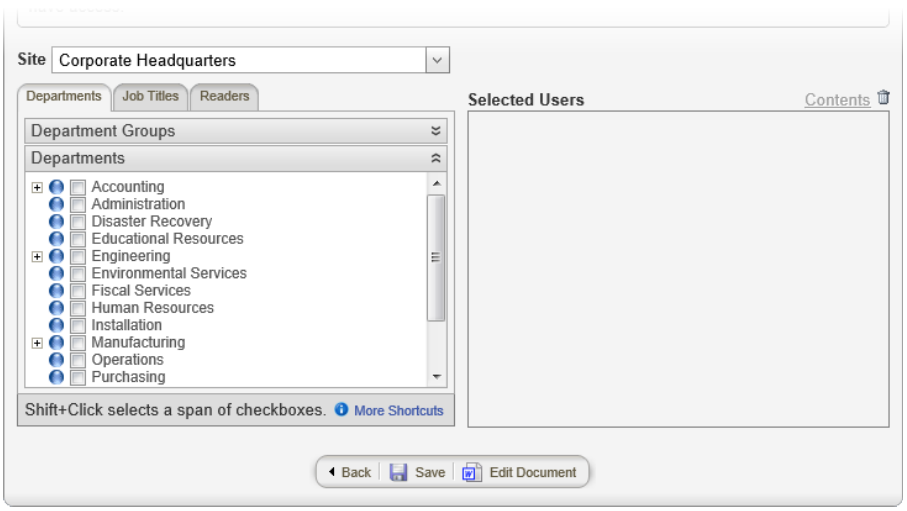
1. Click the **Security Level** box, and then click a level. See Security Levels below for details on each level.




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) Click the **Encryption Mode** box, and then click **Normal (Recommended)** or **High**. See Encryption Modes below for details on the two modes.

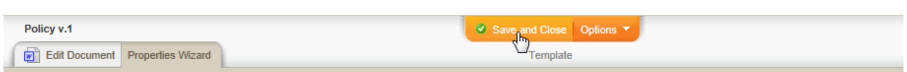



4. (Optional) If you want to grant access permissions to specific users who would not normally have access under the **Restricted - High** or **Restricted - Severe** security level, select those users by department, by job title, or by those who have been assigned the reader role. See Other Allowed Users below for details on what permissions will be granted.




5. Do one of the following:

   - If you are finished with the template for now, click **Save and Close**. (When you are ready to work on the template again, go to Editing a Template.)




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

### *Security Levels*

The roles you assign users for working with documents allow these users access to the workflow statuses that correspond with their roles. For example, a document owner will see documents in the draft status, a writer will see documents in the collaboration status, and a reader will see documents in the published status. Which documents they can see in each of these statuses depends on a document's assigned security levels, as explained below.

**All Users.** When a document is assigned this security level, all users with the roles mentioned above can see that document in the workflow statuses they have access to, even if they are not specifically assigned to that document. 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, only those specifically assigned to one or more stages of the document have access to it. They can also access the document 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 have access to it. However, they can only view that document when it is in the status to which they are assigned. For example, an assigned writer can only see the document while it is in the collaboration status.

### *Encryption Modes*

The encryption mode determines how much of a document is searchable when a user searches for a document from a document list, such as when the published status is selected.

**Normal.** The document's title, keywords, and contents are all searchable.

**High.** Only the document's title and keywords are searchable. (Keywords can be added in step **1. Settings** of the document **Properties Wizard**.)

> **Important:** Be aware that documents with high encryption take longer to open and increase the PolicyTech™ server's processing load.

### *Other Allowed Users*

If you assign a document the **Restricted - High** or **Restricted - Severe** security level, you have the ability to allow other users who are not assigned to this document to access the document as if they were assigned to it. As with users assigned to the document, where users can access the document depends on their document roles and the security level.

To allow other users to access this document, do one of the following:

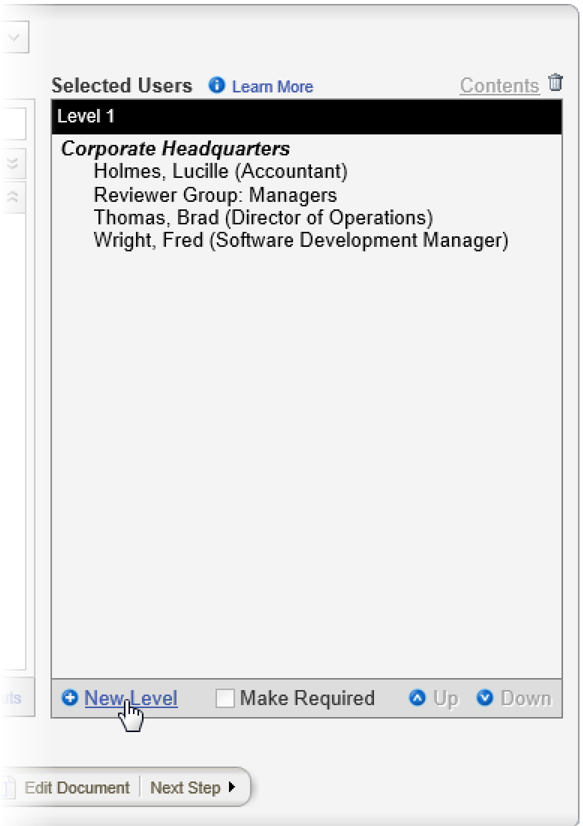
- Click the **Departments** tab, click the **Departments** heading, and then select the departments whose users you want to grant access to this document.
- Click the **Departments** tab, and then click the **Department Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by ⊞, click ⊞ to display group names. Select a department 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.
- Click the **Job Titles** tab, and then click the **Job Title Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by ⊞, click ⊞ to display group names. Select a job title group.
- Click **Readers**, and then in the **Search Readers** box, start typing a user name. As soon as you see the user you want to add, click the user's name.
- Click the **Readers** tab, and then click the **Reader Groups** heading. If you see **Multi-Site (Global) Groups** or a site name preceded by ⊞, click ⊞ to display group names. Select a reader group.
- Click the **Readers** tab, click the **Readers** heading, and then select one or more individual readers.

### Working with Levels (Template)

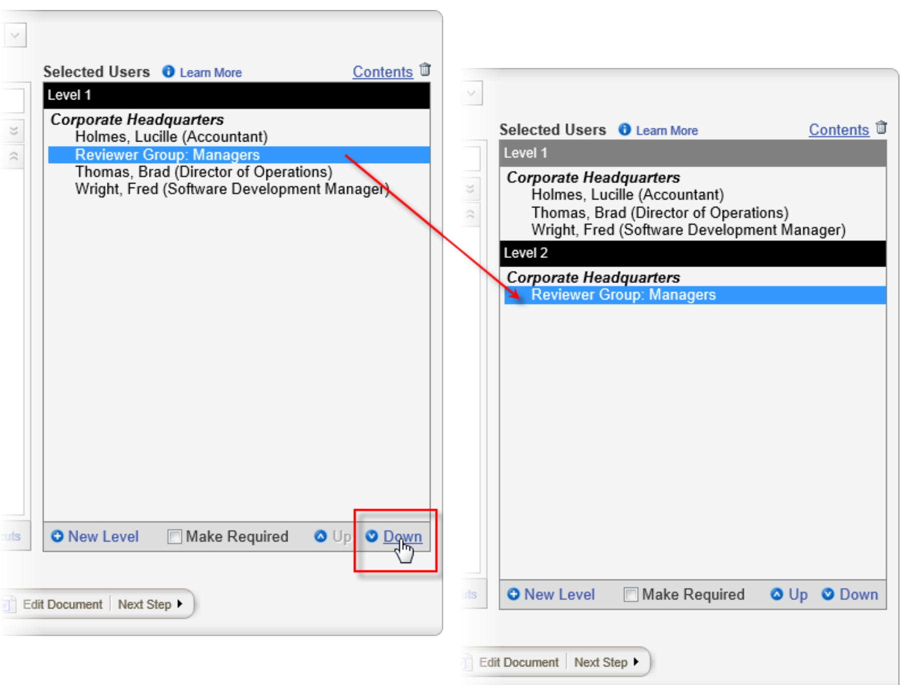
When you assign writers, reviewers, and approvers to a template in the **Properties Wizard**, you can create levels to specify which users get the document first, second, and so on. When you create multiple levels, all users on the first level must complete their tasks, such as reviewing the document, 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 the following **Properties Wizard** steps in a template: **3. Collaboration**, **4. Review**, **5. Approval**.

1. To add a level, do one of the following:
   - At the bottom of the **Selected Users** box, click **New Level**.




- Click a user's name, and then click **Down** to create a new level.



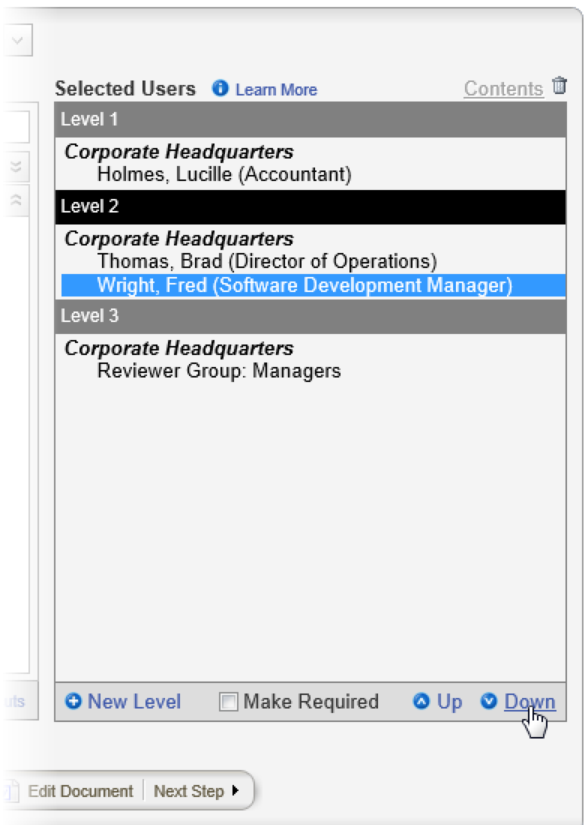
Notice in the screenshots above that a black **Level 2** heading appears. The black color indicates that this level is now active. Any additional users selected at this point are added to **Level 2**. To make **Level 1** active again, click the **Level 1** heading.

2. Do one of the following to put selected users in a level:

   - Click a level heading to activate that level, and then select the users by department, job title, or role for that level.

   - Click a user already listed in the Selected Users box, and then use **Up** or **Down** to move the user to a different level.

**Note:** Clicking **Down** when the user is already at the last level (highest numerically) automatically creates a new level.




## Adding Document Content to a Template

How you add content to a template depends on the currently selected document type. You can also add content to any document type template by importing an external file.

Adding Content to a Word or Excel Template

Adding Content to an HTML Template

Adding Content to an Upload File Template

[Importing Content (Template)]

### Adding Content to a Word or Excel Template

**Important:** Before you can add Word® or Excel® content to a template, you must complete at least step **1. Template Setup** of the **Properties Wizard**. If you have not already done so, complete the instructions under Step 1: Template Setup.

#### *What You Should Know about Using Word or Excel inside of PolicyTech*

Writing Word or Excel document content within PolicyTech™ is much the same as writing a document in the Word or Excel program outside of PolicyTech. For example, while using Word or Excel inside of PolicyTech, you will see any customizations you have made to the **Quick Access Toolbar** and **Ribbon** while using Word or Excel outside of PolicyTech. Some of the differences you might notice when using Word or Excel inside of PolicyTech include the following:

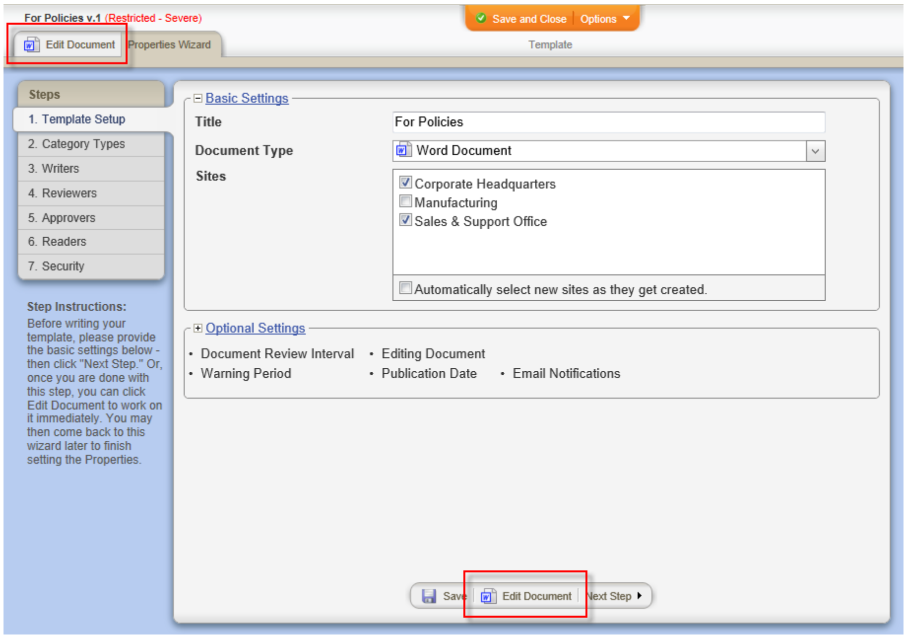
- When you click **Edit Document** or open a document from a document list, some processes run that enable the editing of the Word or Excel document within PolicyTech. You cannot work with the document until those processes are finished.
- Most, but not all, Word and Excel features are available
- When you save a template after writing Word or Excel content, that content is saved to the PolicyTech database rather than as a file on a hard drive. You might also notice that a process runs each time you save the document.
- If the document contains unsaved changes and you click one of the other tabs (**Properties Wizard**, **Overview**, or **Edit Questionnaire**), PolicyTech automatically saves the document.
- One extra thing you can do when using Word or Excel within PolicyTech is to insert fields that contain certain document properties, such as the document title the document owner adds when creating a document using this template, or the names of the reviewers you assign in step **4. Reviewers**. These fields are automatically updated whenever the property information changes.

#### *Adding Document Content*

**Note:** It is not within the scope of this guide to instruct on how to use the Word or Excel program to write documents. The instructions that follow assume you have a working knowledge of Word and Excel.

1. Do one of the following to open the Word or Excel editing window:

- If you currently have the template open and have the **Properties Wizard** tab selected, 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.

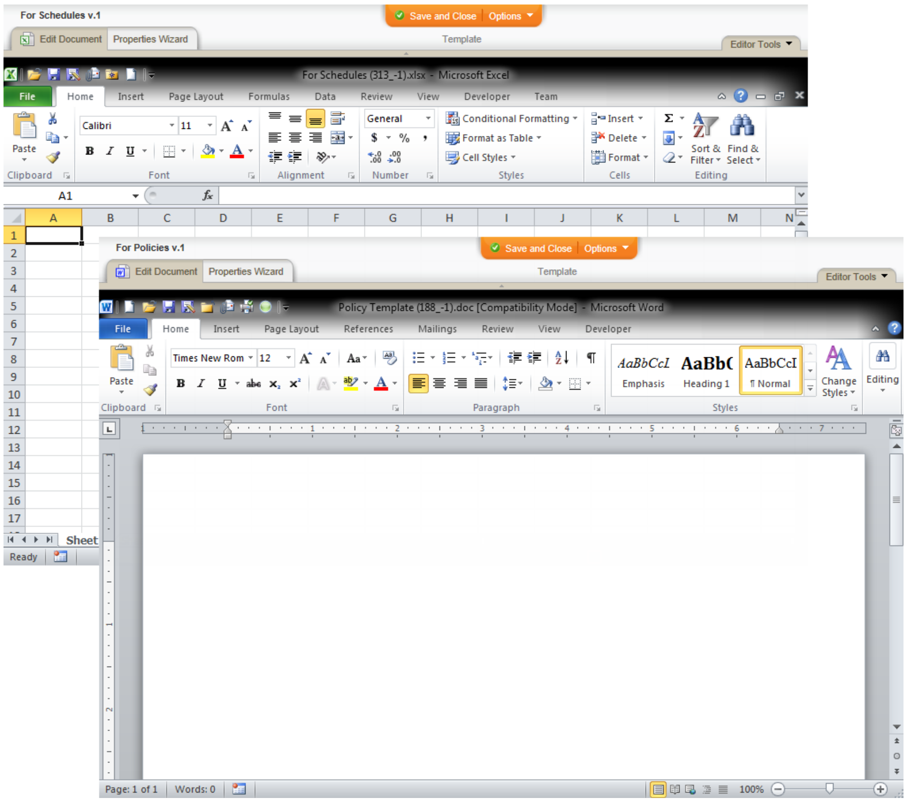



- If the template is currently closed, click **PREFERENCES**, click **Document Settings**, and then click **Templates**. Click the template you want to add Word or Excel content to.


2. Click **Edit Document**.

   You should now see a window similar to one of the windows below.

**Note:** The Word or Excel user interface may look different, depending on the version you have.



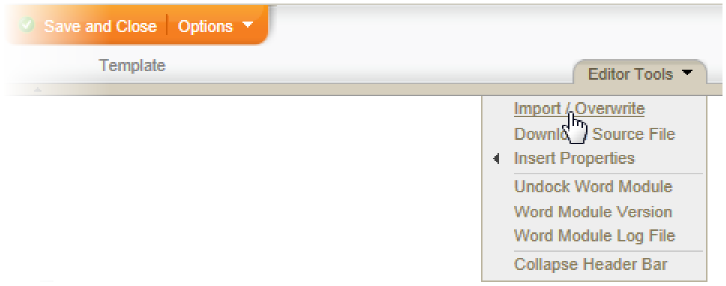

3. Do one of the following to add content to the document:

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

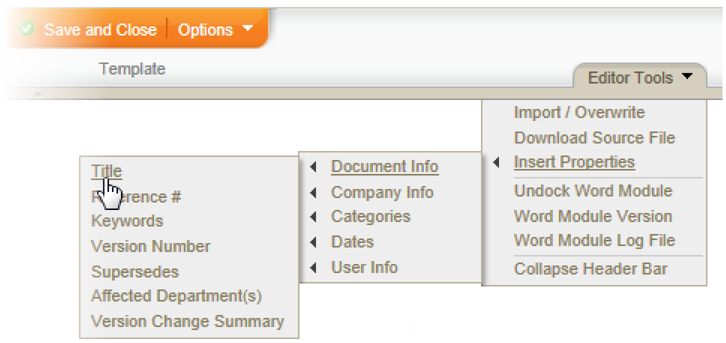
**Note:** If you would like to see more of the document within the window, click **Editor Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Editor Tools**, and then click **Expand Header Bar**.

   - Click **Editor Tools**, click **Import/Overwrite**, and then follow the prompts to import the content of an existing Word or Excel 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 don't want to overwrite this document's existing content.




4. (Optional) Place your cursor in the document where you want to insert a document property field. Click **Editor Tools**, click **Insert Properties**, and then find and insert a document property (see "Inserting Document Properties" in the User's Guide for detailed instructions).

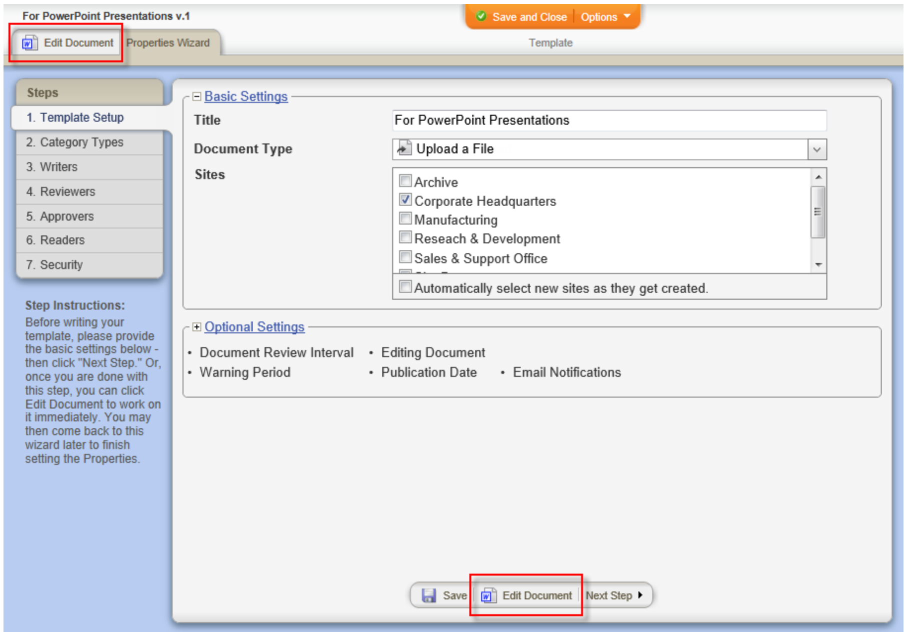



5. When you're finished adding content, do either of the following:
   - Save and close the template (see Saving and Closing a Template).
   - Finish assigning document properties (see Assigning Template Properties).

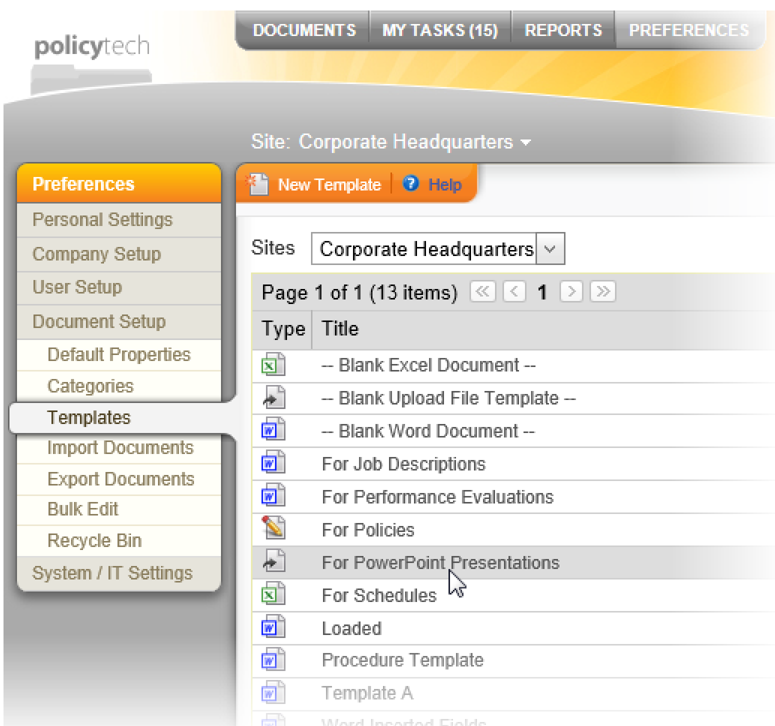
### Adding Content to an Upload File Template

**Important:** Before you can add content to a template document, you must complete at least step **1. Template Setup** of the **Properties Wizard**. If you have not already done so, complete the instructions under Step 1: Template Setup.

1. Do one of the following to open the document editing window:
   - If you currently have the template open and have the Properties Wizard tab selected, 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.

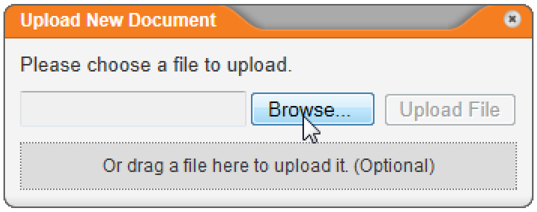



- If the template is currently closed, click **PREFERENCES**, click **Document Settings**, and then click **Templates**. Click the template you want to add content to.




2. You should now see the window shown below. Do one of the following to select a file to upload:

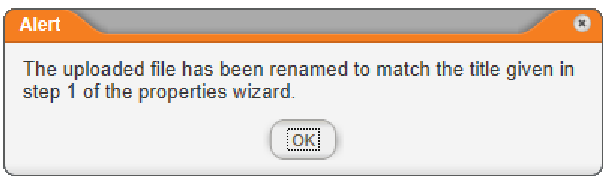
- Click **Browse**, find and click the file you want to upload, click **Open**, and then click **Upload File**.




- 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)**. The file is uploaded automatically.

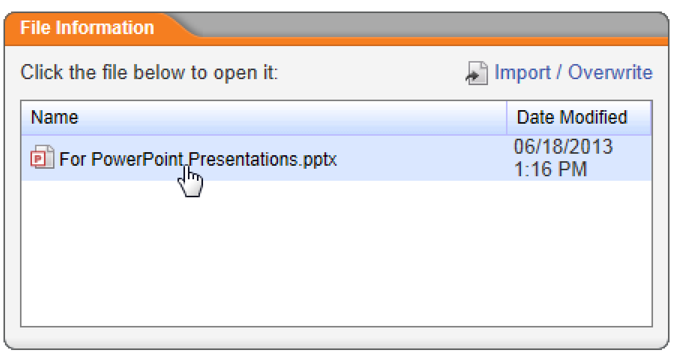
**Note:** If ever needed, you can import another and replace the currently uploaded file's contents. See Importing Content (Template) for details.

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**.



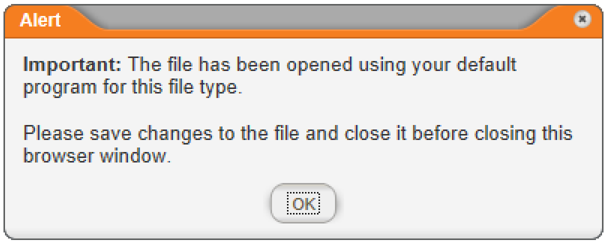

4. To view or modify the uploaded document's contents, in the **File Information** window, click the file name. The document opens in the Windows default program for that file type.

**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 the alert shown below in PolicyTech. Click **OK**.

**Note:** You can change what program automatically opens by using **Default Programs** in the Windows **Control Panel**.

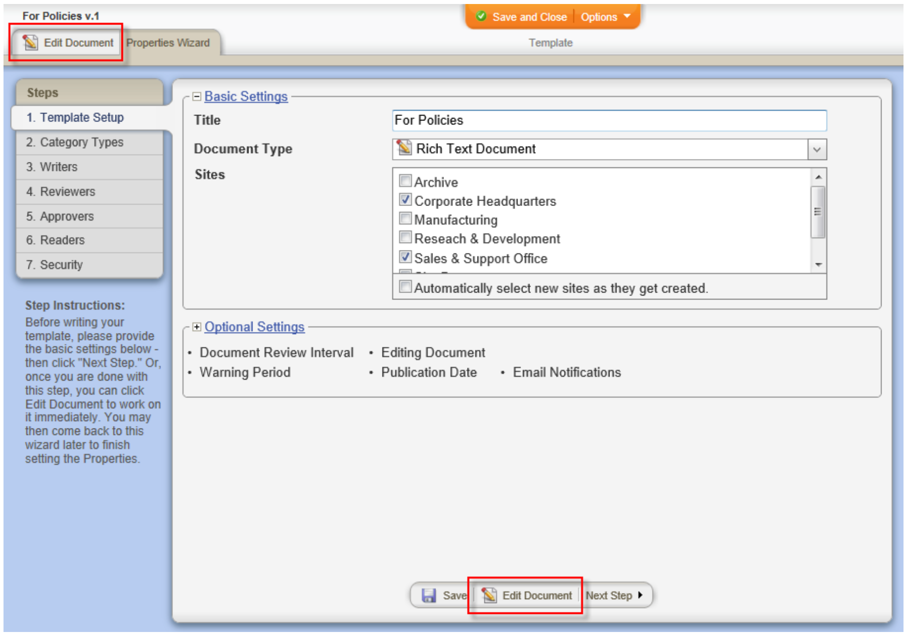



6. Make the desired changes, save the file, and then close the program.
7. When finished adding and modifying content, do either of the following:
   - Save and close the template (see Saving and Closing a Template).
   - Finish assigning document properties (see Assigning Template Properties).

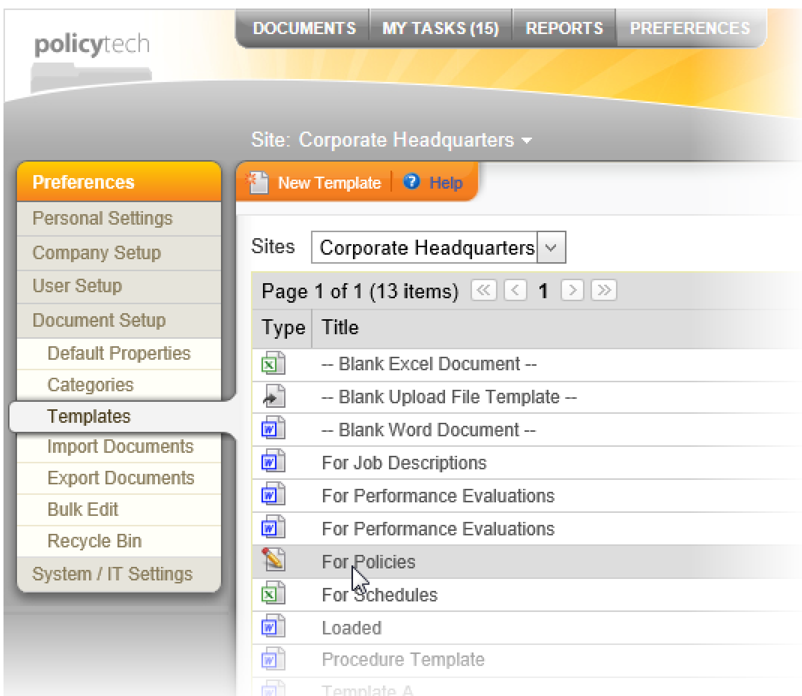
### Adding Content to an HTML Template

**Important:** Before you can write or otherwise add content to a template's HTML document, you must complete at least step **1. Template Setup** of the **Properties Wizard**. If you have not already done so, complete the instructions under Assigning Template Properties.

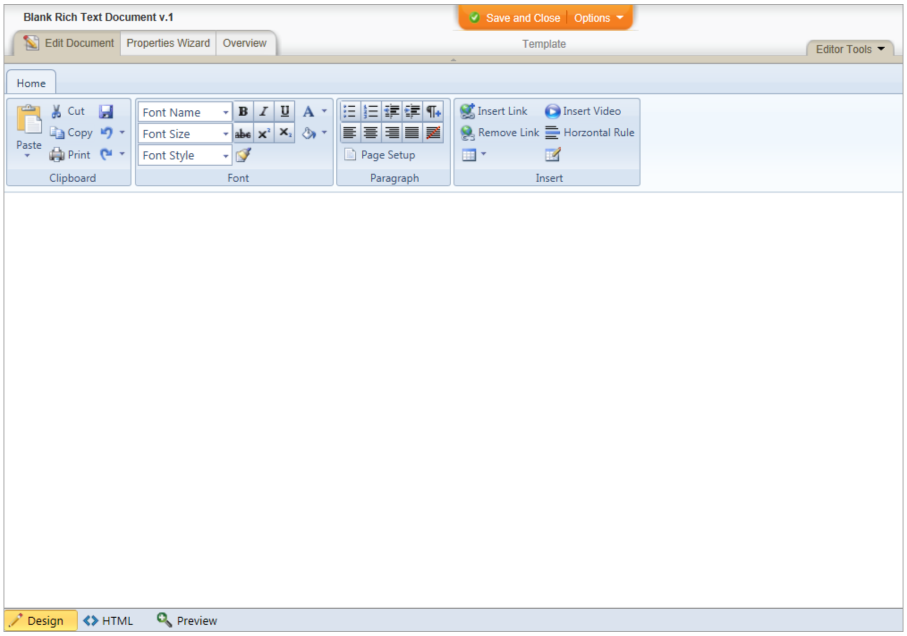
1. Do one of the following to open the HTML document editing window:
   - If you currently have the template open and have the **Properties Wizard** tab selected, click the **Edit Document** tab near the upper left corner or the **Edit Document** button at the bottom of the currently displayed **Properties Wizard** step.




- If the template is currently closed, click **PREFERENCES**, click **Document Settings**, and then click **Templates**. Click the template you want to add HTML content to, and then click **Edit Document**.




You should now see a window similar to the one below.



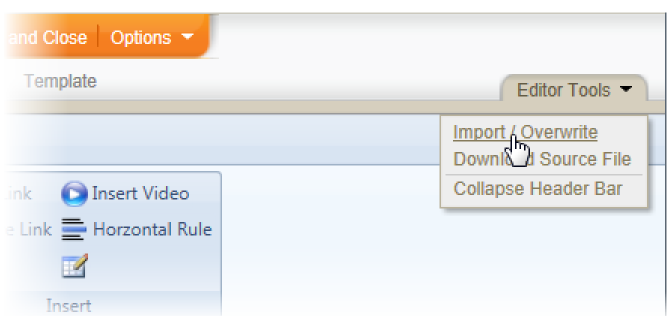

2. Do one of the following to add content to the document:

 - 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 **Editor Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Editor 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 don't want to overwrite this document's existing content.




3. 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).

**Importing Content (Template)**

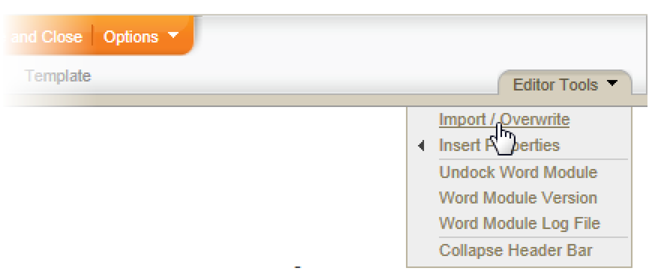
You can import a document from outside of PolicyTech™ as content for a template. If you import a Microsoft® Word or Excel® document, you can edit the imported content within PolicyTech. If you import any other type of file, you will see a link in the **Edit Document** page that will open the imported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

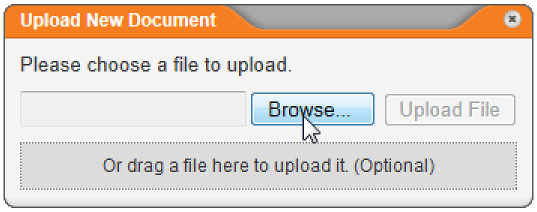
**Important:** The imported document will completely overwrite the contents of the PolicyTech document. For this reason, we recommend using this feature only when the template document is empty or if you are certain that its contents can be overwritten without losing important information. If the document 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 **Edit Document** (if it is not already selected).
2. Click **Editor Tools**, and then click **Import / Overwrite**.

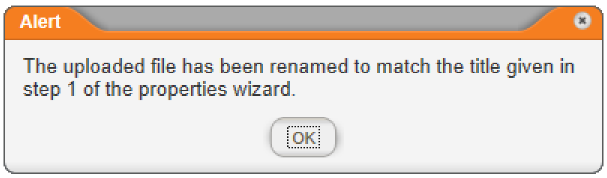



3. Do one of the following:
   - Click **Browse**. Find and click the file you want to import, and then click **Open**. Click **Upload File**.



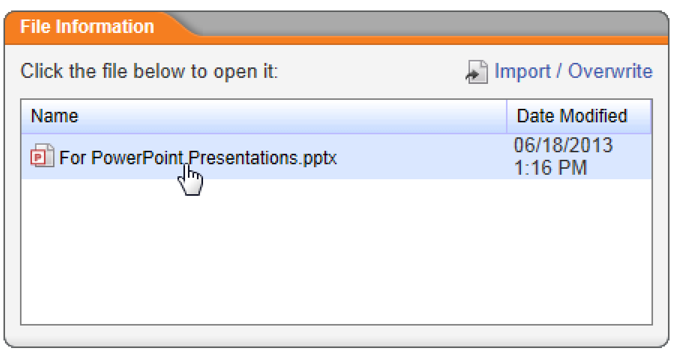

- Open Windows Explorer, and then find the file you want to import. Click and drag the file onto the box containing the text **Or drag a file here to upload it. (Optional)**. The file is uploaded automatically.

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.



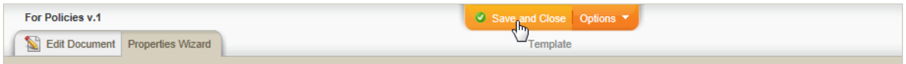

You can then click the file name to open it in your Windows default program for that file type (see Adding Content to an Upload File Template).

5. Close the template.

### Saving and Closing a Template

In an open template, click **Save and Close**.

**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 you need to save a copy of a template to disk,

1. In an open document, click **File**, and then click **Save As**.
2. Navigate to where you want the file saved, type a file name, and then click **Save**.

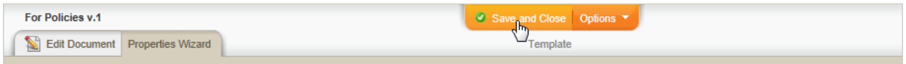
## Editing a Template

**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 "Reapplying a Template to a Document" in the User's Guide for details.

1. If the template is currently closed, click **PREFERENCES**, click **Document Settings**, and then click **Templates**. Click a template to open it.

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

3. Click **Save and Close**.

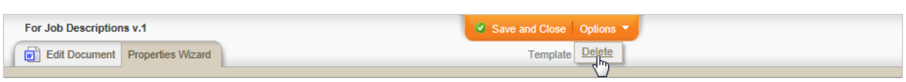



## Deleting a Template

**Important:** A deleted template is placed in the **Recycle Bin** in the **Documents** location (see The Recycle Bin for details), and it is removed from the template list in the first step of the document **Properties Wizard**. If documents have already been created using that template, their template assignments will not change. If, however, you want to delete the template completely by deleting it from the **Recycle Bin**, you will have to reassign all documents using that template before doing so.

1. If the template is currently closed, click **PREFERENCES**, click **Document Settings**, and then click **Templates**. Click a template to open it.


2. Click **Options**, and then click **Delete**.




3. When asked to confirm the deletion, click **Yes**.

## 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 Document 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**.

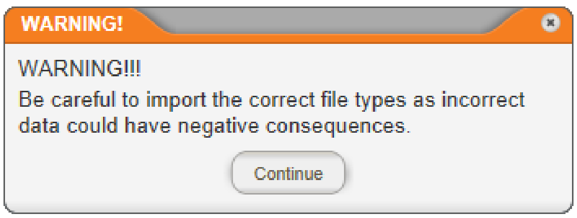
- **Bulk Edit.** You can assign all other document properties to multiple imported documents at once using **Bulk Edit** (see Bulk Edit). We recommend that you use **Bulk Edit** immediately after importing a group of documents—before you import the next group.

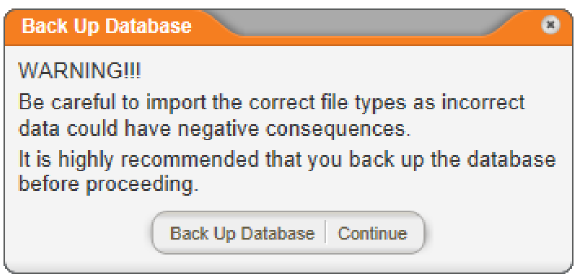
- **Department assignments.** Upon import, documents are assigned to the selected document owner's department. You can change the department assignment later, if necessary, using **Bulk Edit**.

### Performing the Document Import

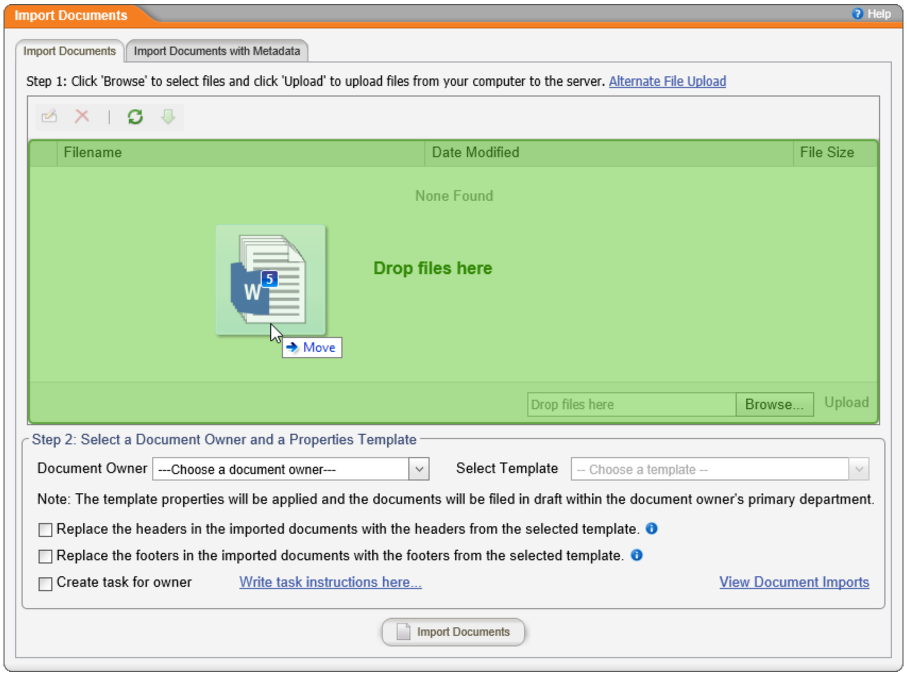
1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Import Documents**.

   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).



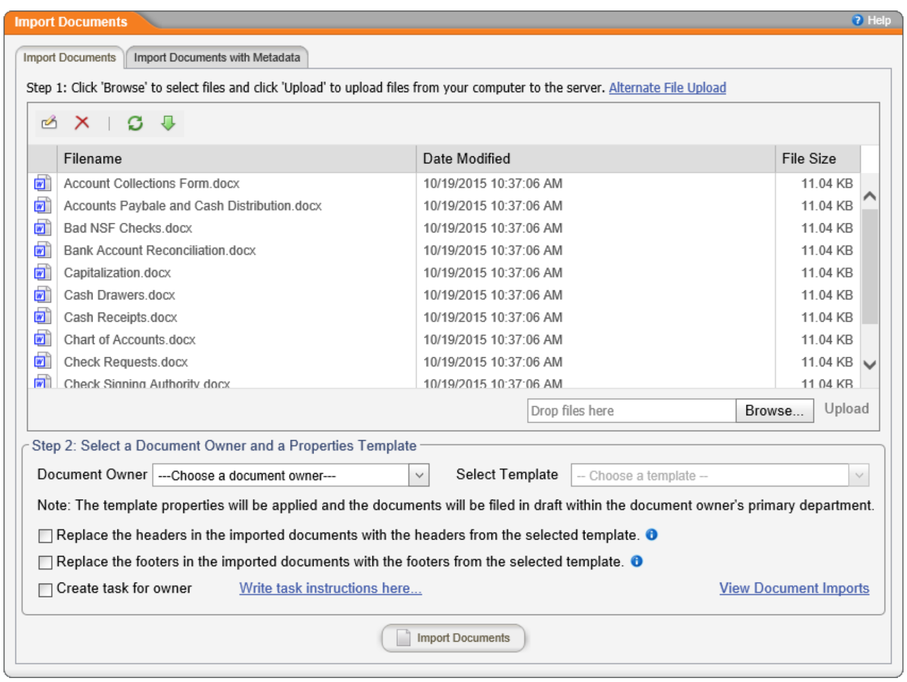




1. (Conditional) If you're prompted to back up your database, we highly recommend that you back up the PolicyTech database before you import documents. Click **Back Up Database**, and then click **OK**. When the backup is completed, click **Close**.
2. Click **Continue**.
3. To select files to upload, 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.



4. (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.

5. In the **Document Owner** list, click a name.

**Note:** The imported documents will be placed in the document owner's primary site and department.

6. In the **Select Template** list, click a template.

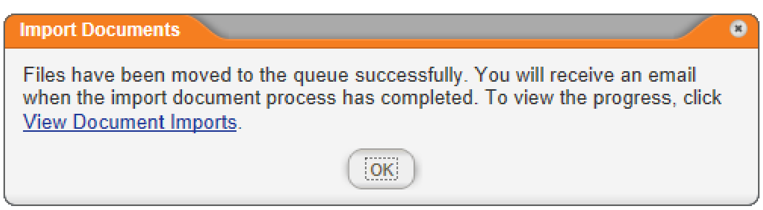
**Note:** The **Select Template** list is disabled until you select a document owner.

7. (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 check boxes:
   - **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:**

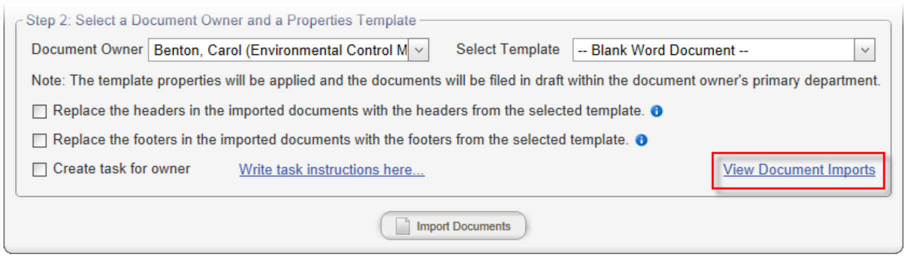
- If the template headers or footers are a different size than those in the import files, the page layout and pagination of the imported files will be affected.
- If any of the imported files are of a type other than Word, the header and footer replacement for those files will fail and be noted in the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

8. (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**.
9. Click **Import Documents**.
10. A message is displayed stating that you'll receive an email once the import process is done. Click **OK**.

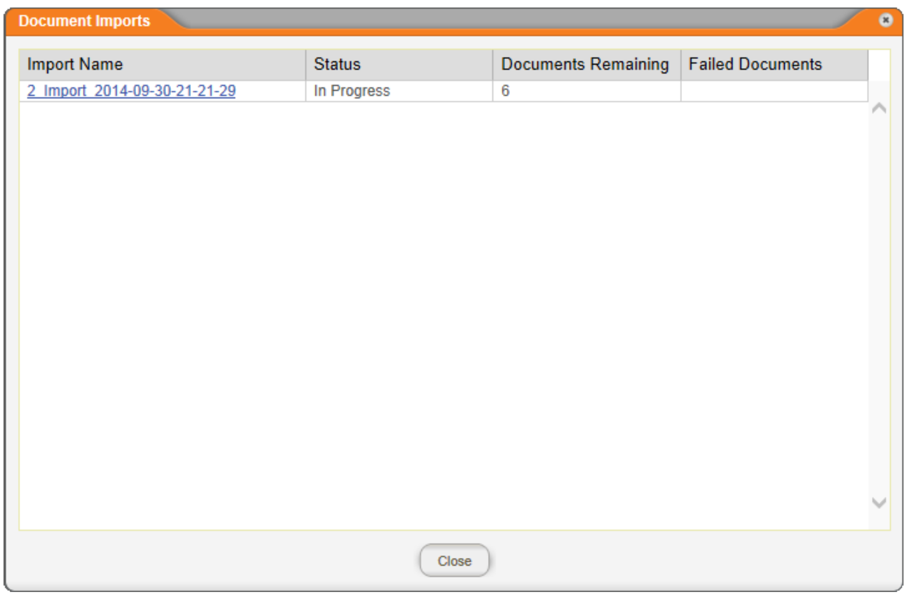


## Viewing Import Status Reports

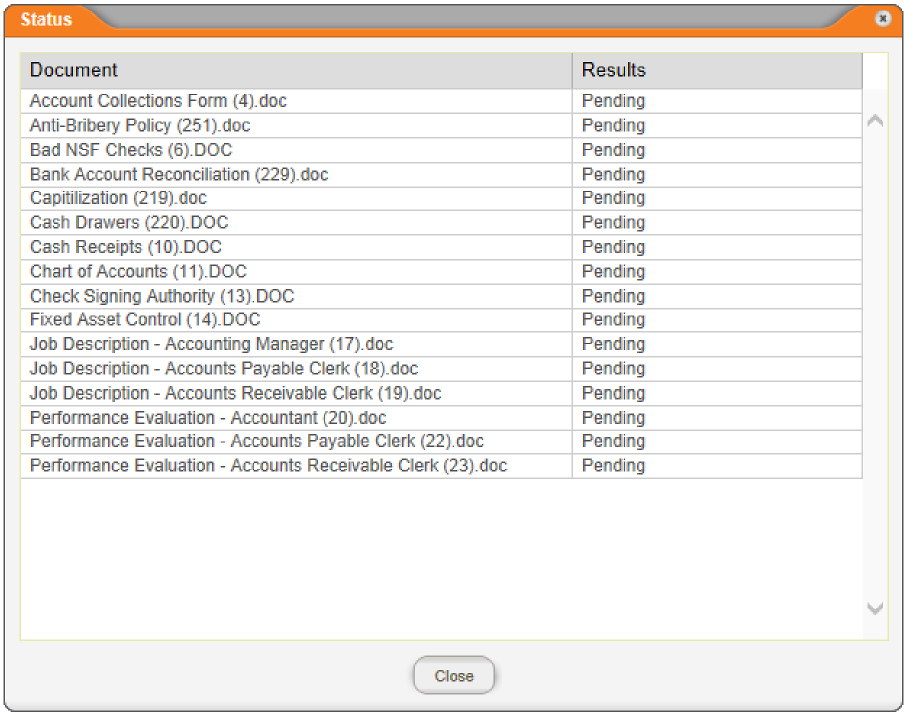
1. In the **Import Documents** window, click **View Document Imports** at any time to check import status.




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.

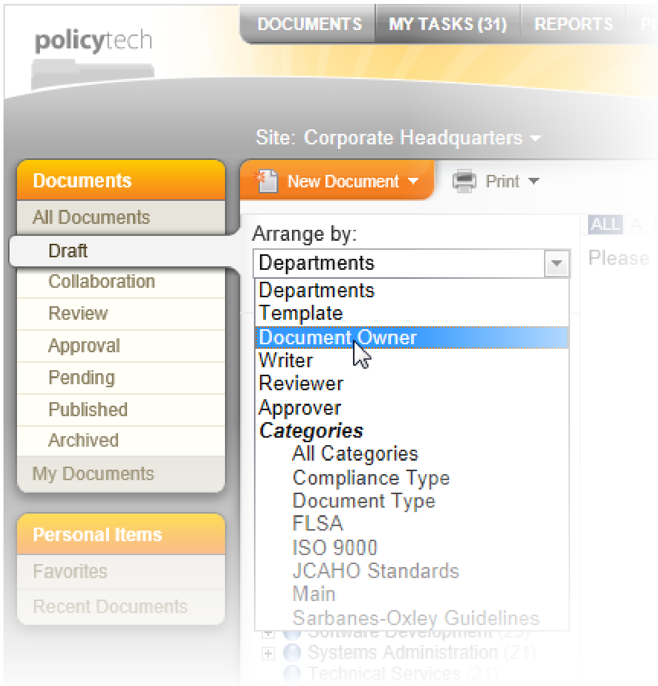
### Finishing the Setup of Imported Document Properties

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.

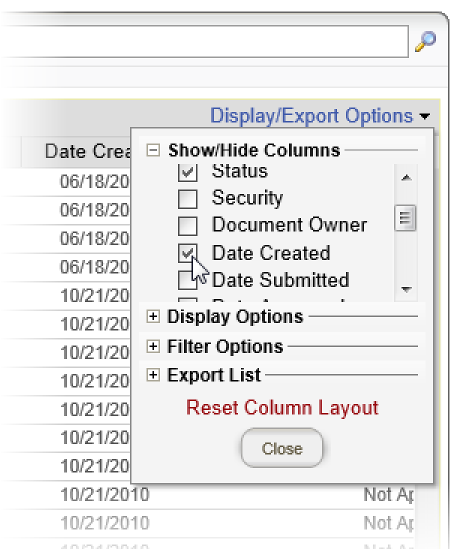
### Finding Newly Imported Documents

The instructions below describe one way to find all of the documents you've recently imported.

1. Click **DOCUMENTS**.
2. Click **All Documents**, and then click **Draft**.
3. For **Arrange by**, click **Document Owner**.




4. Click the name of the document owner assigned to the newly imported documents.
5. Click **Display/Export Options**, 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 Document 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)

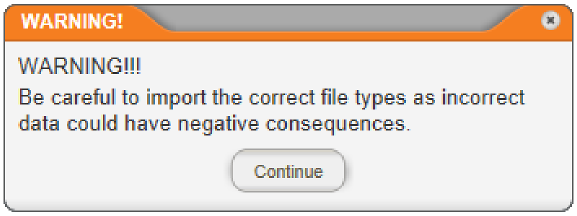
Reference number setting (see Default Document Properties: Reference Number)

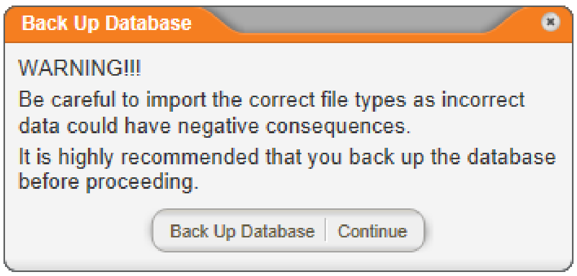
### Uploading the Documents

> **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.

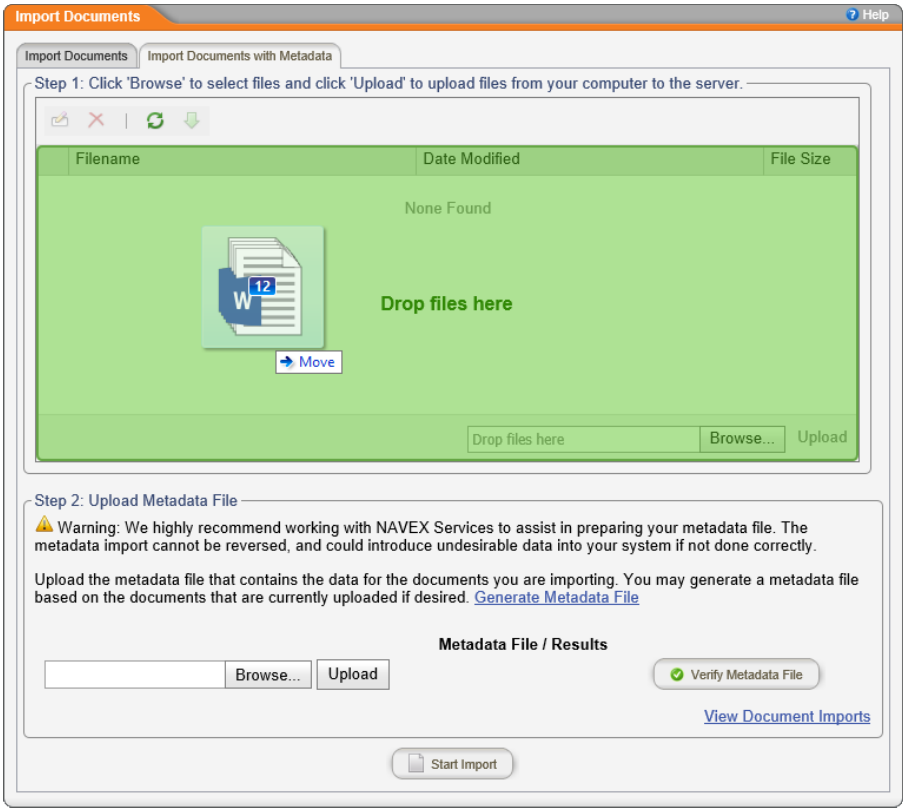
1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Import Documents**.

   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).



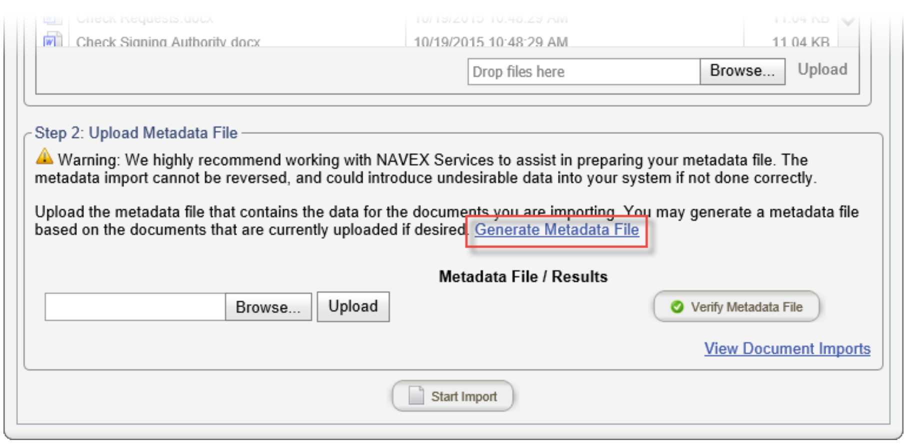

3. (Conditional) If you're prompted to back up your database, we highly recommend that you back up the PolicyTech database before you import documents. Click **Back Up Database**, and then click **OK**. When the backup is completed, click **Close**.
4. Click **Continue**.
5. Click the **Import Documents with Metadata** tab.
6. 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.



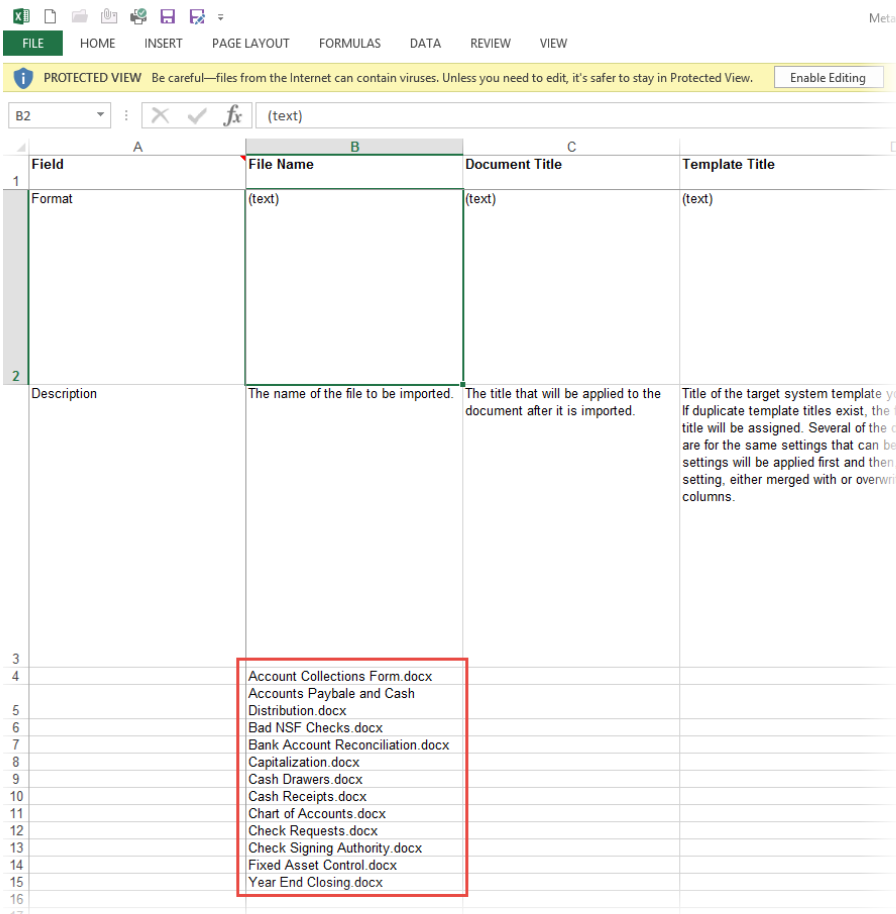

## Preparing the Document Metadata Spreadsheet

**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.



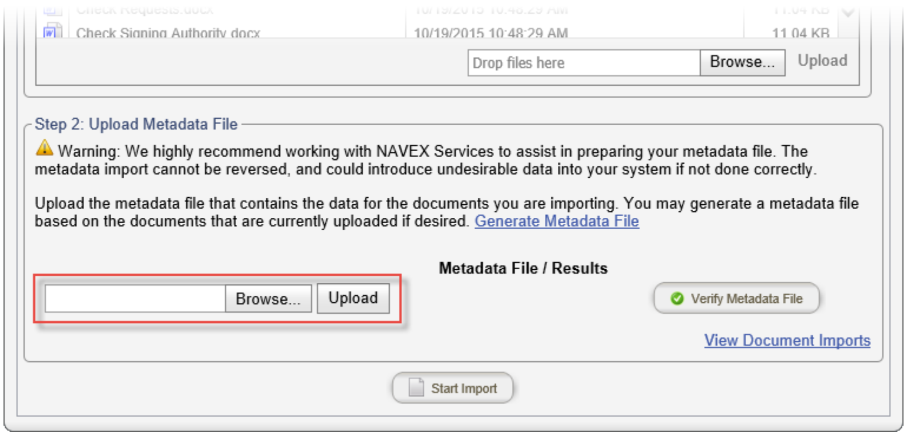

The Excel template will contain the names of the files you've already uploaded.




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

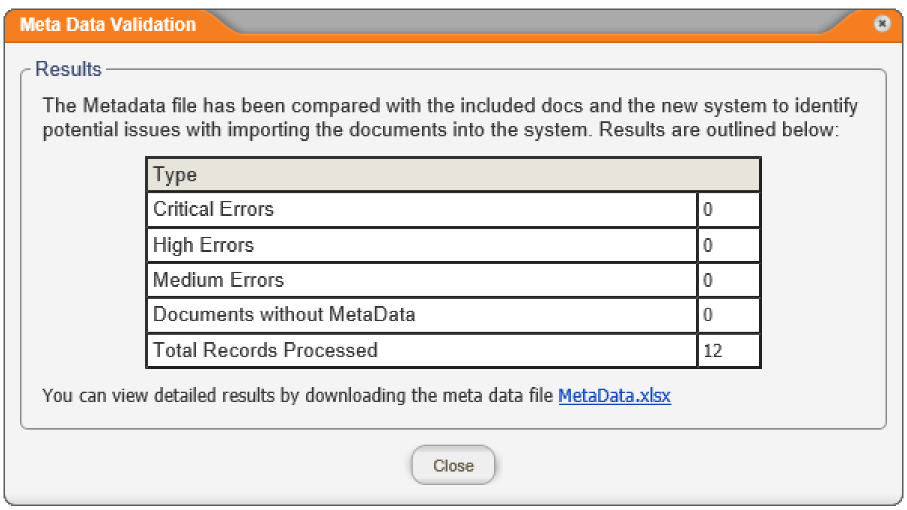
1. In the **Step 2: Upload Metadata File** area, click **Browse**, find and click the metadata spreadsheet you prepared, and then click **Upload**. The name of the uploaded file appears under **Metadata File / Results**.




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

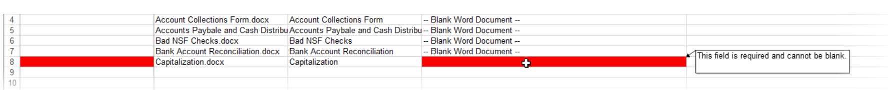
There are three error levels:

- **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.

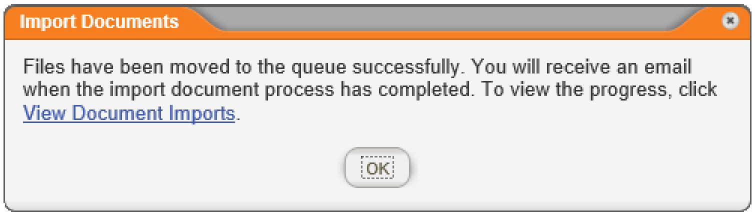



3. Open the original metadata spreadsheet you prepared and uploaded, and then make the needed changes.
4. Repeat the steps in the "Uploading the Metadata Spreadsheet" section above.

### 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

If necessary, you can export copies of PolicyTech documents. This does not affect the status of the original documents in PolicyTech.

**Important:**

- The Export Documents feature is available only if it has been enabled. Please contact Client Support if you need to have it enabled.
- If your PolicyTech system is hosted by NAVEX Global, Client Support cannot enable the Export Documents feature permanently—the enabling will have an expiration date. This is due to the intensive resource requirements of exporting documents.

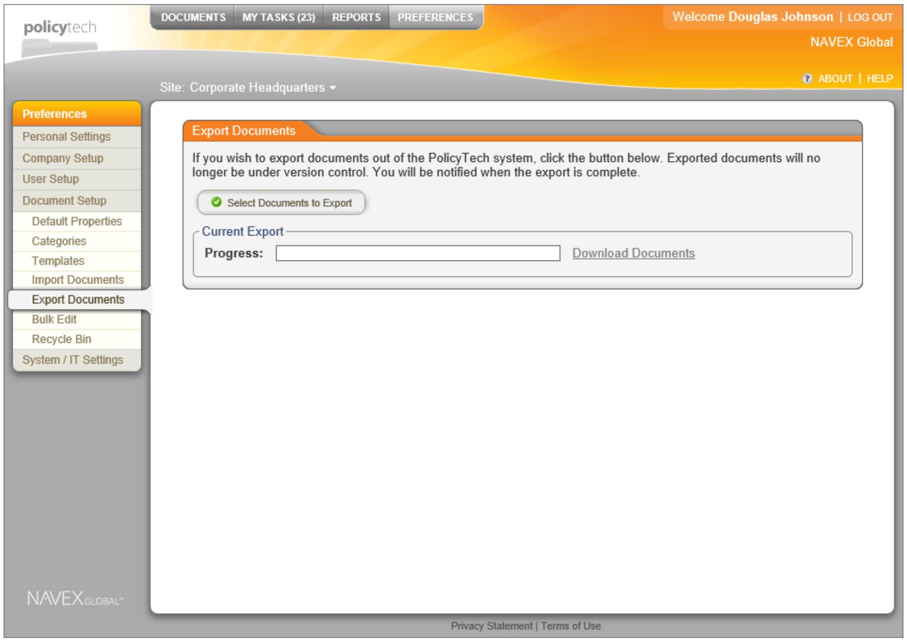
You can export documents in their original file format (such as Word or Excel documents) or in PDF format. You can also choose to include document metadata (certain Properties Wizard settings), which facilitates moving documents from one PolicyTech system to another.

**Important:**

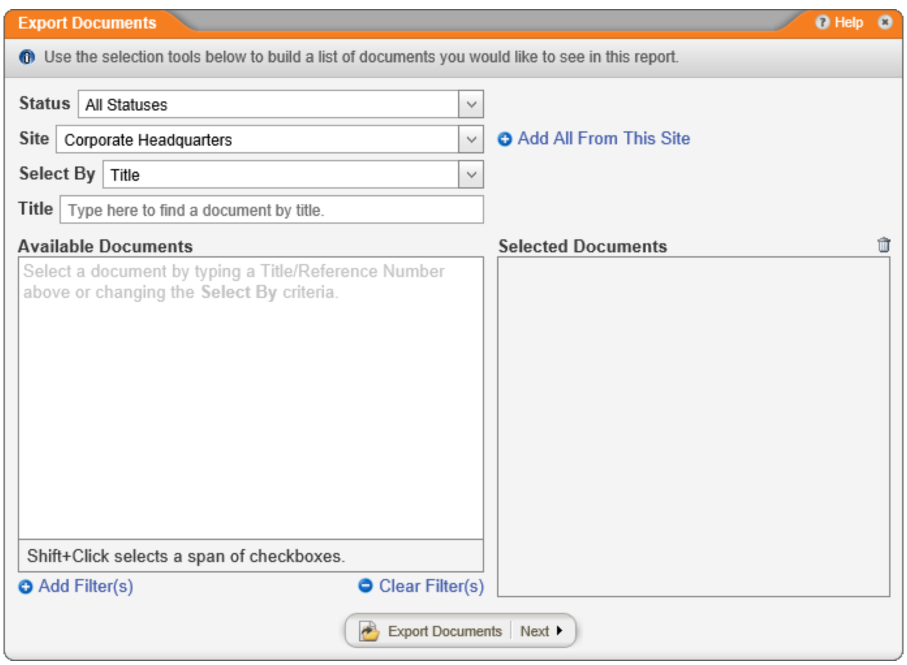
- Exported documents are no longer under version control.
- If you need to move documents from one PolicyTech system to another, please contact Client Support for guidance in order to avoid possible adverse and irreversible issues.

To begin an export:

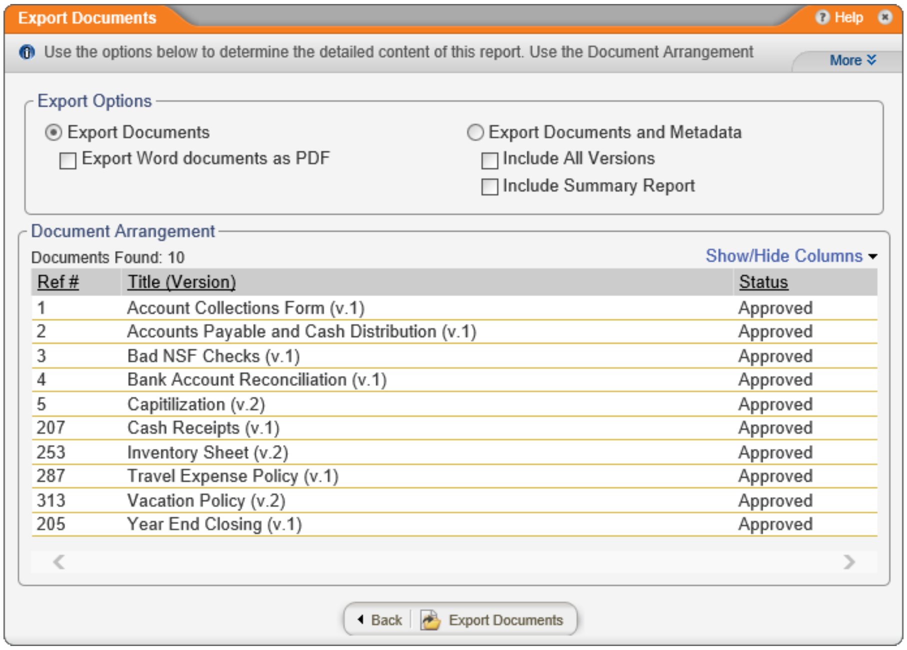
1. Click **PREFERENCES**, click **Document Setup**, and then click **Export Documents**.




2. Click **Select Documents to Export**, and then select documents (see Selecting Documents below for detailed instructions).




3. Click **Next** to display export options.




4. Do one of the following:

   - To export the selected documents only, click **Export Documents**. If you want any Word documents included in the export automatically converted to PDF format, also select the **Export Word documents as PDF** check box.

**Important:** The **Export Word documents as PDF** option will only work if PDF Converter has been enabled (see Set Up PDF Converter).

   - To export the selected documents along with an Excel spreadsheet containing document metadata (certain Property Wizard settings) , click **Export Documents and 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 Documents and 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.

5. Click **Export Documents** to place the export in a queue for processing by the PolicyTech server.

You are returned to the **Export Documents** window containing a progress bar. 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 Notification**. Back in the **Export Documents** window, the download option or options are now activated.


6. Click **Download Documents**, and then save the zip file.

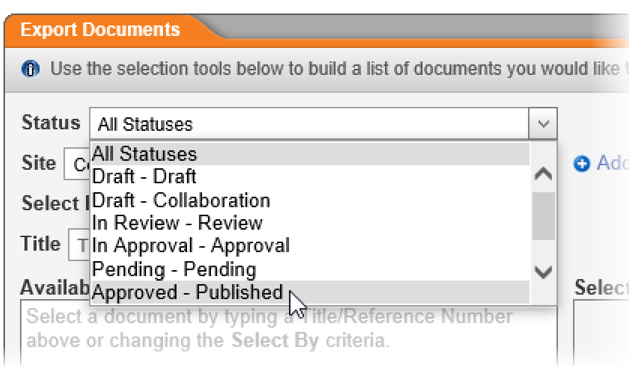
**Note:** If you exported documents with their metadata and chose to include summary reports, you can find those reports in a folder named **SummaryAndAttachments** after extracting the contents of the export zip file.

7. Extract the zip file's contents.
8. (Conditional) If you exported documents with their metadata, in the **Export Documents** window, also click **Download Metadata**, and then save the Excel spreadsheet.

## Selecting Documents

The process for selecting documents consists of first displaying a narrowed list of documents and then selecting from that list the documents you want to export.

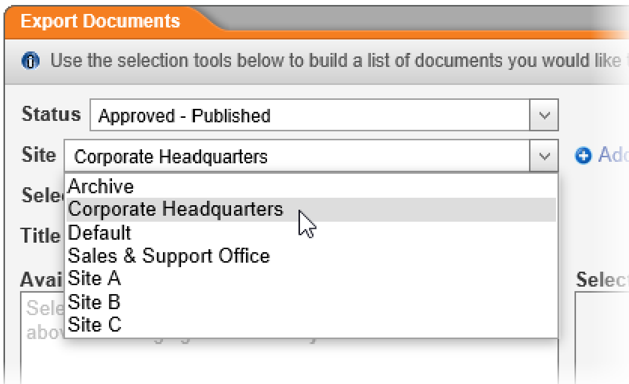
1. If a group of documents you want to export are all in the same workflow status, select that status. Otherwise, select **All Statuses**.



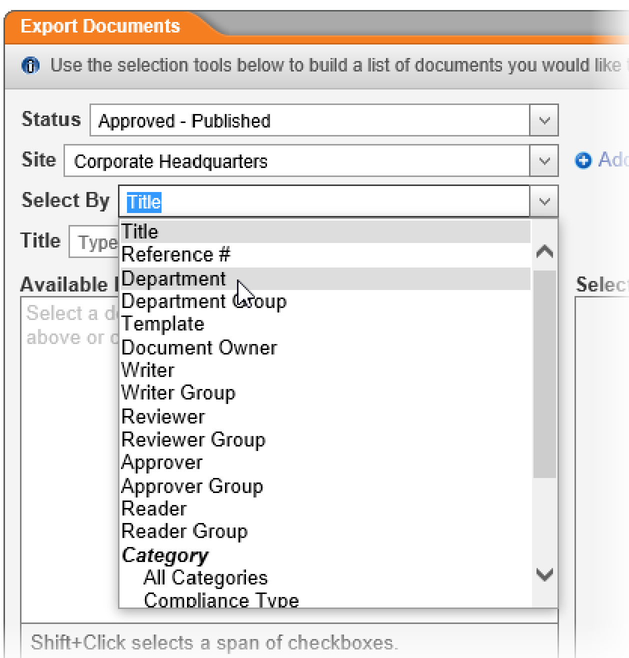

2. Select a site containing some or all of the documents you want included in the export.

**Notes:**

- To select all documents from the current site, click **Add All From This Site**.
- After finishing steps 1 through 5, repeat them to add documents from other statuses or sites.




3. In the **Select By** list, click an option for how you want to find documents.

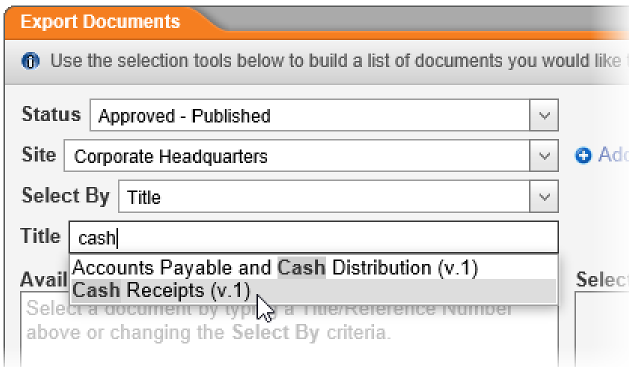



4. The list below **Select By** changes, depending on your **Select By** choice. For example, if you choose to select documents by department, a list of departments appears below the **Select By** list.

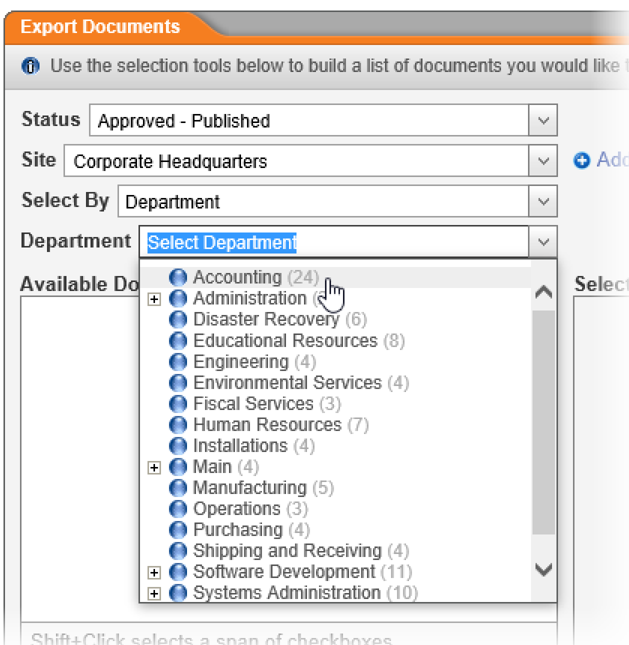
   Do one of the following:

- If you chose **Title** or **Reference #** for **Select By**, start typing some text that you believe is in a document's title or reference number. When you've typed at least three characters, a list appears of titles or reference numbers matching what you've typed. Continue typing if you need to narrow the list. As soon as you see the title or reference number you want, click it.

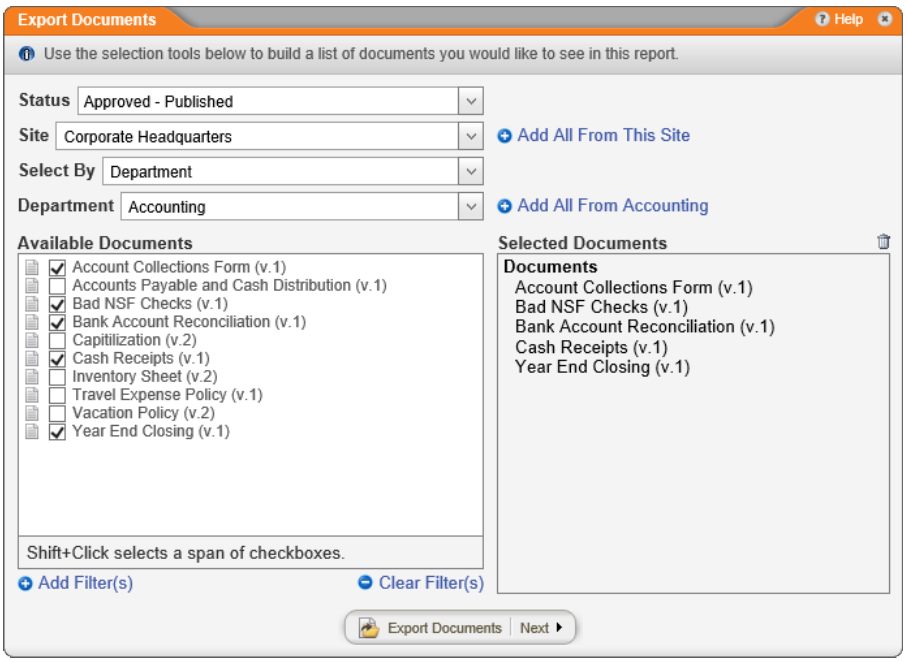
**Note:** Unlike other **Select By** options, the **Title** and **Reference #** options limit you to selecting documents one at a time.



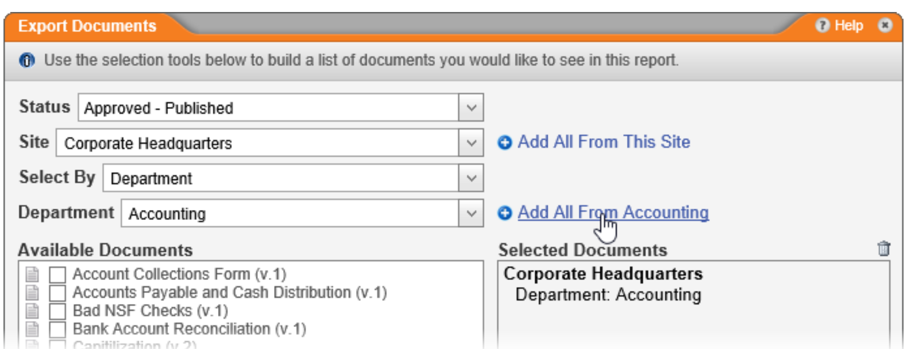

- If you chose any of the other **Select By** options, in the list below **Select By** click an item to display all documents assigned to that item. For example, if you chose **Department** for **Select By**, then in the **Department** list, click a department to display all documents assigned to that department.



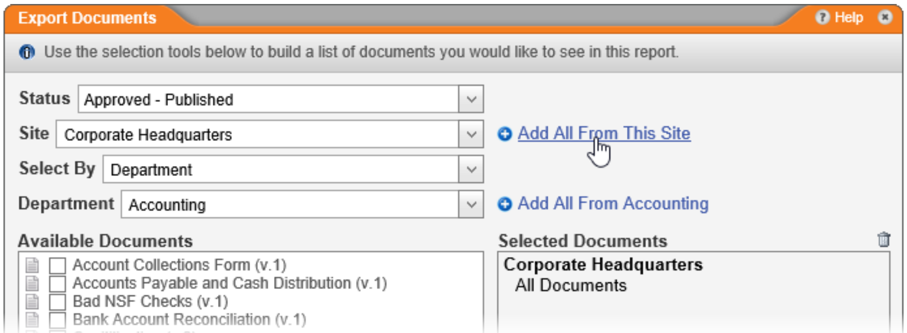
4. (Optional) To narrow a long list of documents, add one or more filters (see [Adding Document Filters] below for details).
5. Do one of the following to add documents to **Selected Documents**:
   - Select individual documents from the **Available Documents** list.




   - To quickly add all documents from the list, click **Add All From [*Select By item*]**.

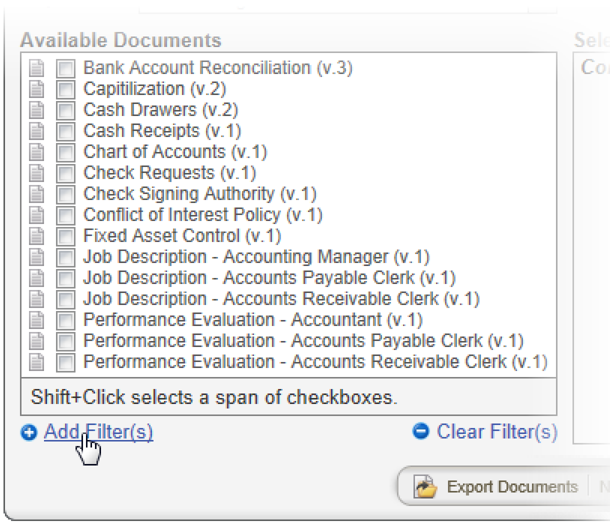



   - Click **Add All From This Site**.



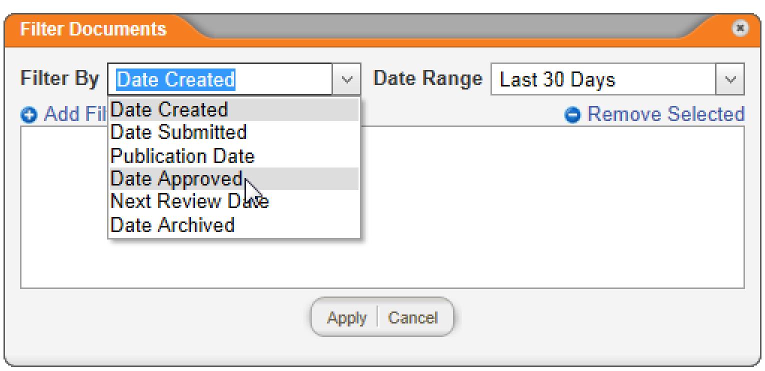

## Adding Document Filters

1. With a list of documents displayed in the **Available Documents** window, click **Add Filter(s)**.

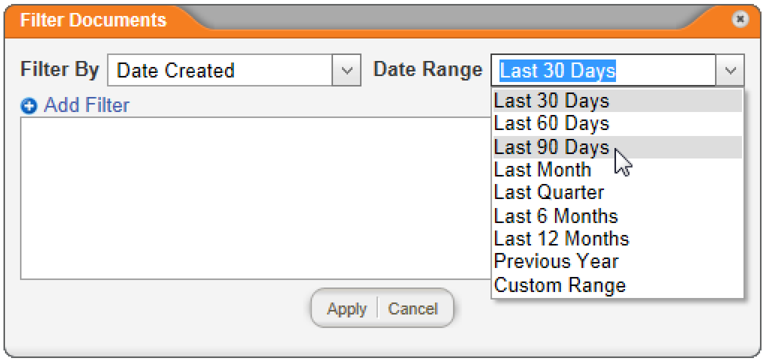



2. In the **Filter By** list, click an option.

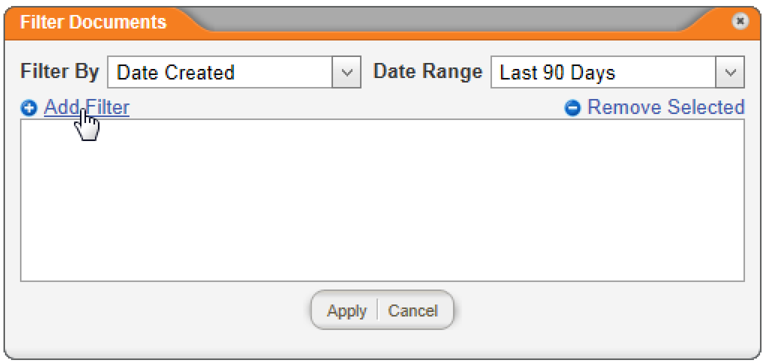
**Important:** In some reports, a **Filter By** option is preselected and not changeable.



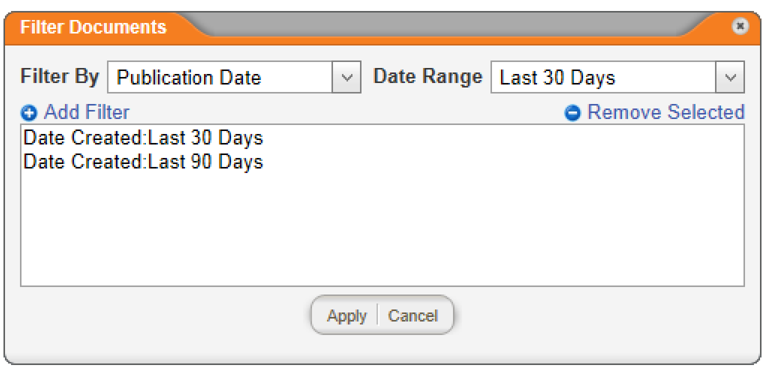

3. In the **Date Range** list, click a range.




4. Click **Add Filter**.




5. (Optional) Repeat steps 2 through 4 to add another filter to work in combination with the first filter you added. For example, you might want to filter for only those documents that were created within the last 90 days and that were published within the last 30 days.




6. Click **Apply**.

**Note:** To clear any applied filters, below the **Available Documents** box, click **Clear Filter(s)**.

## Bulk Edit

You can use **Bulk Edit** to assign document properties to multiple documents at one time.This is especially useful for assigning properties to imported documents that are created as draft documents.

The steps under "Using Bulk Edit" below provide general instruction. See the following topics for additional details:

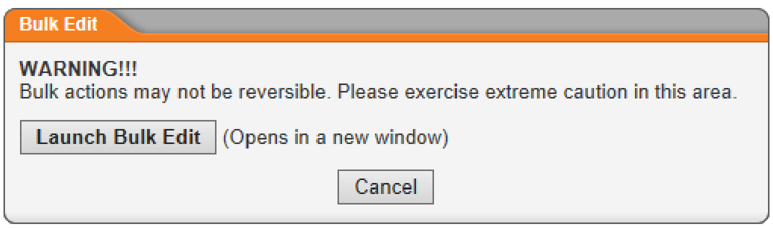
Next Review Dates after Setting as Approved
Reapplying a Template to Multiple Documents

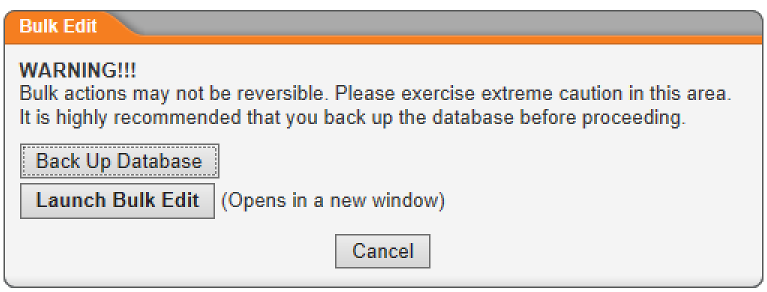
### Using Bulk Edit

Using **Bulk Edit** consists of two major steps—choosing the documents you want to edit and then modifying the properties of those documents.

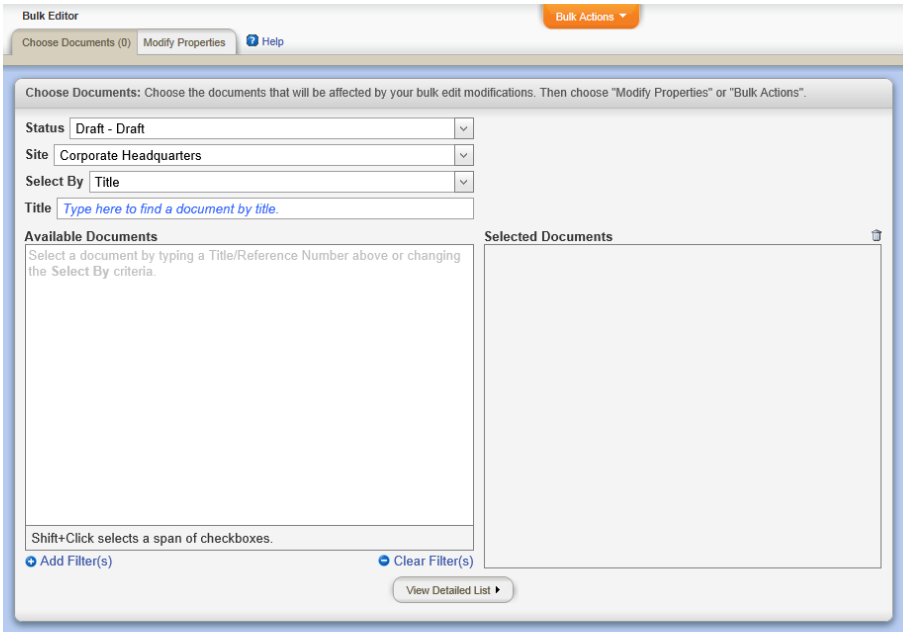
1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Bulk Edit**.

   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).




3. (Conditional) If you're prompted to back up your database, we highly recommend that you back up the PolicyTech database before using **Bulk Edit**. Click **Back Up Database**, and then click **OK**. When the backup is finished, click **Close**.
4. Click **Launch Bulk Edit**. The **Bulk Editor** opens in a separate browser window.

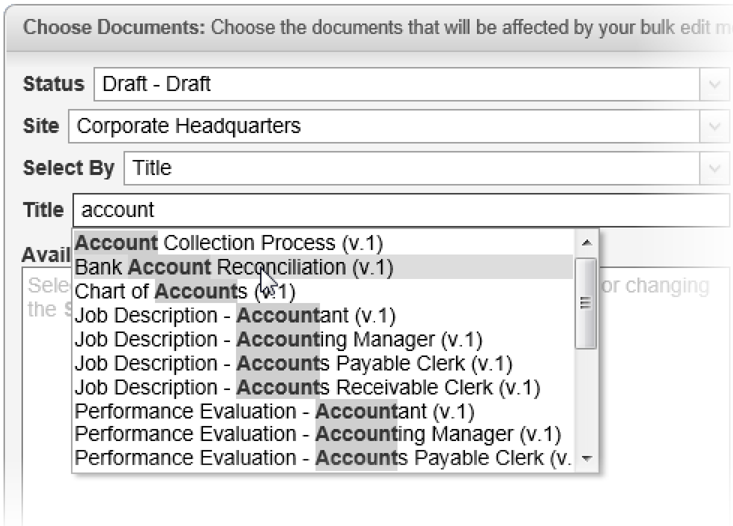



5. For **Status**, select the current workflow status of the documents you want to edit.

**Note:** If you change the status after selecting documents, you will be prompted to click **Yes** to clear the currently selected documents and switch to the different status.

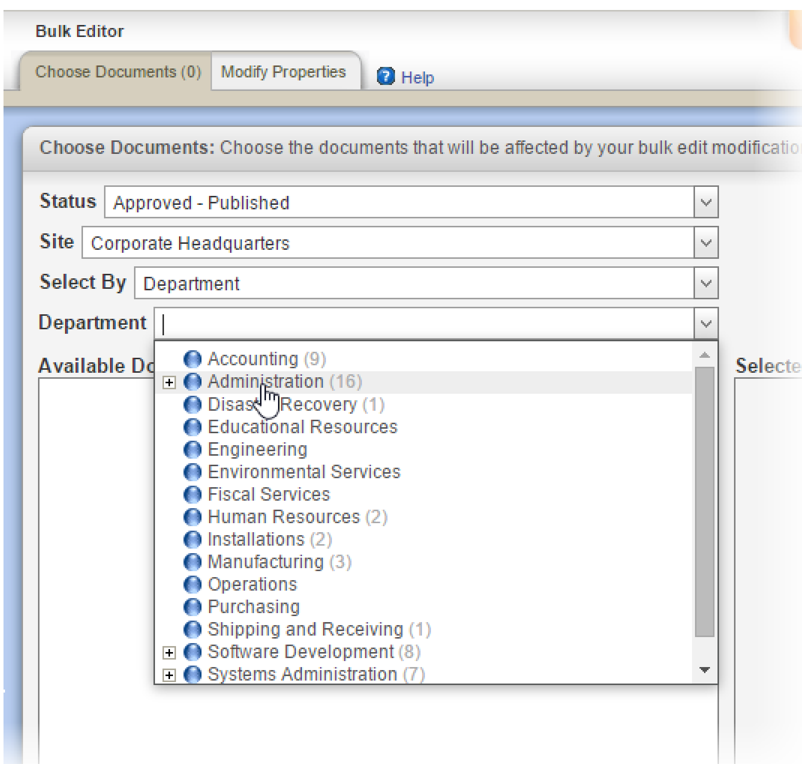
6. If your PolicyTech system has multiple sites, select the site containing documents you need to edit.
7. For **Select By**, choose a criterion by which to find documents.
8. The selector below **Select By** changes depending on your **Select By** choice. Do one of the following:
   - If you selected **Title** or **Reference #**, start typing any part of a document title or reference number you want to find. After typing at least three characters, a list of document titles or reference numbers appears containing the characters you typed. Click a document title to add it to **Selected Documents**.

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



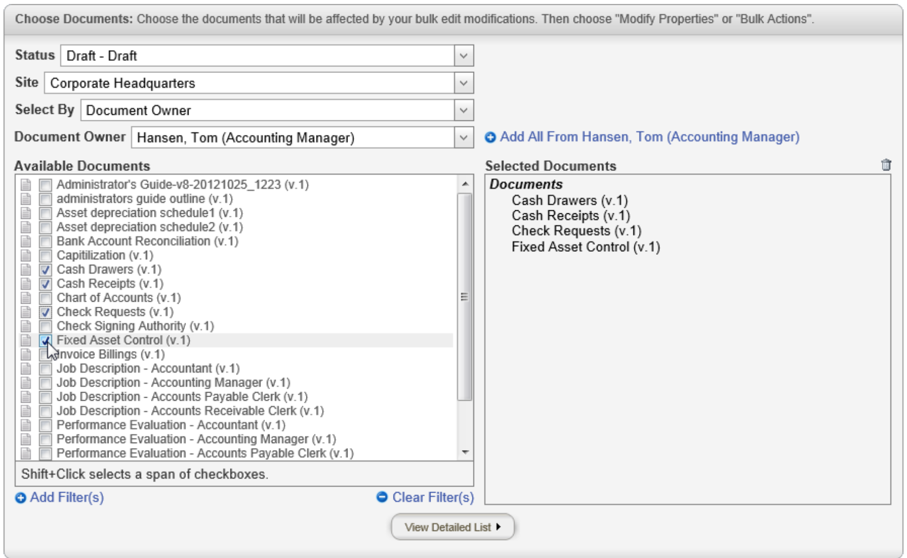

- If you made any other **Select By** choice, select an item to show the documents assigned to it. For example, if you chose **Department**, then, in the **Department** list, click a department name.

**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 assigned to that item for the currently selected status and site.



A list of documents corresponding with the **Select By** item you chose is displayed. Select the check boxes for the documents you want added to **Selected Documents**.

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




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

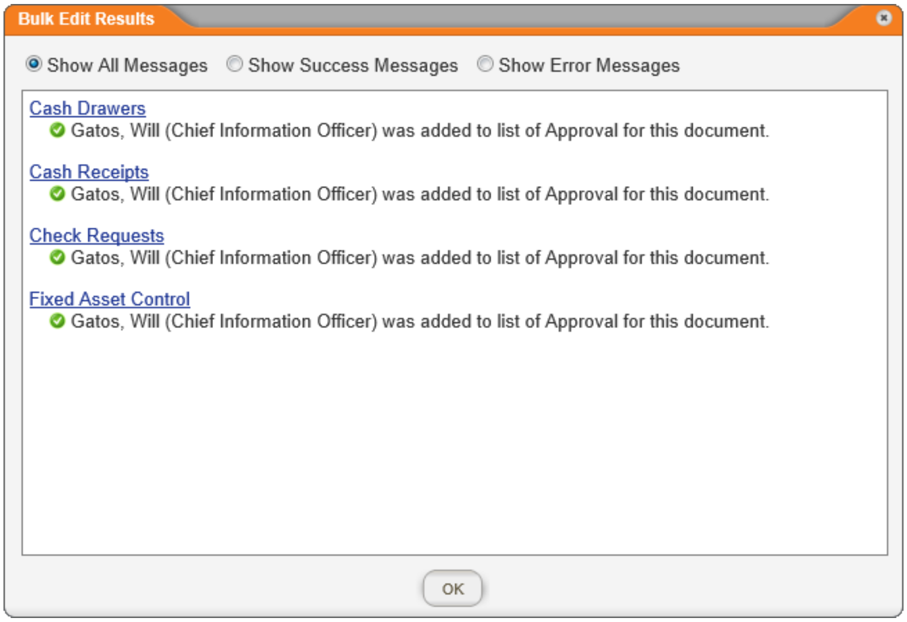
10. With all of the documents selected that you want to edit in the same way, do one of the following:

    - Use **Modify Properties** to change document settings or to add or remove writers, reviewers, approvers, or readers. See Modify Properties below for details.

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

11. Each time you perform a **Bulk Editor** action, a results window like the one below is displayed. You can click a document title to open and check your changes. Click **OK** to close the **Bulk Edit Results** window.

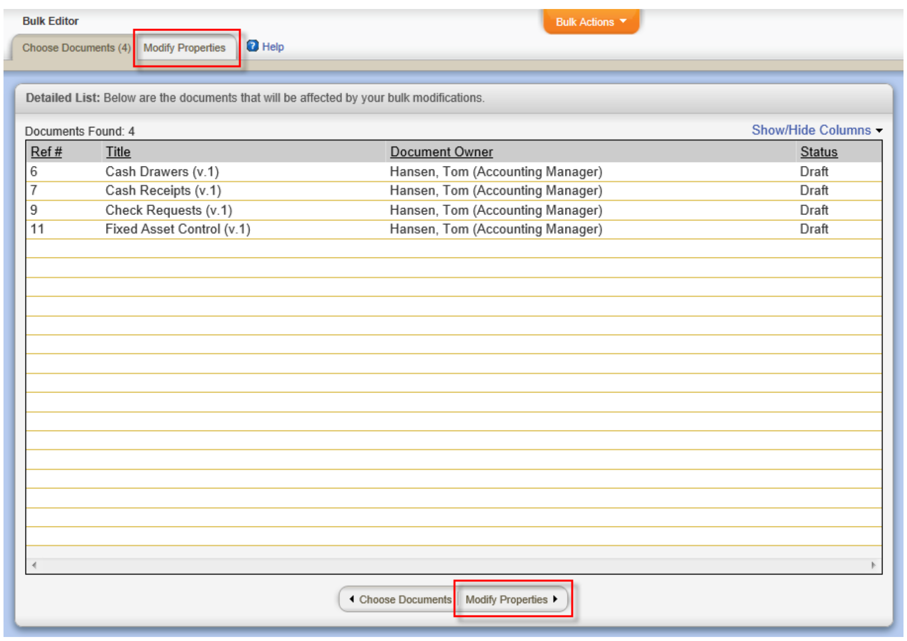
**Note:** All message types are shown by default. You can also choose to see only success or error messages.



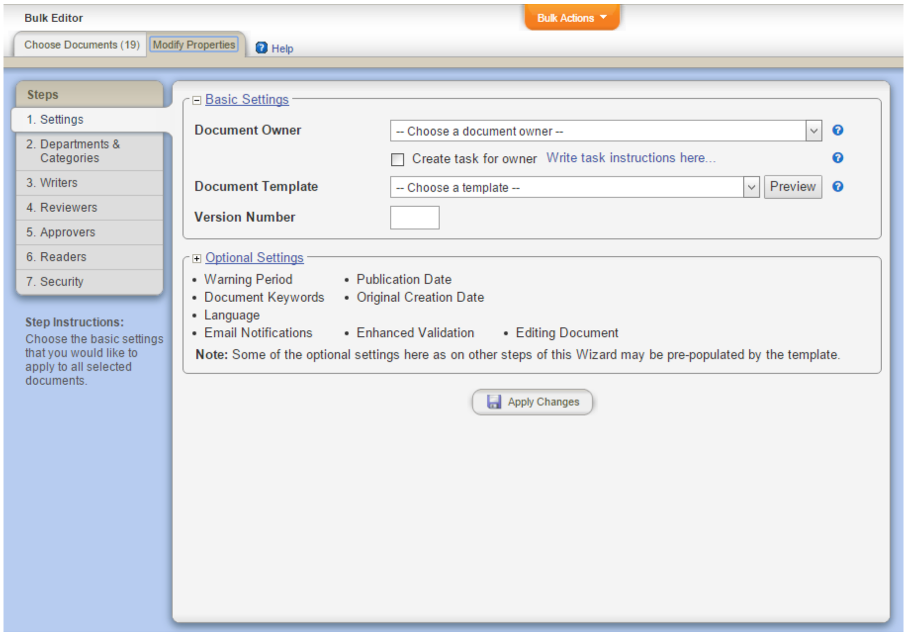

12. When finished, close the **Bulk Editor** window.

## 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. 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 Document Properties" in the User's Guide.

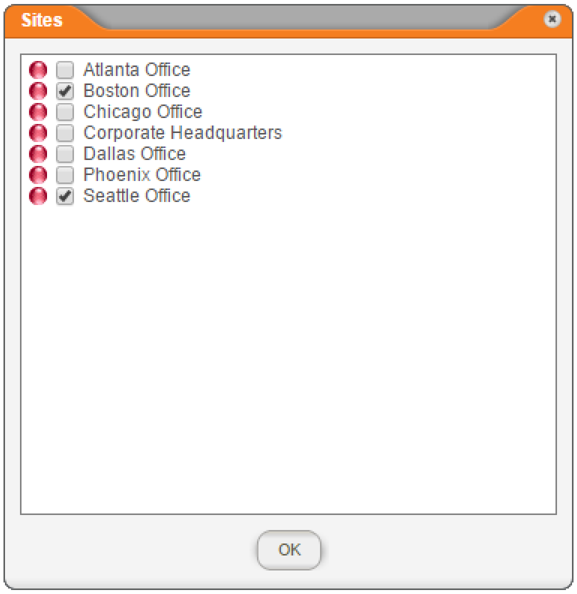



2. Do any of the following:

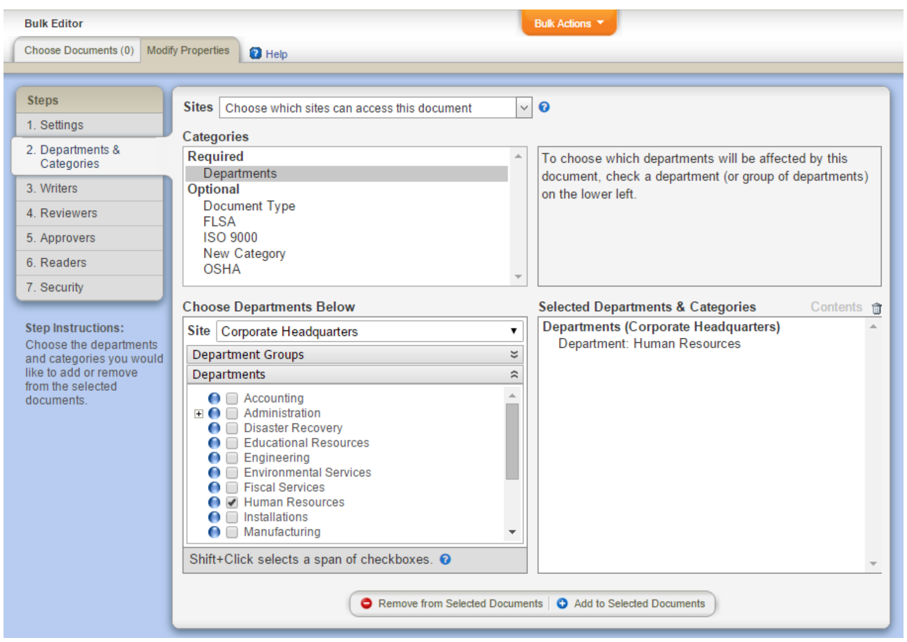
   - **Change document settings:** In the **Settings** step, change any of the selected documents' basic or optional settings, and then click **Apply Changes**.

   - **Change site assignments (grant or deny document access by site):** In the **Departments and Categories** step, click the down arrow after **Sites**, select site check boxes, click **OK**, and then click **Remove from Selected Documents** or **Add to Selected Documents**.

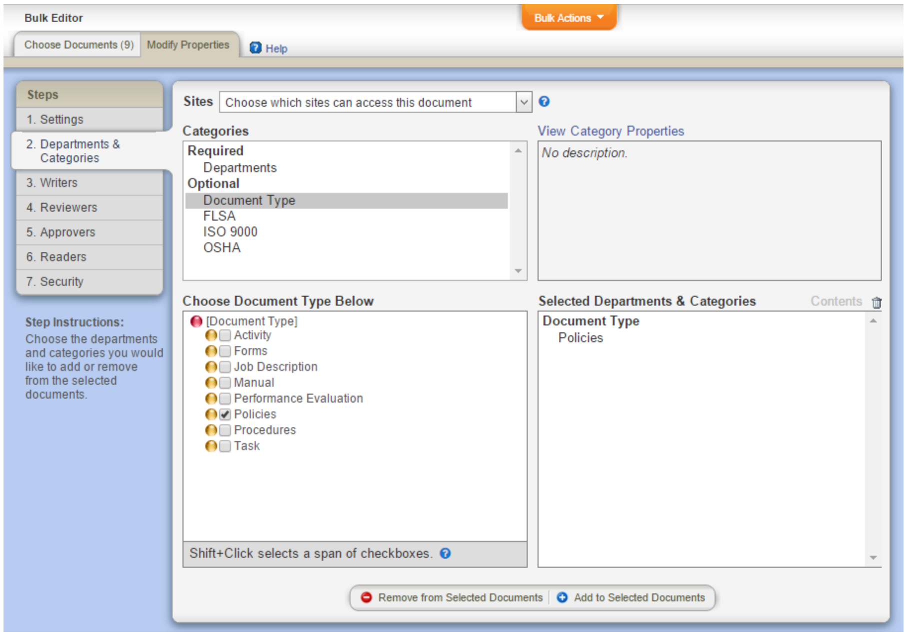
**Important:** When created, a document must be assigned to at least one site (it is assigned to the document owner's primary site by default). When removing site access using Bulk Edit, if the sites you select would result in all currently assigned sites being removed from a selected document, the removal will fail for that document and you will see a message to that effect in the **Bulk Edit Results** window.




- **Change department assignments:** In the **Departments & 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 **Departments & 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**.



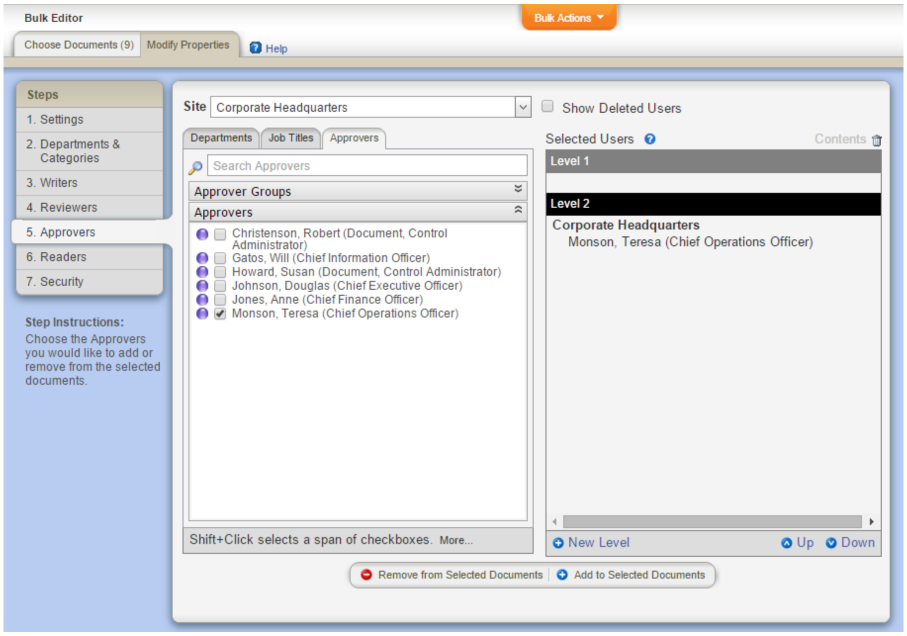

- **Change writer, reviewer, or approver assignments:** Adding or removing writers, reviewers, or approvers is a bit more complex than other **Bulk Editor** changes, because these types of users can be assigned to different writing, review, or approval levels.

  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.

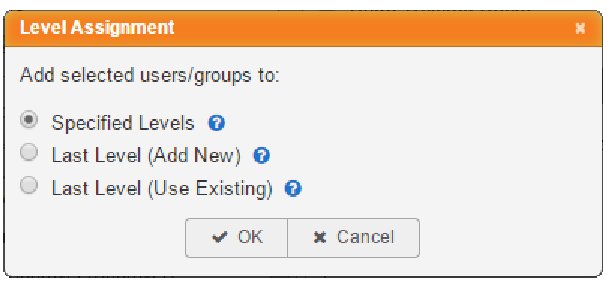
**Important:** Because all approved documents must have at least one assigned approver, attempting an action that would remove all approvers will fail. To switch an approver assignment, you may need to add the new approvers before removing existing ones.

  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** twice, and then, with the **Level 2** bar highlighted (selected), select approvers, job titles, or departments (see Selecting Users below).

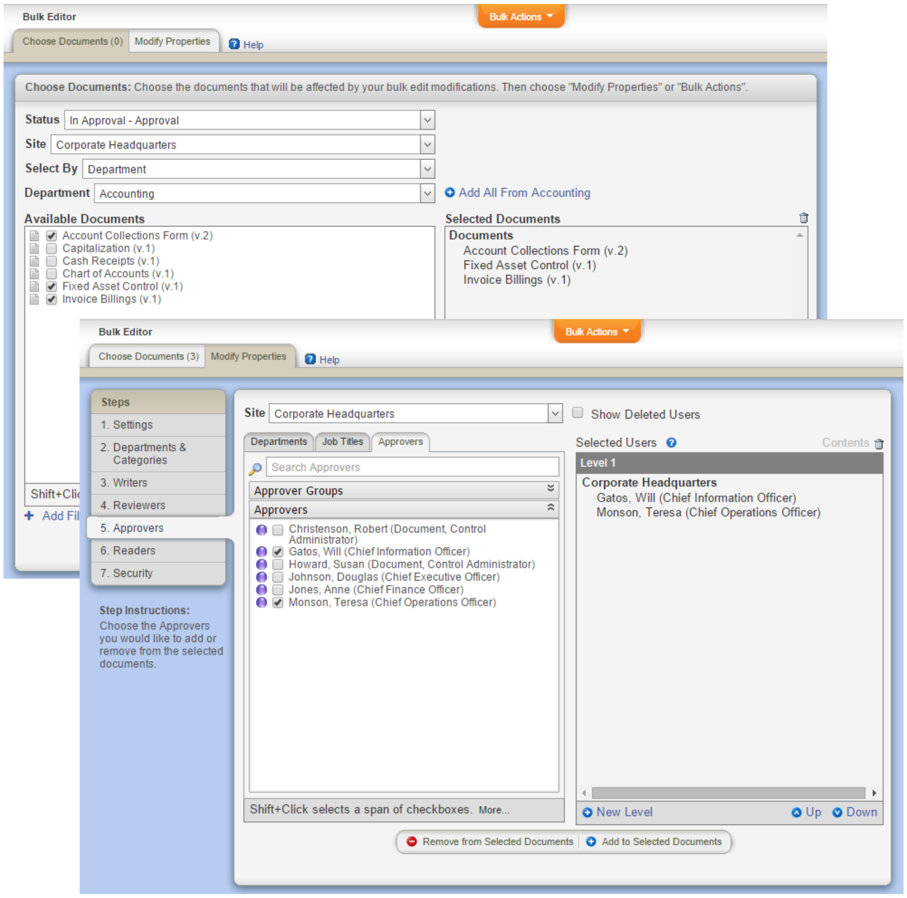



When finished selecting entities, click **Add to Selected Documents**, in the prompt click **Specified Levels**, and then click **OK**.

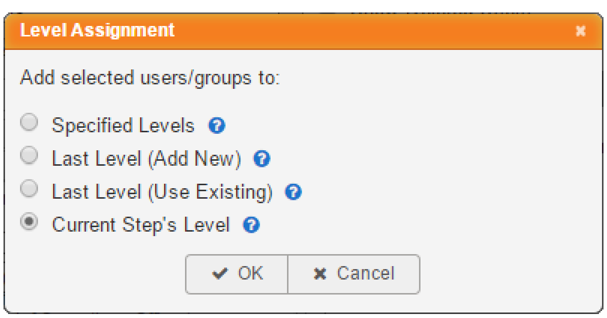



- **Assign to the last level:** To assign entities to the last (greatest in number) level of the writing, review, or approval status, select users, job titles, or departments (no need to add levels first; see **Selecting Users** below), and then click **Add to Selected Documents** to display the **Level 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 selection, you may be able to assign entities to whatever workflow status (draft, collaboration, review, etc.) and level the selected documents are in. For this option to be available, the status of the selected documents 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. 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**.

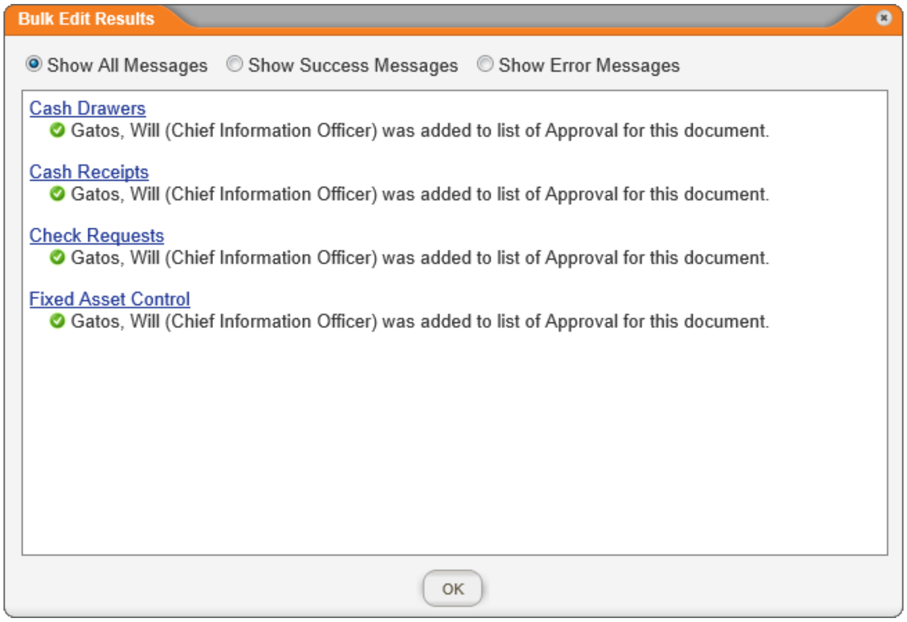



- **Change reader assignments:** In the **Readers** step, assign departments, job titles, or individual readers (see Selecting Users below), and then click **Remove from Selected Documents** or **Add to**

**Selected Documents**.

- **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 document title to open 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 **Readers** 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 deleted) users are available for selection. Select the **Show Deleted Users** check box if you need to select users who have been deleted from the PolicyTech system and are currently in the **Recycle Bin**. This is especially useful for removing writing, review, approval, or reading assignments for those who are no longer with your organization.
3. Use any of the available methods for selecting writers, reviewers, approvers, or readers. If you need help, see the following sections in the User's Guide:

   "Assigning Document Properties - Step 3: Writers"

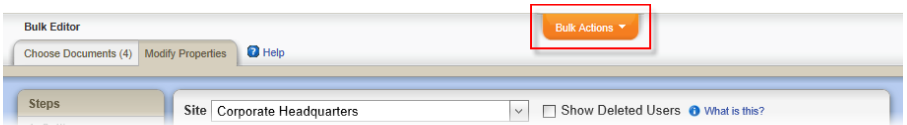
   "Assigning Document Properties - Step 4: Reviewers"

   "Assigning Document Properties - Step 5: Approvers"

"Assigning Document Properties - Step 6: Readers"

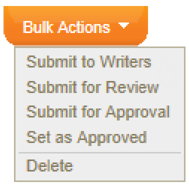
## Bulk Actions

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

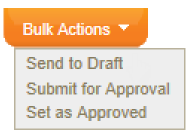



The options you see depend on the status of the selected documents, as shown below.

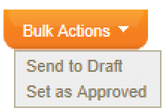
***With documents in draft or collaboration selected:***




***With documents in review selected:***

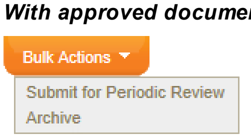



***With documents in approval selected:***




***With pending documents selected:***


***With approved documents selected:***




Each of these options is explained below.

**Send to Draft.** The selected documents 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 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 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 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 in draft, collaboration, review, or approval status into either pending or published status, depending on each document's publication date. If the publication date has passed, the document is moved to approved status. If the publication date is in the future, the document 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 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.

**Delete.** Moves the selected documents in draft or collaboration status to the **Recycle Bin**.

**Archive.** Moves the selected documents in pending or approved status to the archived status. Any assigned readers who have not yet marked the documents as read will be notified that they no longer need to read the documents.

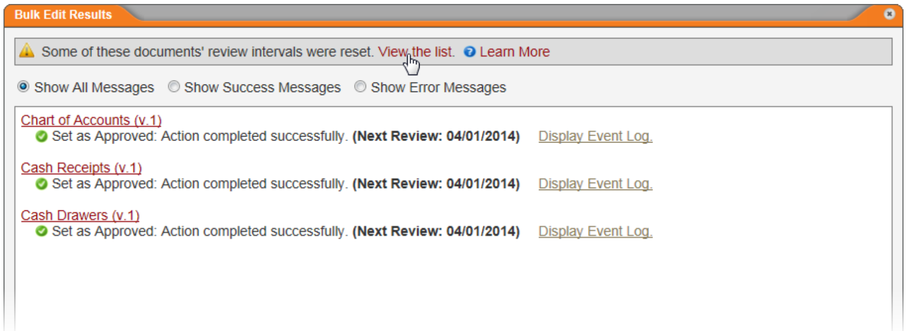
**Submit for Periodic Review.** Immediately submits the selected documents in published status to review and assigns the document owner a review task.

### Next Review Dates after Setting as Approved

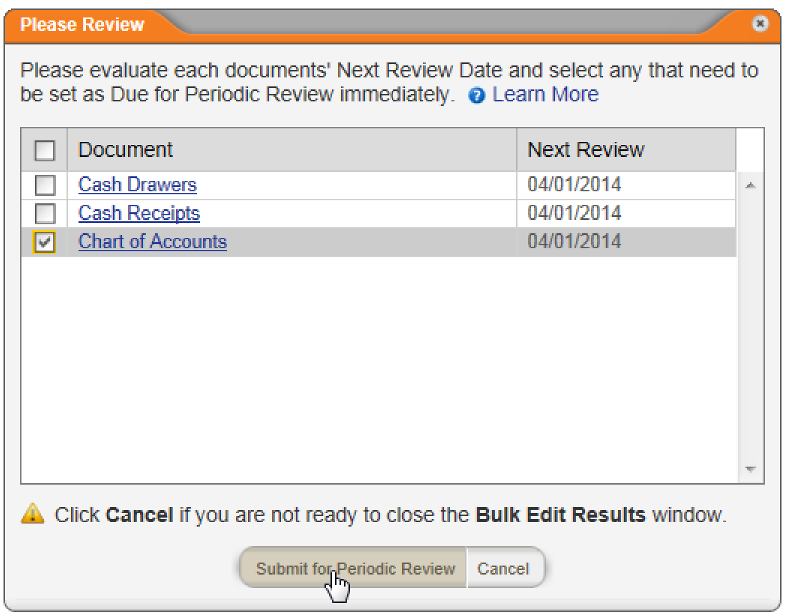
When you set a document as approved, PolicyTech™ checks the next scheduled periodic review date to see if the set as approved date is within the warning period for that periodic review date. If it is not, review notifications will be sent to the document owner and any assigned proxy authors on the scheduled 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 6/1/2013 and the warning period for that document is set to one month. If you set that document as approved on 5/7/2013, it would be within the document's one-month warning period, so the review date would be reset to 6/1/2014.

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 (see Take Action on a Document Due for Periodic Review for details) and includes a due date of the day you force the periodic review submission. The second email indicates that you, as a document control administrator, have submitted the document for periodic review.

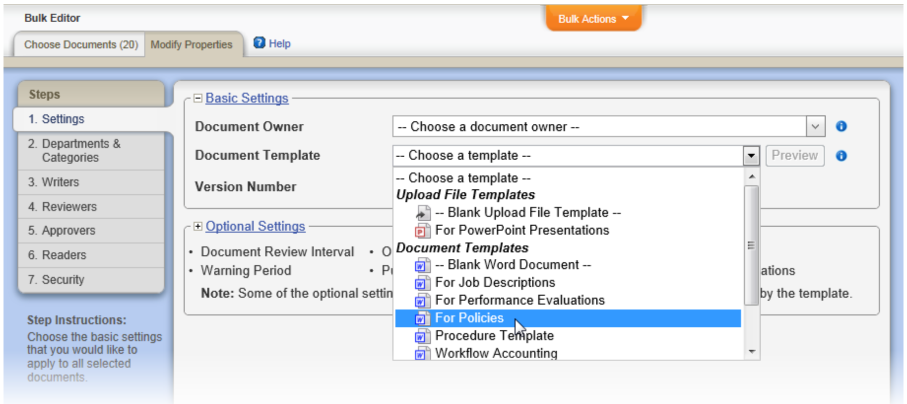



## Reapplying a Template to Multiple Documents

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**.

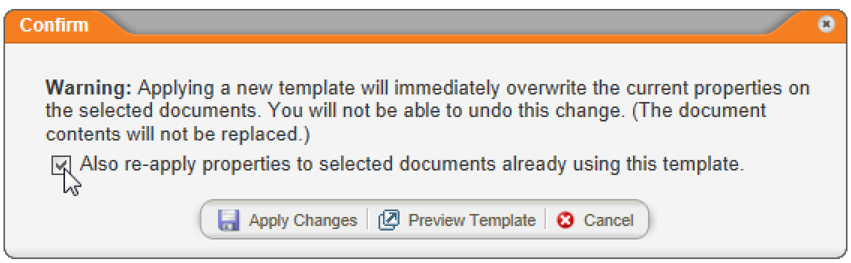
1. In **Bulk Editor**, select documents, and then click **Modify Properties** (see Bulk Edit for detailed instructions).

2. In step **1. Settings**, in the **Document Template** list, click the template currently assigned to the selected documents.

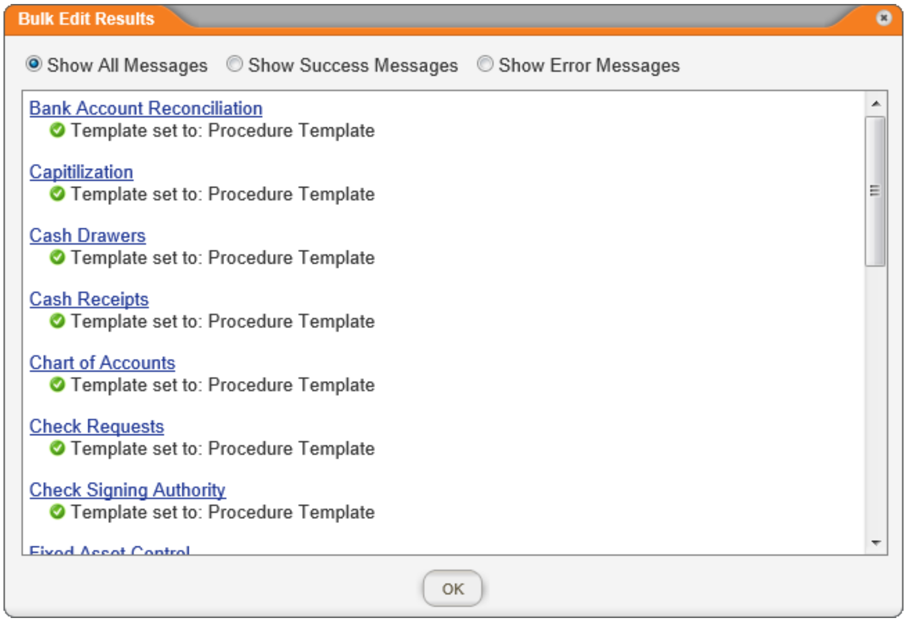



3. In the **Confirm** window, select the **Also re-apply properties to selected documents already using this template** check box.

**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**.

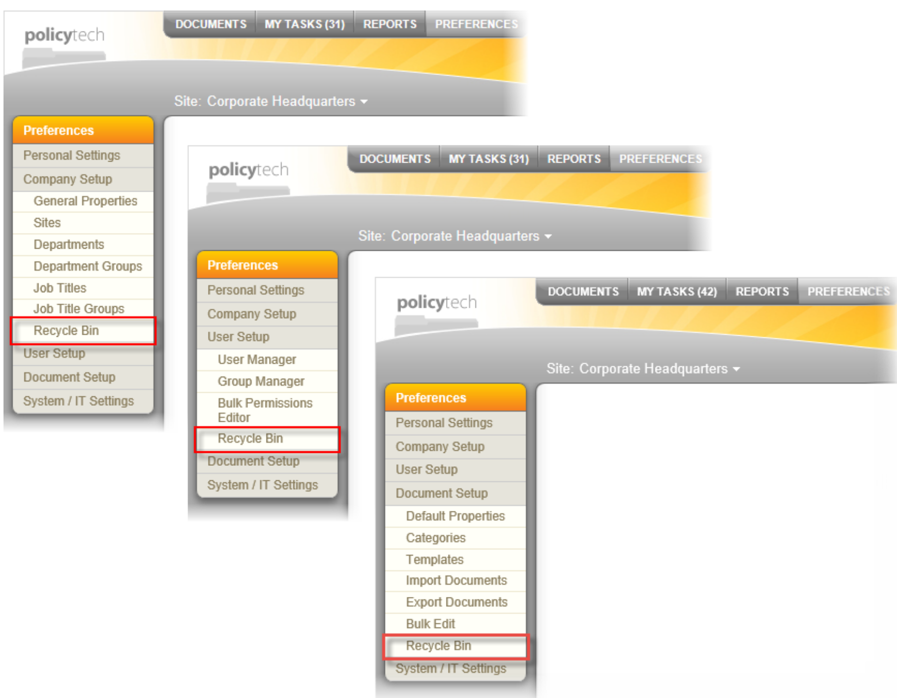

Bulk Edit Results
Show All Messages
Show Success Messages
Show Error Messages
Bank Account Reconciliation
Template set to: Procedure Template
Capitilization
Template set to: Procedure Template
Cash Drawers
Template set to: Procedure Template
Cash Receipts
Template set to: Procedure Template
Chart of Accounts
Template set to: Procedure Template
Check Requests
Template set to: Procedure Template
Check Signing Authority
Template set to: Procedure Template
OK

# The Recycle Bin

Whenever one of the following is deleted, it is moved to the **Recycle Bin**. You can restore or permanently delete any of these items.

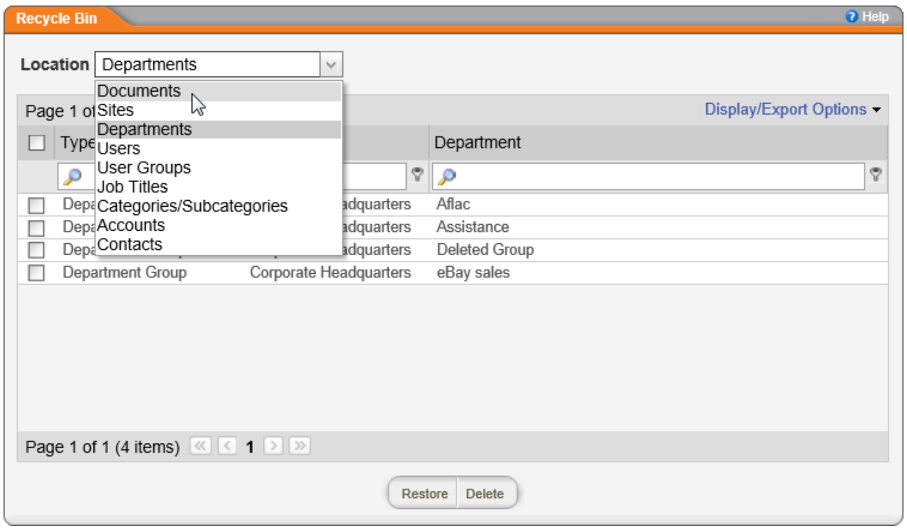
- Site
- Department
- Department group
- Job title
- Job title group
- User
- Writer, reviewer, approver, or reader group
- Category
- Template
- Document

You can access the **Recycle Bin** from **Company Setup**, **User Setup**, or **Document Setup** in **Preferences**.




To restore or permanently delete an item from the recycle bin,

1. Click **PREFERENCES**.
2. Do one of the following:
   - Click **Company Setup**.
   - Click **User Setup**.
   - Click **Document Setup**.
3. Click **Recycle Bin**.
4. In the **Location** list, click the type of item you want to restore or delete.




**Notes:**

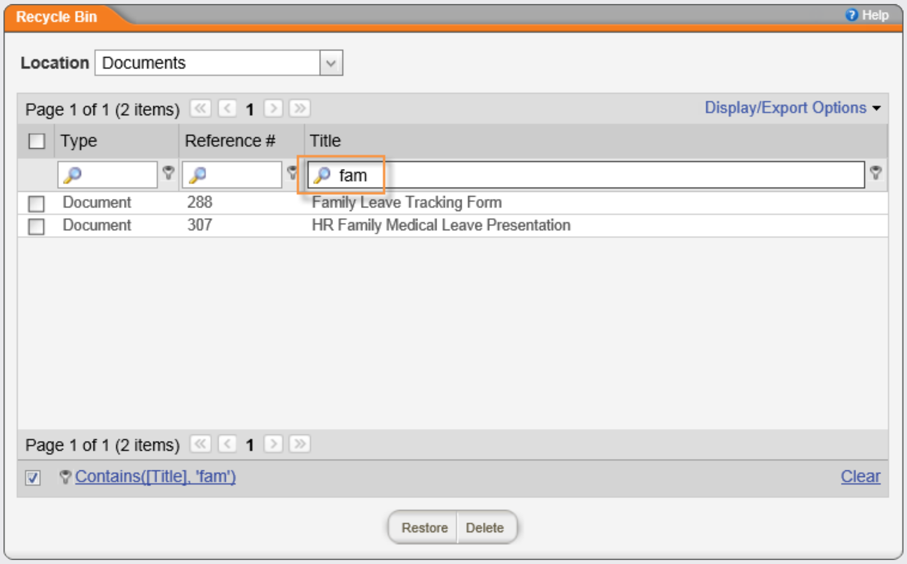
- Deleted templates are stored in the **Documents** location.
- By default, 20 items of the type you select are displayed per page. To change that number, click **Display/Export Options**, click **Display Options**, and then, in the **Items Per Page** list, click a number.

5. (Optional) To shorten a long list of items, start typing text in one of the column filter boxes.

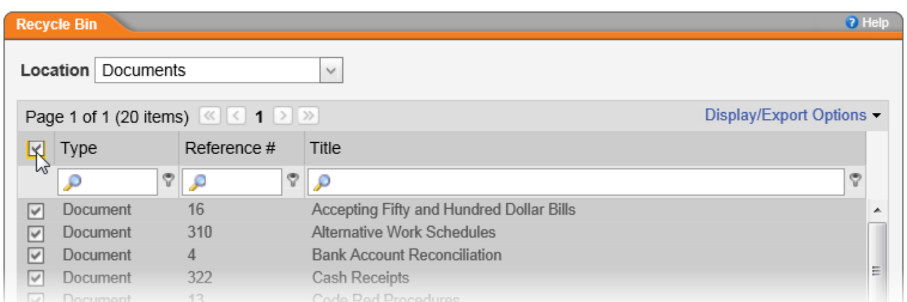
**Notes:**

- By default, the filter operator is **Contains**. To change the filter operator, click after the column filter box, and then click a different operator, such as **Begins with** or **Equals**.
- To create a more complex filter, see Creating an Advanced Filter in the Recycle Bin.
- To clear a column filter, click **Clear** below the item list, or delete the text in the column filter box.

- To temporarily clear a column filter, click to clear the check box below the item list (the check box before **Contains([Title], 'fam')** in the screenshot below).
- Column filters are displayed by default. To hide them, click **Display/Export Options**, click **Filter Options**, and then deselect **Show Column Filters**.




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.



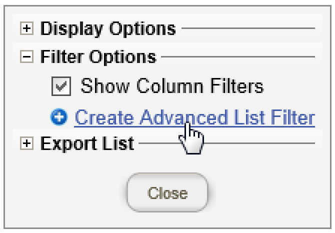

7. Do one of the following:
   - Click **Restore**, and then click **OK**.
   - Click **Delete**, click **Yes** to confirm, and then click **OK**.

**Important:** We recommend that you not delete users from the **Recycle Bin** as you may find that you need to access their information in the future. If you decide to delete users permanently, be sure to back up the database before you do (see Backing Up a Database).

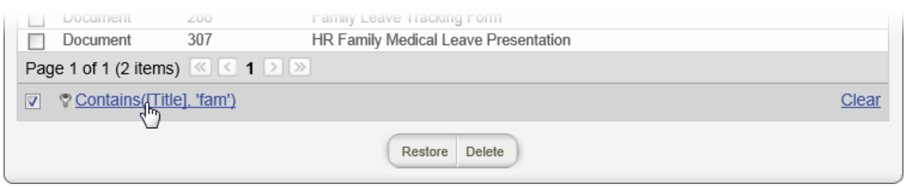
- To export the currently displayed list, click **Display/Export Options**, click **Export List**, and then click an export format. At the system prompt, open or save the export file.

## Creating an Advanced Filter in the Recycle Bin

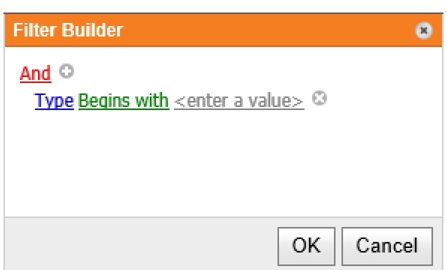
1. To create an advanced filter, click **Display/Export Options**, click **Filter Options**, and then click **Create Advanced List Filter**.




**Note:** If you've already used a basic column filter and want to build on it, click the filter formula at the bottom of the item list.




2. In the **Filter Builder**, click after the **And** operator to add a default filter condition.

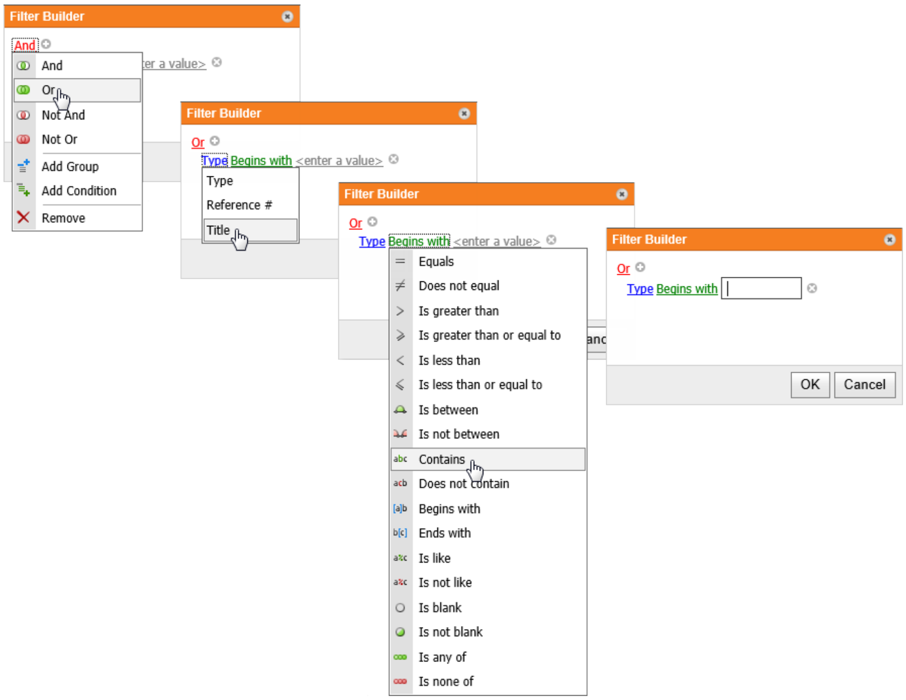



   In the formula above the operator is in red font, the column name is in blue font, the filter type is in green font, and the condition parameter is in gray font.

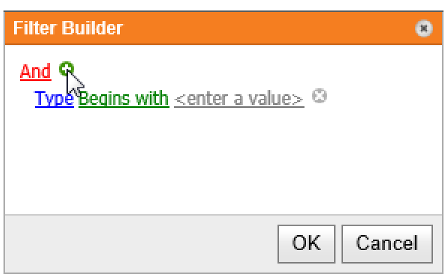
3. Use the following guidelines to create the filter.

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

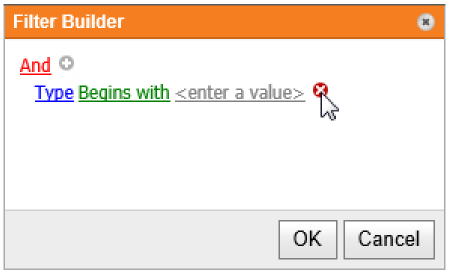
- To change any displayed filter element, click it and select an option, or type in the text box and press Enter.



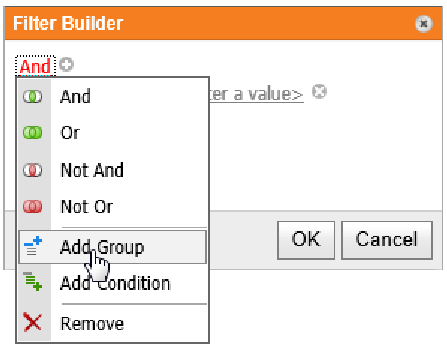

- A group is an operator and all the conditions below it. To add a condition to a group, click ⊕ after the operator.




- To delete a condition, click ⊗ after the condition.




- 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**.

4. Click **OK**.

# System and IT Settings

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

Registration Info

Check for PolicyTech Software Updates

Database Manager

Email Settings

Login Settings

Language Files

Module Manager

Automated User Synchronization

Automated Department Synchronization

View Logs

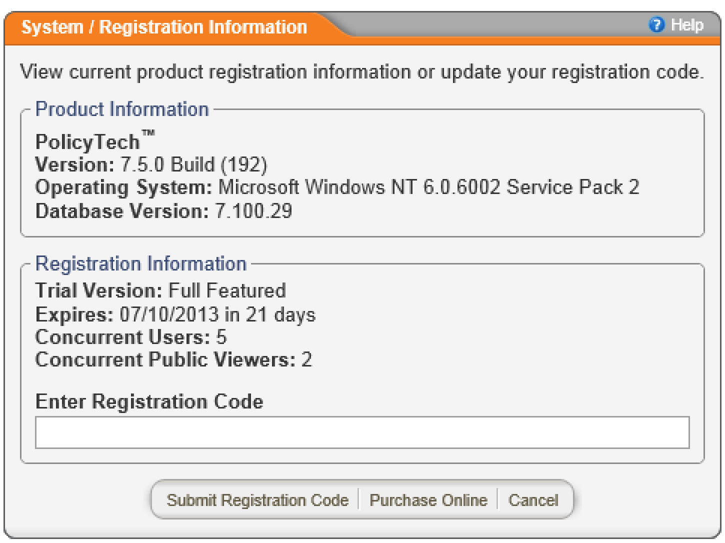
Theme Manager

FIPS Compliance

API Keys

## Registration Info

1. Click **PREFERENCES**.
2. Click **System/IT Settings**, and then click **Registration Info**.



The **Product Information** area shows the current PolicyTech™ version and build, the operating system of the server hosting PolicyTech, and the PolicyTech database version.

The **Registration Information** area shows whether the PolicyTech system is a registered or trial version and when the licenses or trial period will expire. This area also shows how many concurrent regular users and **Public Viewer** users are allowed with the purchased licenses.

**Note:** The **Public Viewer** is a separately purchased module. See Purchase an Advanced Feature Module for details.

3. In the **System / Registration Information** window, you can do either of the following:
   - Click **Purchase Online** to go to the PolicyTech web site, where you can request pricing and have a sales professional contact you.
   - After purchasing licenses, type the code you received with the licenses, and then click **Submit Registration Code**.

## Check for Software Updates

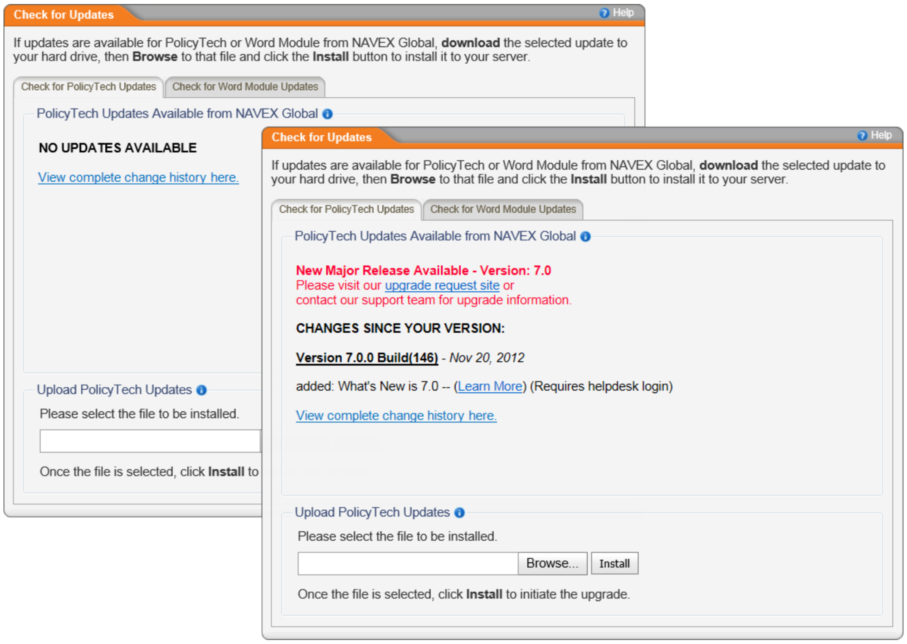
You can check to see if PolicyTech™ application and WordModule*Plus* updates are available and, in some cases, immediately download and install new versions.

**Note:** For an explanation of what WordModule*Plus* does, see Setting Up Document Access.

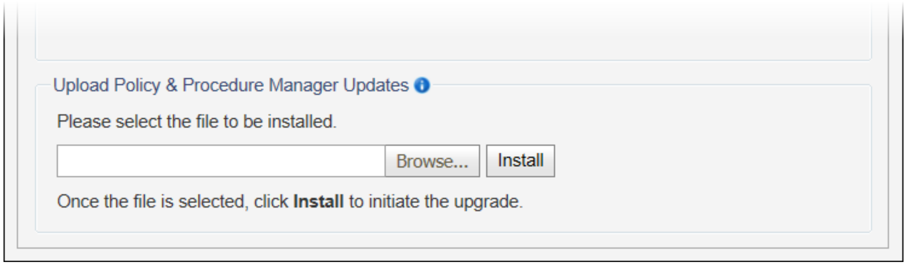
**Important:** If you have purchased a support service level and are paid up and current, you are entitled to all updates as they become available. If you are not current on your service agreement, you will not be able to update until you are.

### Check for PolicyTech Updates

1. Click **PREFERENCES**.
2. 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 one of the following, depending on whether there is a an update available. If no updates are available, you can skip the remaining steps.




3. (Optional) If an update is available, in the **Check for Updates** window do one of the following to get information about the update:
   - Click **Learn More** to see what was changed in the new version compared to the one immediately previous to it.
   - Click **View complete change history here** to see all changes in the new version compared to the version you currently have installed and all versions in between.
4. Depending on the nature of the 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, then you will need to contact Client Support, either by phone or by clicking the link and submitting a support ticket, in order to obtain a new registration key.
5. To install a downloaded update, do one of the following:
   - If you clicked the **Download** link, in the **Upload PolicyTech Updates** area, click **Browse**. Find and select the downloaded update file, and then click **Open**. Click **Install**.




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

### Check for WordModule*Plus* Updates

1. Click **PREFERENCES**.
2. Click **System / IT Settings**, click **Check for Updates**, and then click the **Check for Word Module Updates** tab. If no update is available, you can skip the remaining steps.
3. If a 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, 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**. The new version will be installed the first time each existing user opens a document.

## Database Manager

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:

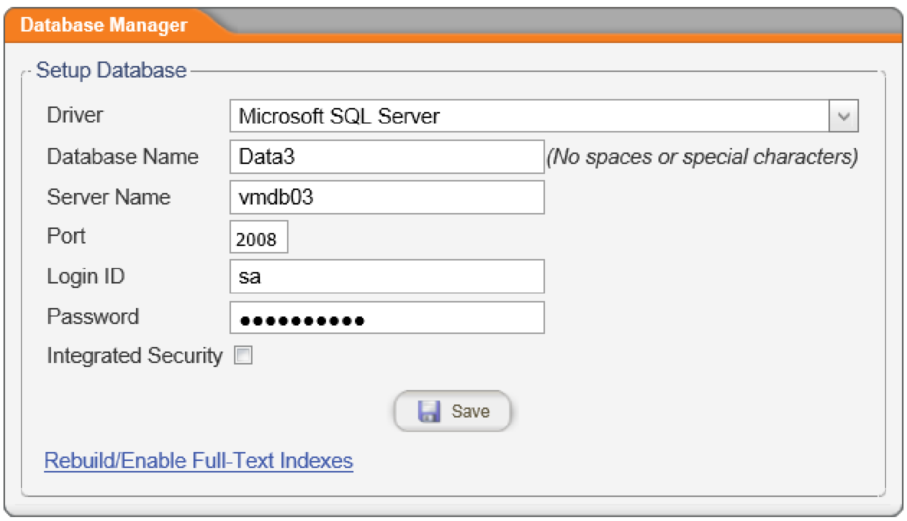
- Set up or modify database connection settings
- Enable or rebuild full-text indexes for the Advanced Search feature

### 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 **PREFERENCES**.
2. Click **System /IT Settings**, and then click **Database Manager**.




3. For **Driver**, click the type of database being used.
4. Provide the following database information: server name, port, login ID, password.
5. (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.
6. Click **Save**.
7. 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:**

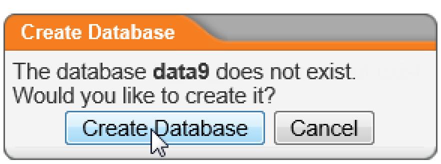
- If users attempt to access Advanced Search before full-text indexes have been enabled, they will see a message instructing them to contact their document control administrator.
- The Advanced Search feature is not available and the Rebuild/Enable Full-Text Indexes option does not apply if a MySQL database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

## Creating a New, Empty Database

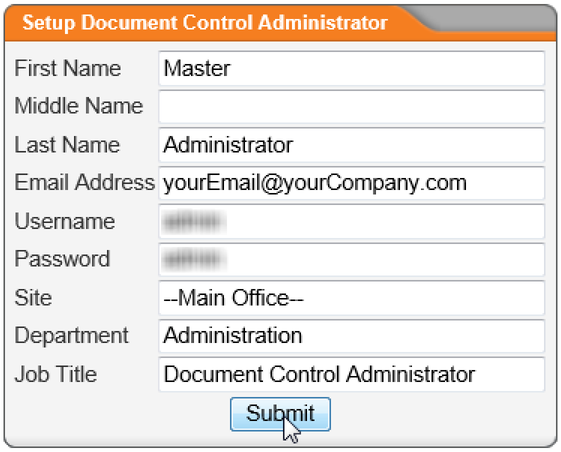
If PolicyTech is installed on your organization's premises, you can create another PolicyTech database for testing or training purposes.

**Important:** This feature is not available in PolicyTech systems hosted by NAVEX Global. If you have a hosted environment 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 **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Database Manager**.
3. In the **Database Name** box, delete the current text, type a new name, and then click **Save**.
4. Click **Create Database**.

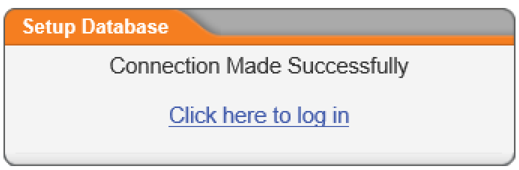



5. Type the information needed to create a master document control administrator (DCA) in the new database, and then click **Submit**.




**Note:** If you leave any fields blank in the **Setup Document Control Administrator** window, PolicyTech fills them in with information from the DCA record of the **DemoData** database that is included with the PolicyTech application.

6. After the new database is created, you will see the following window. Click the provided link to display the login screen.




7. Type the master DCA's user name and password, and then click **Log in**.

## Backing Up a Database

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.

### Backup Details and Considerations

Consider the following before performing a backup.

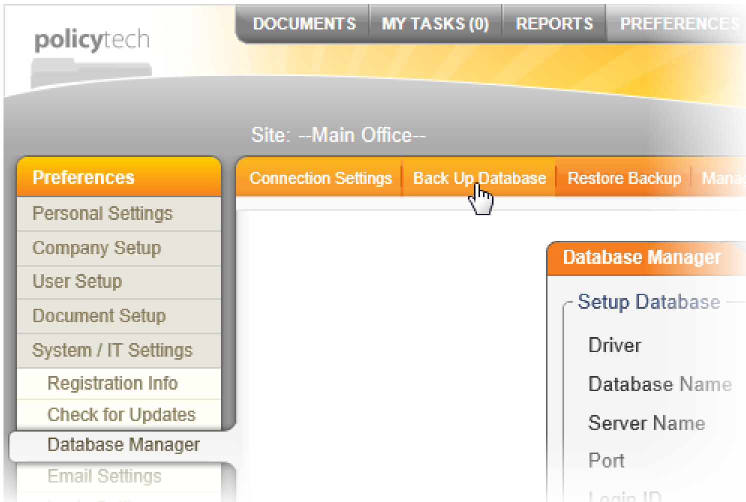
- Starting a backup immediately logs out all currently logged in users, including the user who started the backup, and prevents any users from logging in until the backup is completed. This is to prevent database corruption that could be caused by users performing certain operations while the backup 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.
- If your PolicyTech system is hosted by NAVEX Global, the PolicyTech database is backed up automatically on a regular basis. You can also perform manual backups, but you're limited to storing a maximum of five backups on your hosted site. (You can download and store locally any number of manual backups. See Managing Backups for details.)
- If your PolicyTech installation is not hosted by NAVEX Global and you're using Microsoft® SQL Server® as your database tool, it is imperative that you use its 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 **PREFERENCES**.
3. Click **System / IT Settings**, and then click **Database Manager**.
4. Click **Back Up Database**.

**Note:** If your PolicyTech site is hosted by NAVEX Global and you already have five backups stored in Database Manager, a message is displayed explaining that you need to delete one or more backups before creating a new one.




5. 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 the **Create "Core Data Backup" only** check box, and then click **OK**.


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

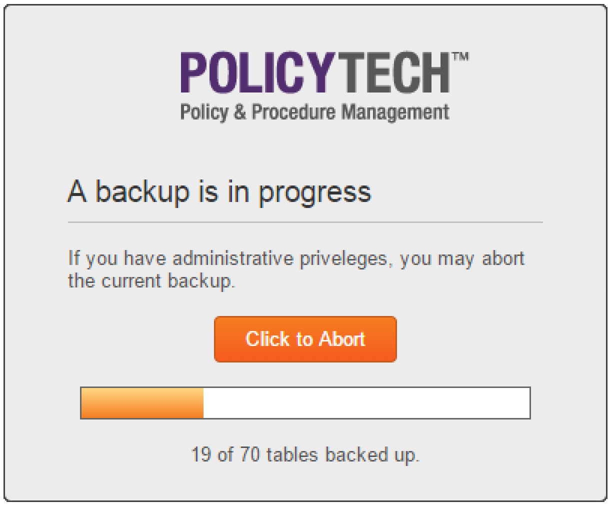
6. When the backup process has finished, click **Close**. The backup file is then accessible in **Restore Backup** (see Restoring a Backup) and **Manage Backups** (see Managing Backups).

## Aborting a Backup

Any user assigned the Document Control Administrator permission for all sites (a global DCA) 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

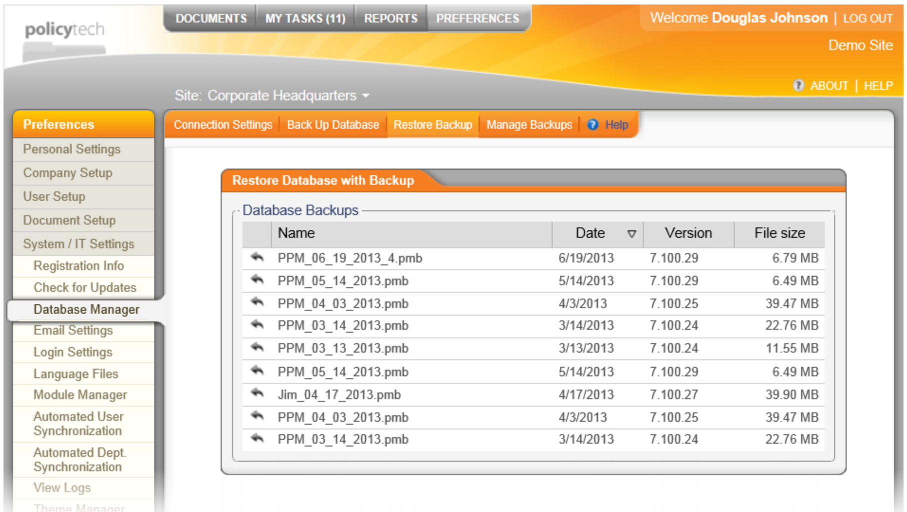
Consider the following before restoring a database backup:

- 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:

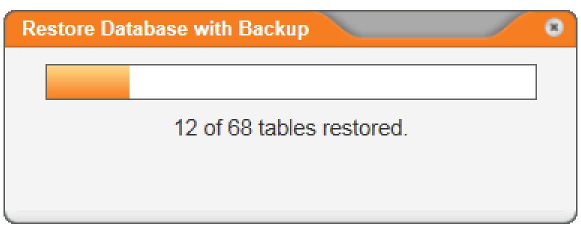
1. Click **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Database Manager**.

3. (Optional but recommended) Back up the database in its current state before restoring an older backup. Click **Back Up Database**, and then click **OK**. When the backup is finished, click **Close**.
4. Click **Restore Backup**.




5. For the backup you want to restore, click , 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:




6. 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.

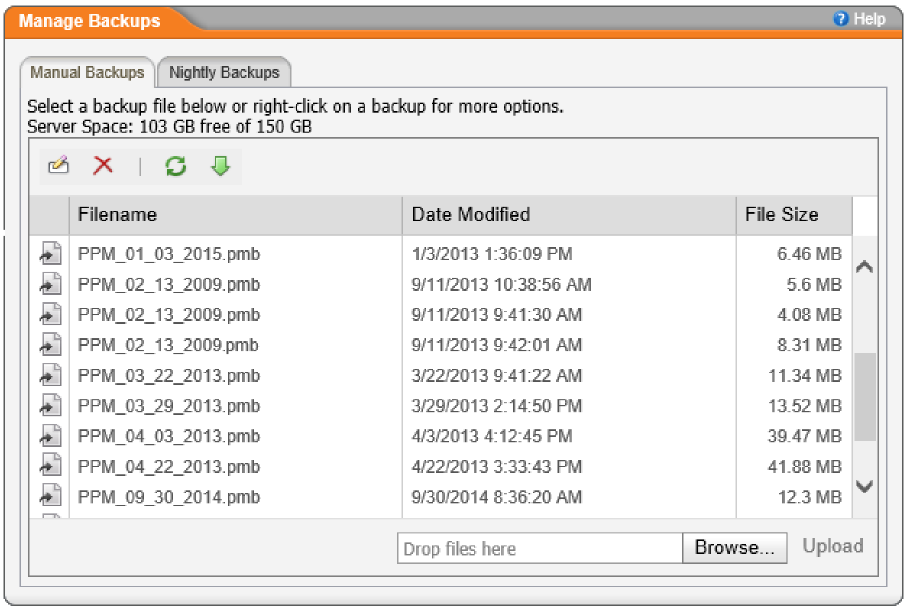
## Managing Backups

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.

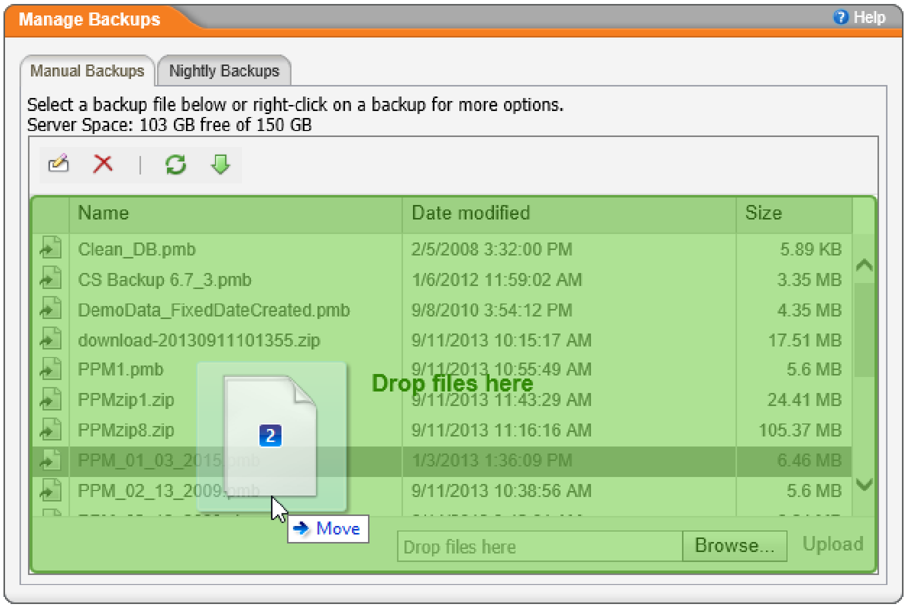
## Managing Manual Backups

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




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 the **Nightly Backups** tab.

1. Click **PREFERENCES**.
2. Click **System /IT Settings**, and then click **Database Manager**.
3. Click **Manage Backups**, and then click the **Nightly Backups** tab.
4. 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.

## Email Settings

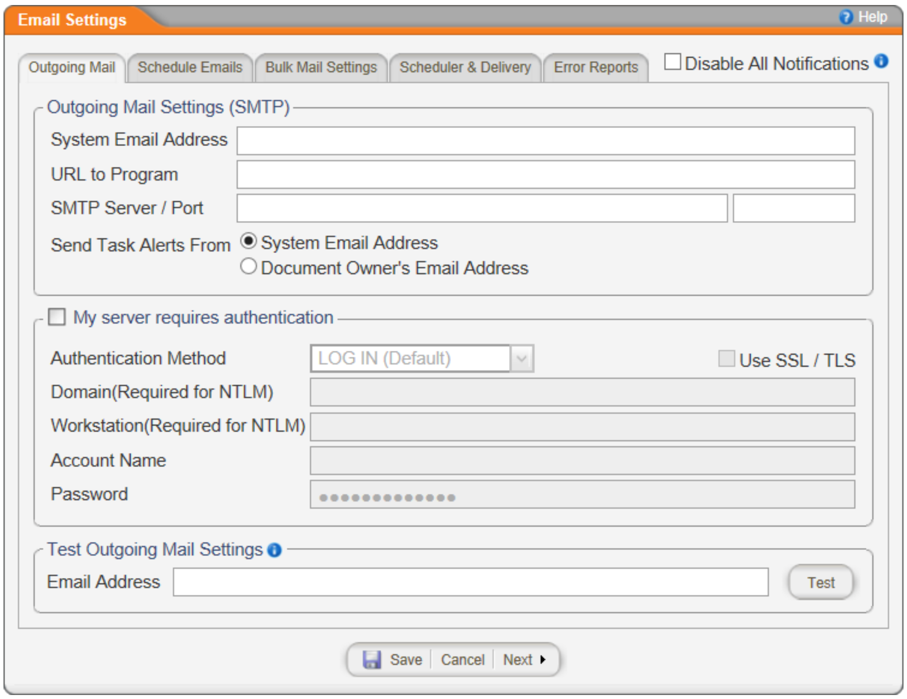
PolicyTech™ uses your organization's email system to notify users that they need to take certain actions, such as reviewing, approving, or reading a document.

**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 **PREFERENCES**.
2. 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.




3. Refer to the following sections for details on each tab of settings:
   - Outgoing Mail
   - Schedule Emails
   - Bulk Mail Settings
   - Scheduler & Delivery
   - Error Reports
   - Welcome Email
4. Click **Save**.

## Disable All Notifications

This option is always present in the upper right corner of the **Email Settings** window, regardless of which tab is currently selected. If you select **Disable All Notifications**, then any messages that would normally be generated and sent out will not be. In other words, those messages will never be sent, even after re-enabling notifications. This option is typically used only when installing and setting up the PolicyTech system or when using **Bulk Edit**.

**Important:** Selecting **Disable All 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)..

## Outgoing Mail

These setting provide PolicyTech™ with the information necessary to send outgoing mail through your organization's email system.

### Outgoing Mail Settings (SMTP)

**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 a document control 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 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/).

**SMTP Server / Port.** Contact your IT professional for this information.

**Sent 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 that the notification is about.

### Server Authentication

Contact your IT person to find out if the email server requires authentication. If it does, your IT person can provide the information necessary for PolicyTech to log in to the server.

### Test Outgoing Mail Settings

To make sure the email settings are correct, type your email address in the **Email Address** box, and then click **Test**. Check your email inbox after a few minutes to see if the message was successfully sent.

## Schedule Emails

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

**Schedule Email Setting for.** To set the default email settings each new site will inherit, select **System Default**. To make the settings applicable to a single site, select that site.

**Task Summary Emails.** A user's task summary email lists all of that user's unfinished tasks. To set up task summary emails,

1. Type or select the time you want the emails sent.

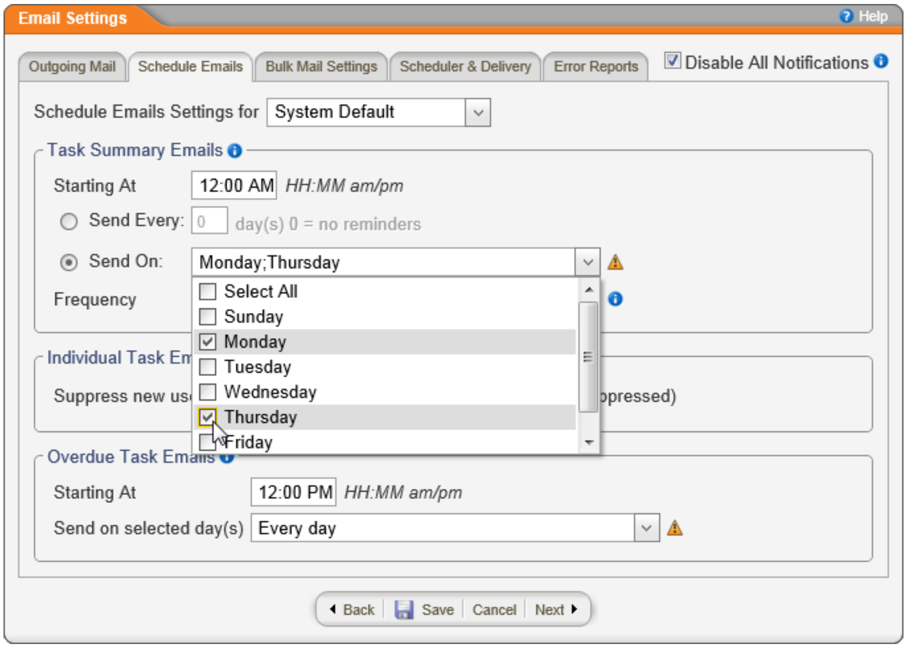
> **Note:** You can select the hour, the minute, and AM or PM by pressing the up or down arrow with the cursor before or within that time element.

2. Do one of the following:

   - To schedule task summary emails every certain number of days from today, click **Send Every**, and then enter a number of days. For example, if you enter 2, the emails will be sent every other day from today on.

> **Note:** To turn off task summary emails completely, select Send Every, and then type 0.

   - To select a specific day or days of the week for task summary emails, click the **Send On**, and then, in the **Send On** list, click specific days or click **Select All**. In the **Frequency** list, 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.



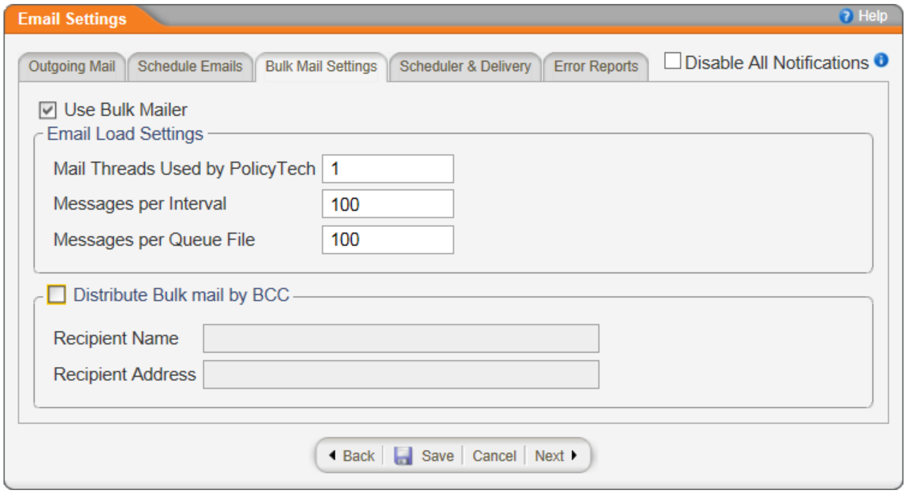

**Individual Task Emails.** If you create a new user, but that user won't be actively using PolicyTech™ for a time (such as a new hire starting in two weeks), you can type a number of days from today that you want individual task emails suppressed (not sent). (Task summary emails, if enabled, will continue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

**Overdue Task Emails.** If a user does not complete a task before the due date, the document owner and the user's manager are sent an email saying that the task is overdue. Choose a time and the day or days you want these types of messages sent each week.

> **Note:** By default, overdue task emails are sent only to the document owners and to the assignees' managers (see Adding a User Manually for details on assigning a manager). There is an optional advanced feature available that adds the task assignees as recipients of overdue task emails. See Enable an Advanced Feature Add-On for more information.

## Bulk Mail Settings

The **Bulk Mail Settings** tab lets you 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, 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 email and end user processes.

**Important:**

- **Bulk Mail** works only if **Scheduler** is running (**Disable All 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 email server can handle.

**Messages per Interval.** This setting determines how many emails from the queue will be processed and sent 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 email 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.

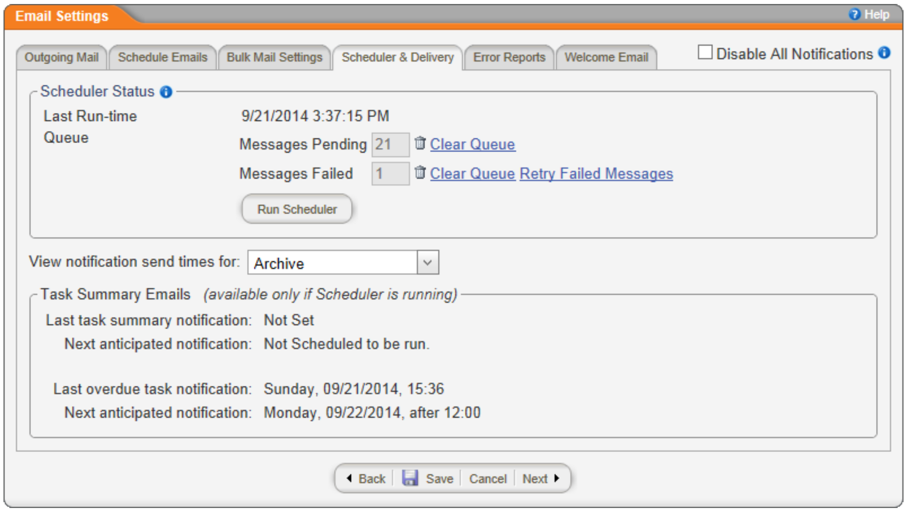
**Recipient Name.** The name you enter here will be the name users see in the **From** field of each BCC message.

**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 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 emails through your organization's email system. 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.

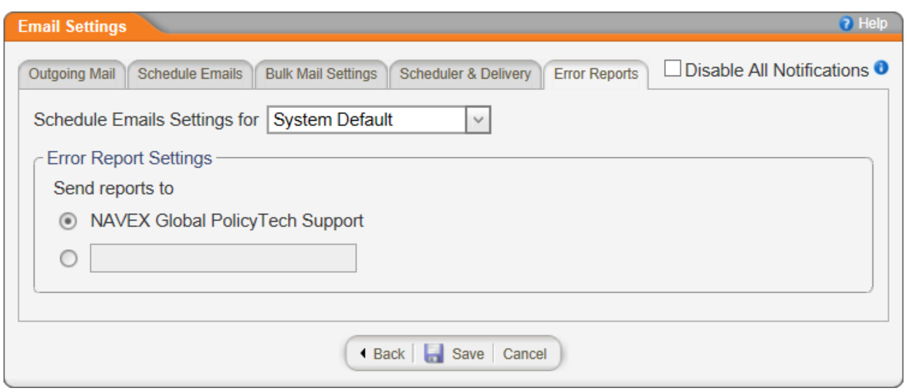



You can perform the following actions in the **Scheduler & Delivery** tab:

- 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.
- To see the notification status of a different site, in the **View notification send times for** list, click a site.

## Error Reports

The **Error Reports** settings let you specify who should receive error report emails for each site.

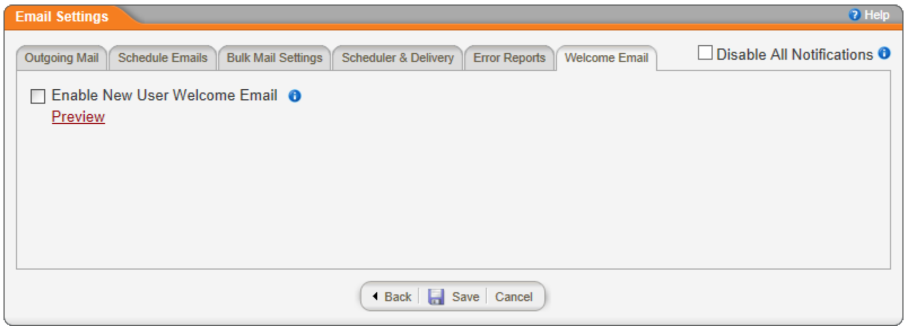



1. In the **Schedule Emails Settings for** list, click **System Default** or a site.
2. Do one of the following to select an error report email recipient:
   - Select **NAVEX Global PolicyTech Support** to have the error reports sent to the Client Support department at NAVEX Global.

- Select the empty text box option, and then type the email address for where you want the error report emails sent.

## Welcome Email

This feature, when enabled, sends emails to all newly created users asking them to select their languages.



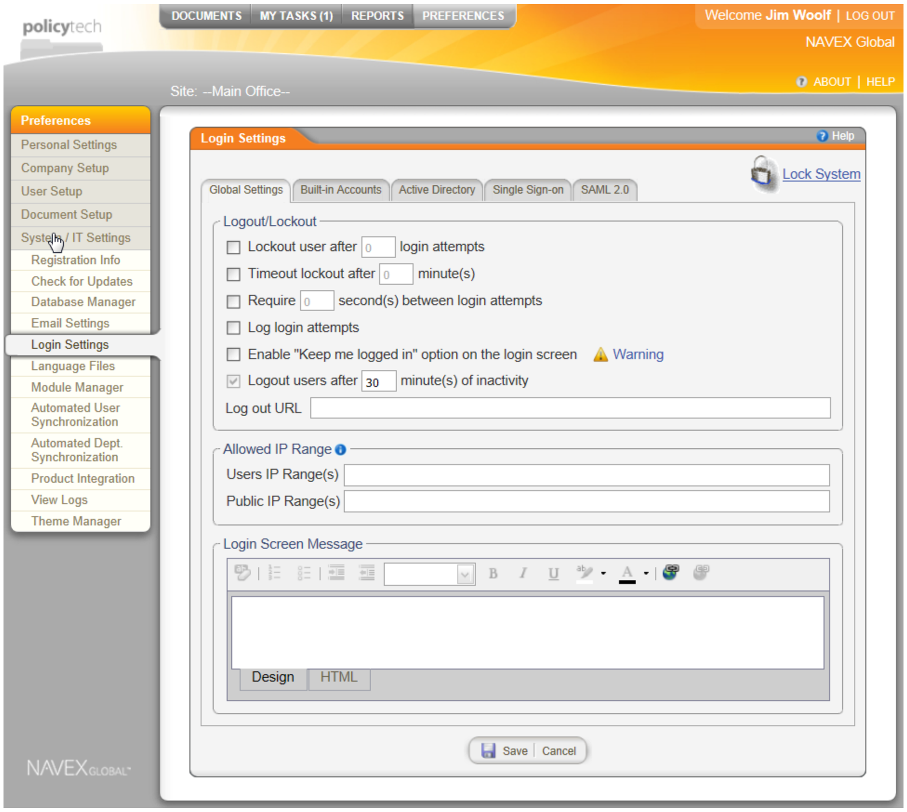

To see the subject and body text of the email that will be sent, click **Preview**. The body will include separate instructions in each of the currently enabled languages.

**Note:** You can modify the subject and body text by editing a language file. See Editing a Language File in PolicyTech or Editing a Language File in Excel.

## Login Settings

In **Login Settings**, you can control authorized access to PolicyTech™.

To access Login Settings, click **PREFERENCES**, click **System / IT Settings**, and then click **Login Settings**.




Each tab in the **Login Settings** page contains a grouping of settings. Also notice the **Lock System** option. Each of these is described in the sections below.

[Locking the System](#)

[Global Settings](#)

[Password Settings (Built-In Accounts Tab)](#)

[Active Directory Settings](#)

[Single Sign-on Settings](#)

[SAML Settings](#)

## Locking the System

You can lock the system to prevent PolicyTech™ users from logging in, such as when you need to perform system maintenance. When the system is locked, users see the following message when they attempt to log in: "System Temporarily Locked."

> **Important:** Locking the system only prevents new logins; it does not end the sessions of those who are already logged in.

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

3. Click **Lock System**.

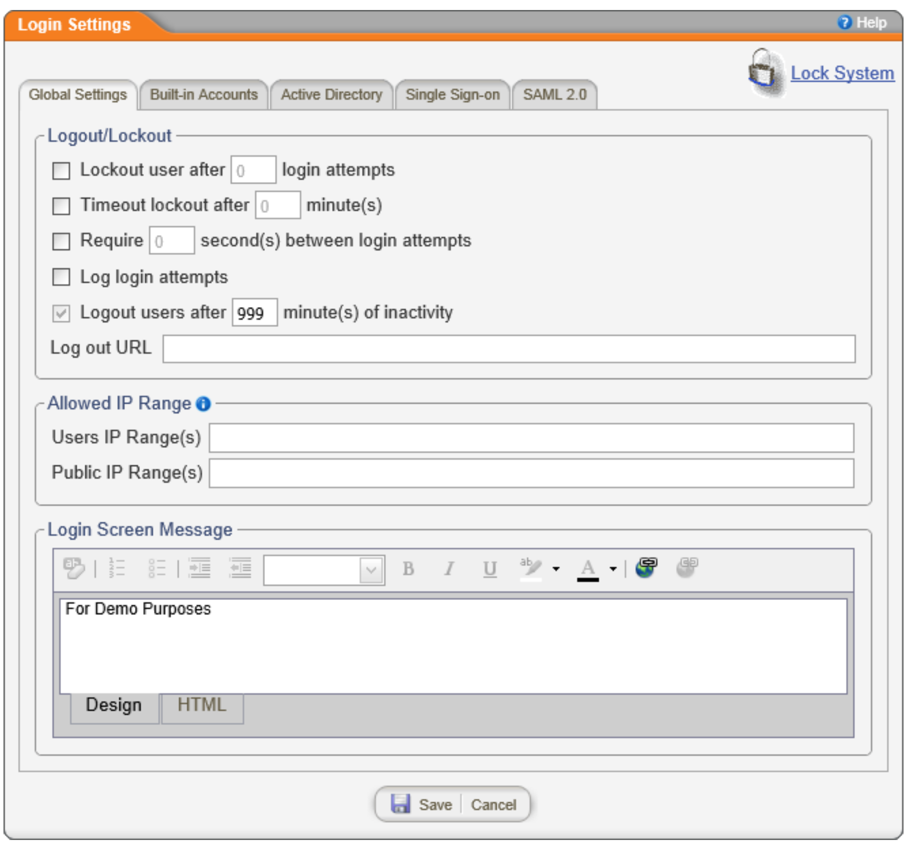

4. (Optional) To set a timer that will automatically unlock the system after a certain amount of time, in the **Global Settings** tab, select the **Timeout lockout after** check box, and then type a number of minutes.

When you're ready to open up the system again, follow steps 1 and 2 above, and then click **Un-Lock System**.

## Global Settings

To change general settings that affect all users,

1. Click **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Login Settings**.
3. Click the **Global Settings** tab, if it's not already selected. The screenshot below shows the default global settings.



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

   - 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 for details.

   - When you lock users out of the system (see Locking the System), select **Timeout lockout after**, and then type a number of minutes. After the time elapses, the system is automatically unlocked.
   - 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 log of login attempts, select **Log login attempts**.
   - 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.
   - To redirect users to a specific web page when they log out, in the **Log out URL** box, type, or copy and paste, the full web address.

5. 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.

6. In the **Login Screen Message** area, type and format the message users will see each time they log in.
7. Click **Save**.

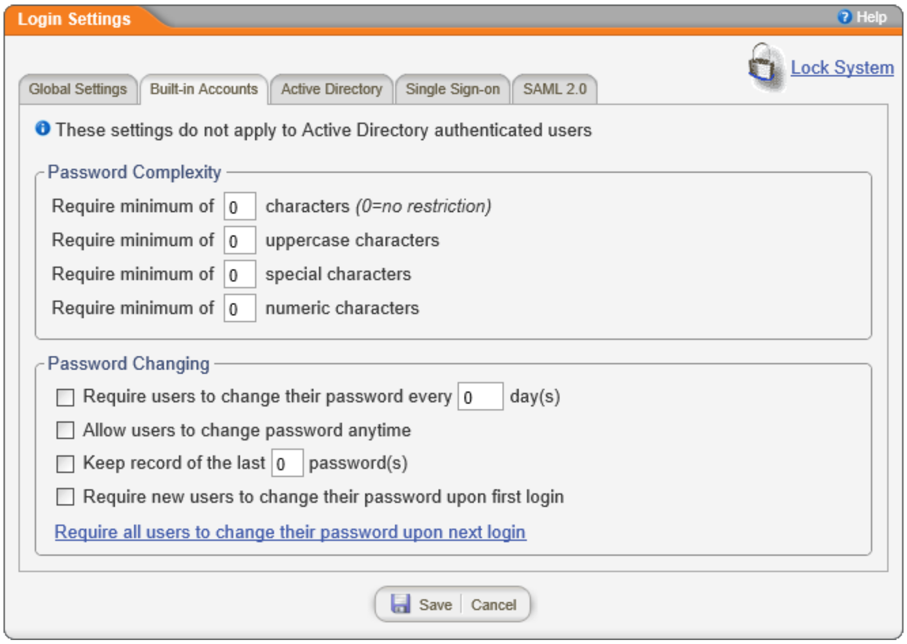
## Password Settings (Built-In Accounts Tab)

The **Built-in Accounts** tab lets you control whether users can change their own passwords and the required complexity of passwords.

**Important:**

- 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 **PREFERENCES**.
2. Click **System / IT Settings**, click **Login Settings**, and then click **Built-in Accounts**.




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.

## 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 Client 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.

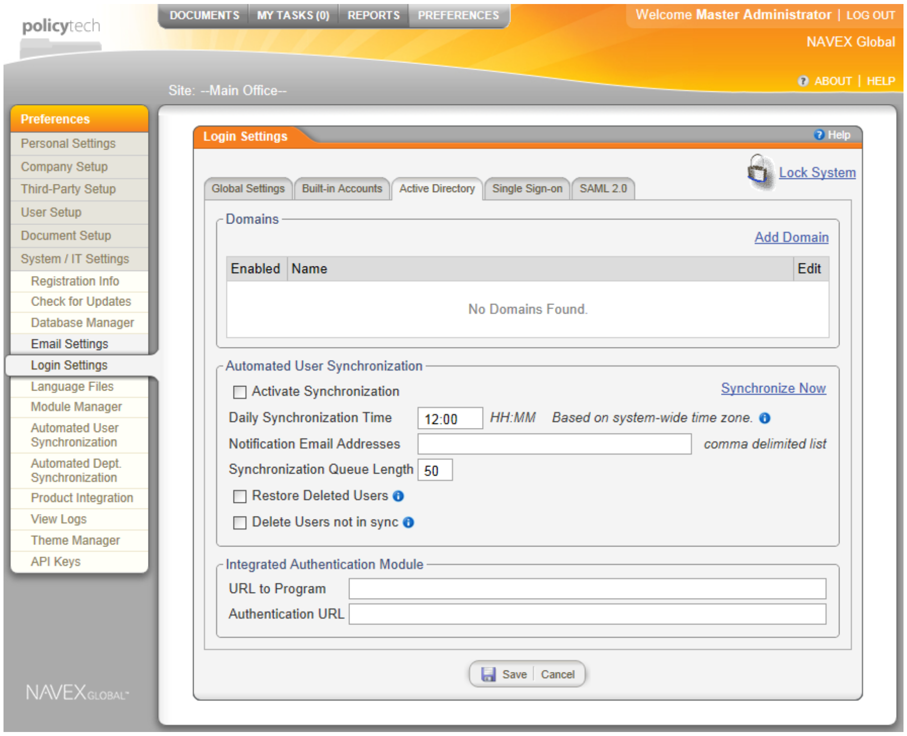
### Enter Domain and Organizational Unit Information

**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.

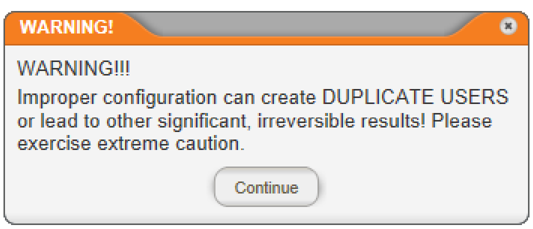
PolicyTech uses the information you enter in the Domain Information form to communicate with AD and perform the user sync. This information is divided into three sections: Connection Settings, Synchronization Mapping, and Remote Domain.

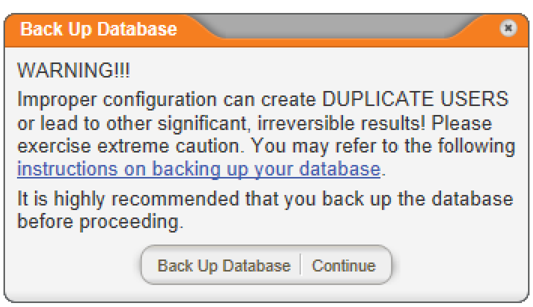
### Connection Settings

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



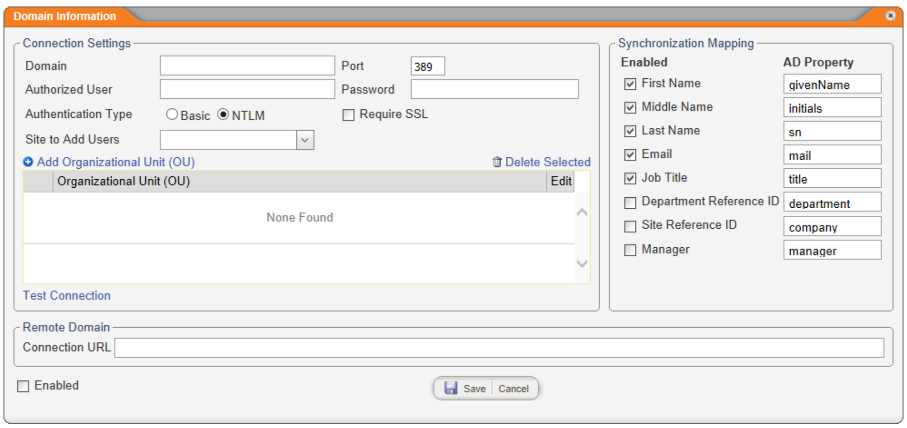

You'll see one of the following messages, depending on whether your PolicyTech system is hosted by NAVEX Global (first message) or installed on your organization's premises (second message).



3. (Conditional) If you're prompted to back up your database, we highly recommend that you do so before adding an Active Directory domain. When you see the backup warning, click **Back Up Database**, and then click **OK**. When the backup is completed, click **Close**.
4. Click **Continue**.
5. In the **Domain Information** window, in the **Domain** box, type a name to identify a domain containing at least some of the users you want synced with PolicyTech.

**Note:** The name you type in the **Domain** box 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.




6. 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.

7. Type the authorized user's name and password.
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. (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 the **Require SSL** check box to add a more sophisticated layer of encryption when the authorized user name and password are sent from PolicyTech to the domain controller.

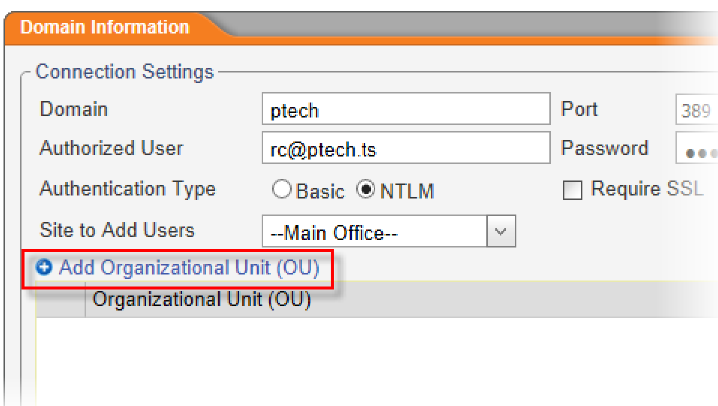
**Important:**

- 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).

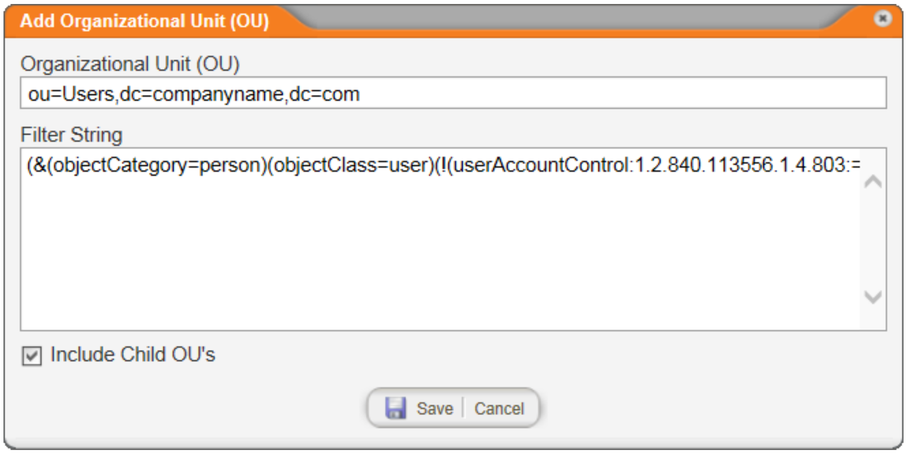
10. Select the PolicyTech site where you want AD users added and synced.

11. 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)**.




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




13. 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.

14. The **Include Child OU's** check box 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.

15. Click **Save**.

16. 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.

17. (Optional) Repeat the steps above to add other OUs (up to 10 total).

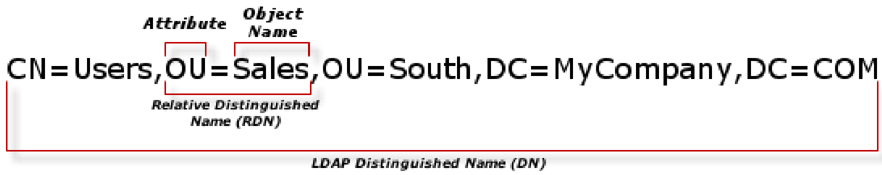
**Important:**

- 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.

18. Continue with the steps in the Synchronization Mapping section below.

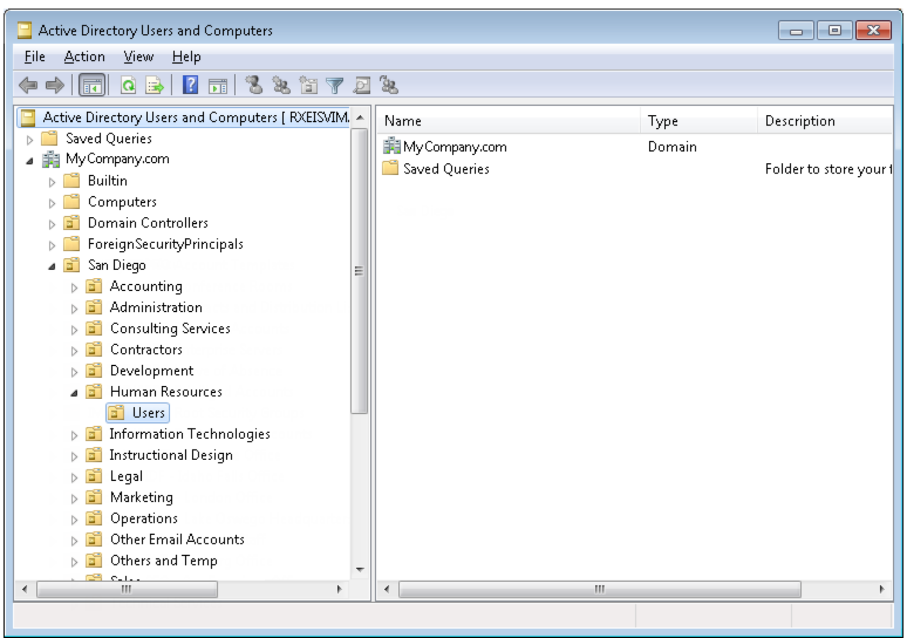
### *About LDAP Distinguished Names*

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 common some 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**

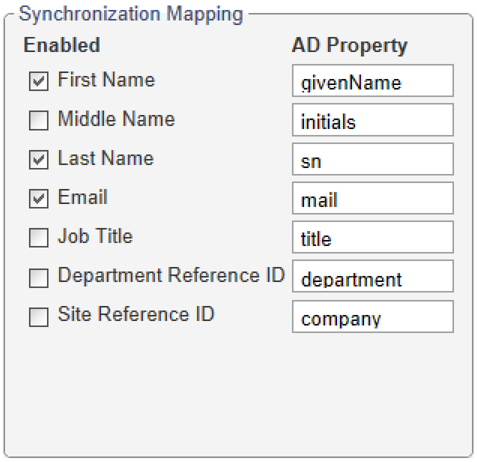
In the Synchronization Mapping area of the Domain Information window, you can tell PolicyTech what information you want pulled from this domain's user profiles into PolicyTech user profiles. PolicyTech will import the user profiles initially and then keep the user properties you specify in sync with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

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 its check box.




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

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.

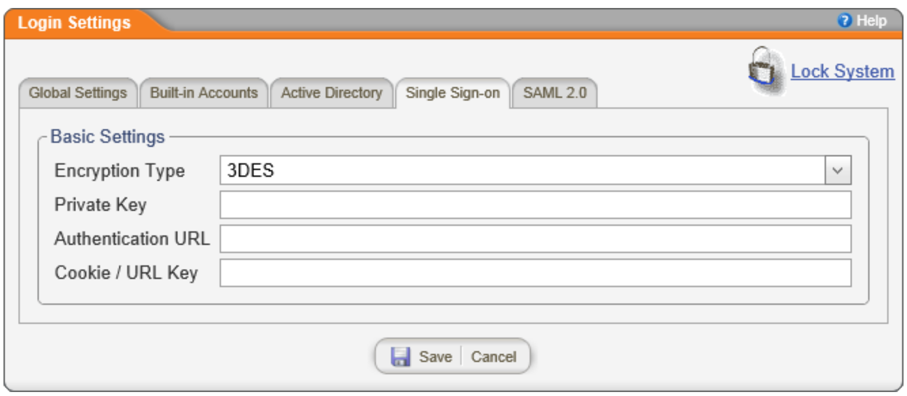
### Save Active Directory Settings

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 **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Login Settings**.
3. Click **Single Sign-on**.




4. 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.
5. 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.

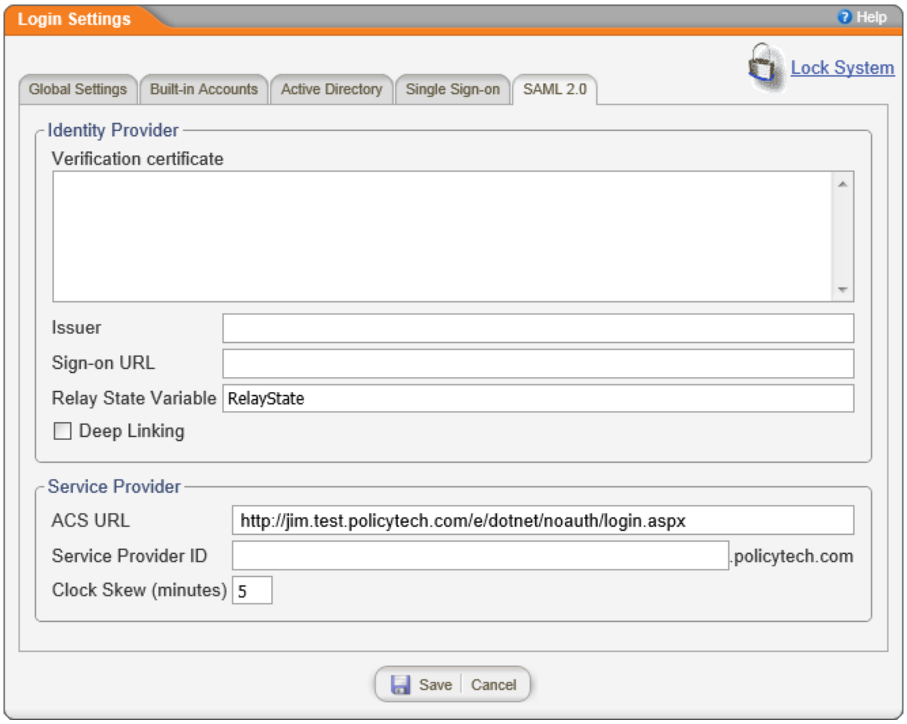
6. Click **Save**.

## SAML Settings

If your organization exchanges user authentication information using SAML 2.0, type the necessary information in the **SAML 2.0** 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.




## 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 a 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

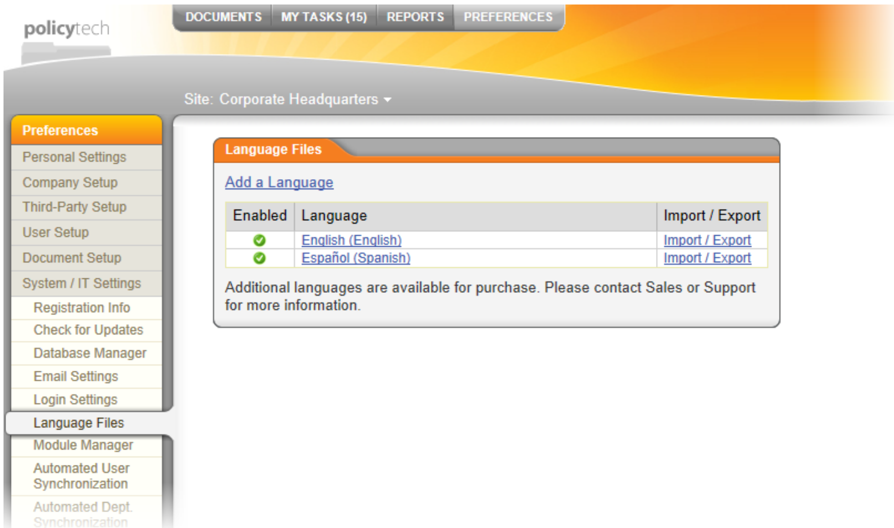
### Activating a Language File

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 **PREFERENCES**, 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

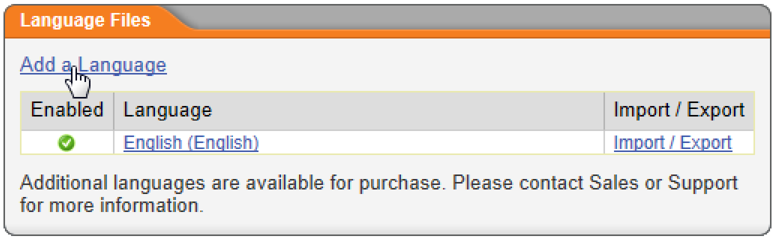
Importing a Language File

Enabling or Disabling a Language

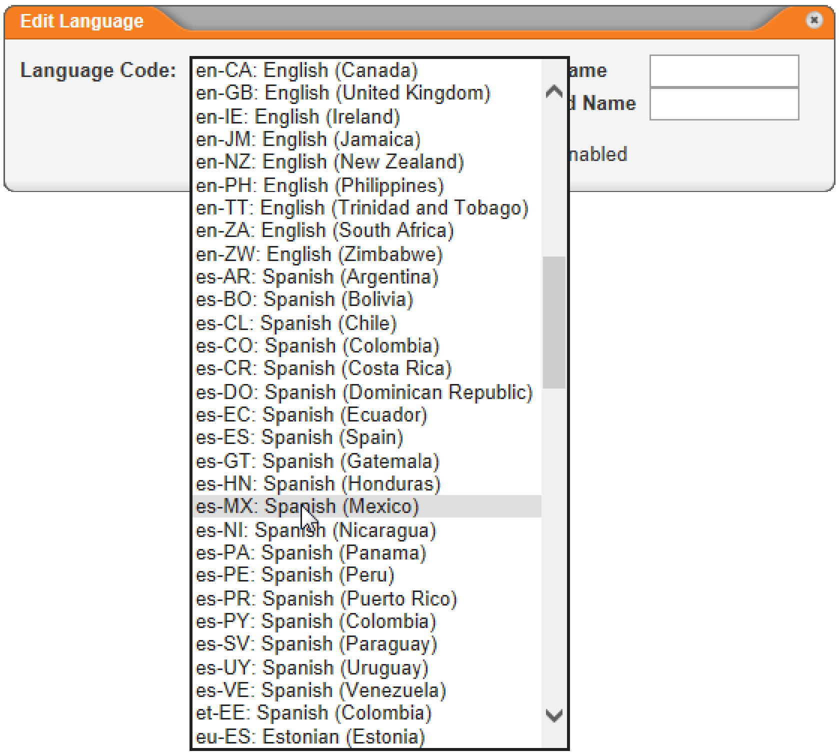
### Adding a Language Translation

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

2. Click **Add a Language**.

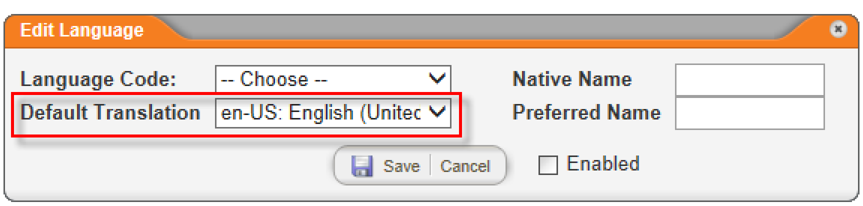



3. In the **Language Code** list, click a language code (see Language Code Tables), and then click **OK** to clear the alert.



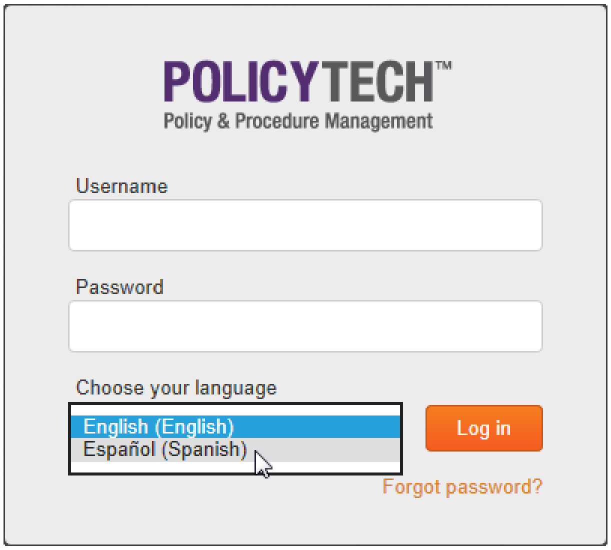

**Note:** Only one language file can be linked to any given language code. If a code has already been assigned to another language file, it will not appear in the **Language Code** list for this language file.

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

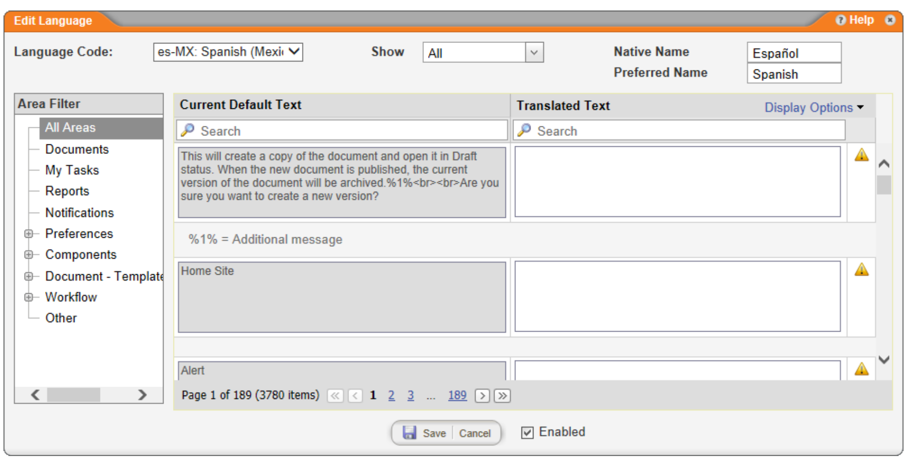


5. In the **Native Name** and **Preferred Name** boxes, type the native and preferred versions of the language name. What you type here will appear in the Language menu available when users log in, as shown below, and in other document and preference settings.

**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 **<br>** 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.

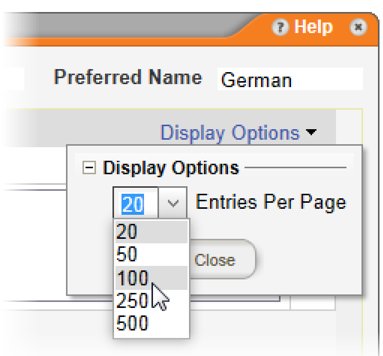
9. (Optional) If you're ready to enable this language and make it selectable by users and document control administrators, at the bottom of the **Edit Language** window, select the **Enabled** check box.
10. When you're finished adding translations, click **Save**, and then close the **Edit Language** window.

### Finding Specific User Interface Text

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

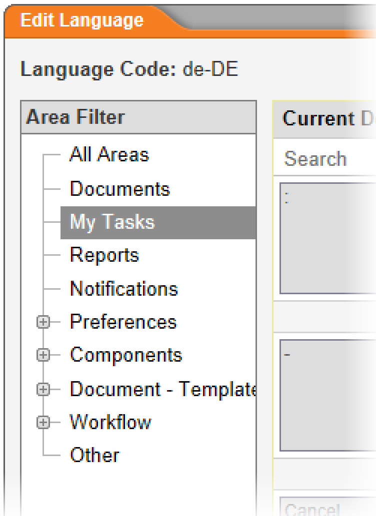
#### *Navigation*

Navigate through the list by scrolling and moving from page to page. To display a different number of text strings per page, click **Display Options**, and then click + to display the **Entries Per Page** list. Click a number in the list, and then click **Close**.




#### *Area Filters*

All text strings are listed by default. To show only those text strings for a specific user interface area, in the **Area Filter** tree, find and 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.

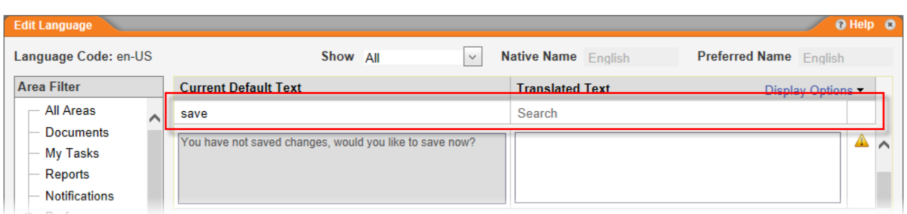
### *"Show" Filters*

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).

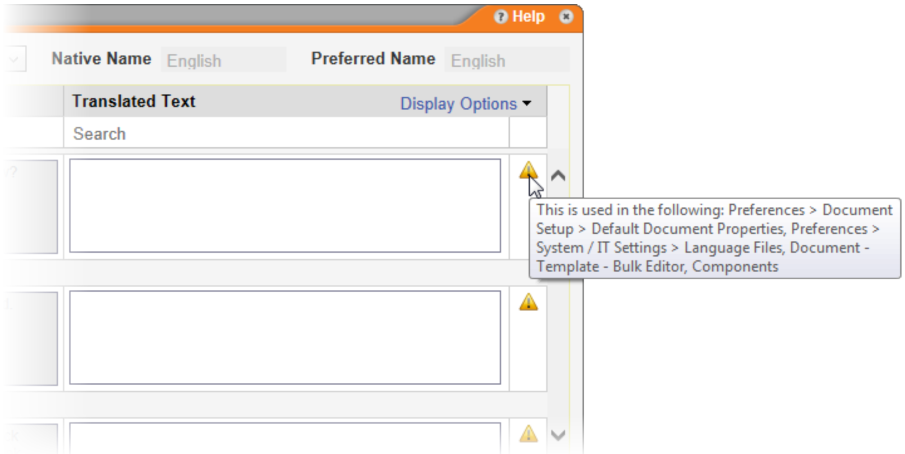
### *Search*

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 |

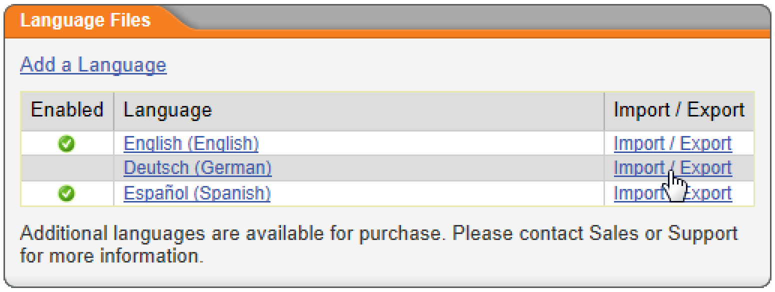
| | | |
|---|---|---|
| South Africa | en-ZA | English |
| Spain | eu-ES | Basque |
| Spain | ca-ES | Catalan |
| Spain | gl-ES | Galician |
| Spain | es-ES | Spanish |
| Sweden | sv-SE | Swedish |
| Switzerland | fr-CH | French |
| Switzerland | de-CH | German |
| Switzerland | it-CH | Italian |
| Syria | 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

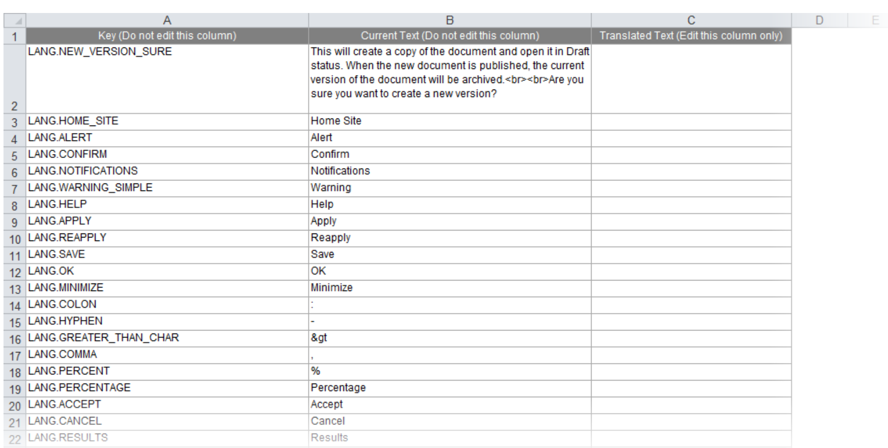
To export a file containing a list of all the current default and translated text,

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




4. Click **All**, **Untranslated**, or **Changed**.


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



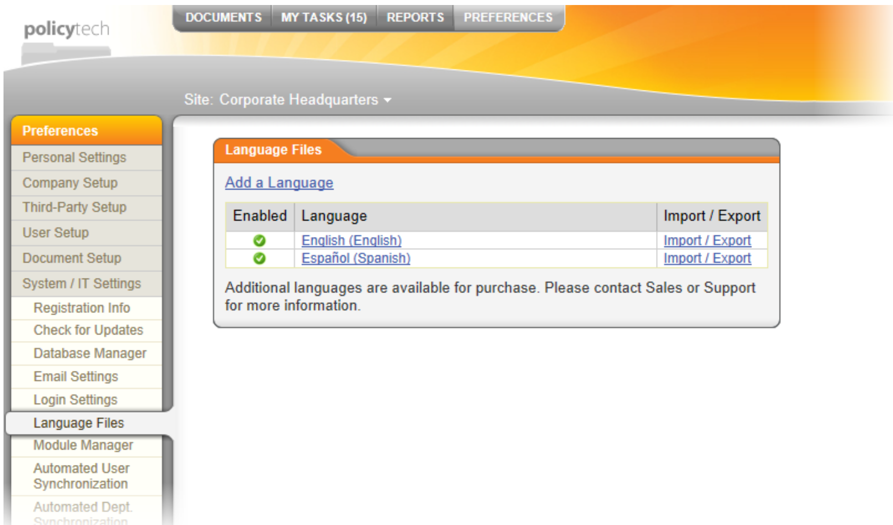
| | A | B | C |
|---|---|---|---|
| 1 | Key (Do not edit this column) | Current Text (Do not edit this column) | Translated Text (Edit this column only) |
| 2 | LANG.NEW_VERSION_SURE | This will create a copy of the document and open it in Draft status. When the new document is published, the current version of the document will be archived.<br><br>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**.

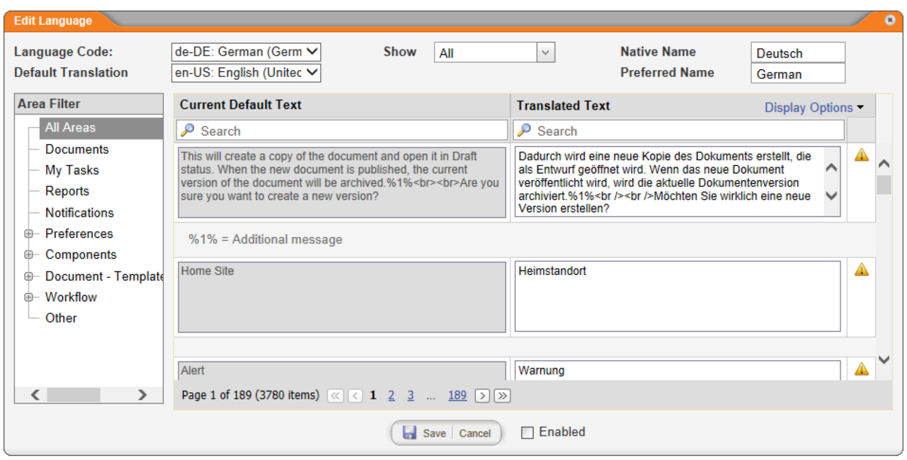
## Editing a Language File in PolicyTech

You can modify the text in the default **English (English)** language file or a language file you've added.

1. Click **PREFERNCES**, 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 the **Enabled** check box. 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.

| | A | B | C |
|---|---|---|---|
| 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.<br><br>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.)

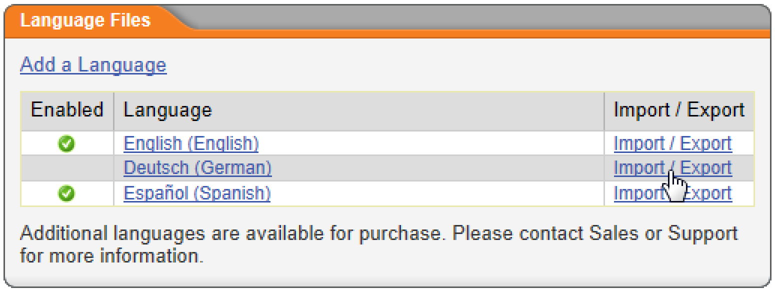
3. Save the file.

**Note:** You can name the file anything you want to. The **Import** feature only checks the data structure inside the file.

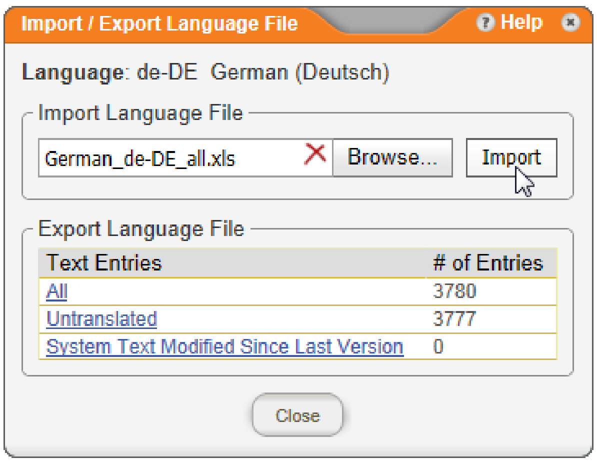
### Importing a Language File

**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 **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Language Files**.
3. For the language file you want to replace with the imported file, click **Import / Export**.



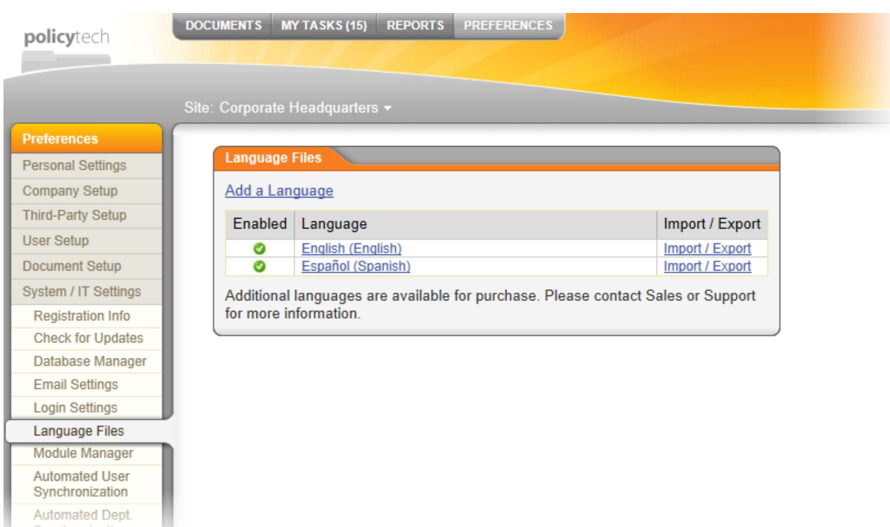

4. Click **Browse**, find and select the file, and then click **Open**.
5. Click **Import**, and then, when the import has finished, click **OK**.



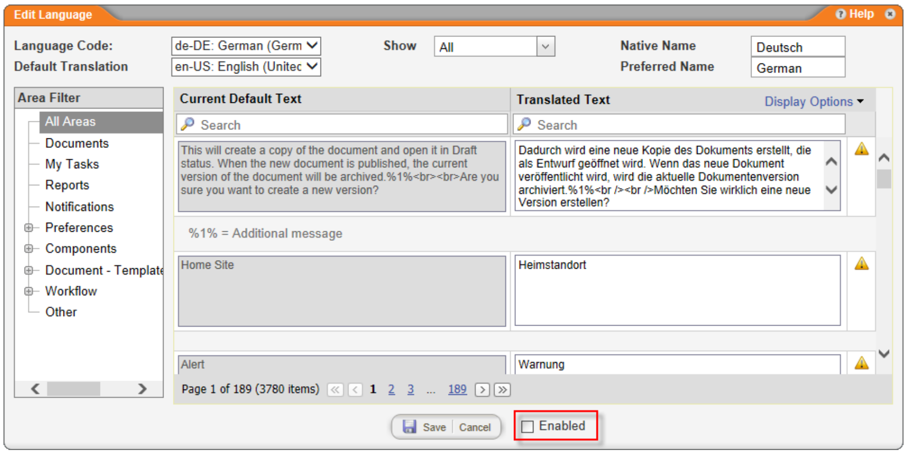

6. Click **Close**.

## Enabling or Disabling a Language

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



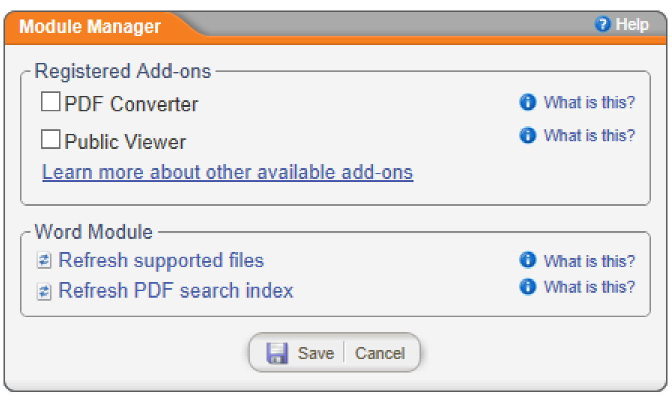
2. Click the language you want to enable or disable.
3. Select or click to clear the **Enabled** check box.




4. Click **Save**, and then close the **Edit Language** windows.

## 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**, two PolicyTech add-ons—PDF Converter and Public Viewer—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 the PDF Converter check box, 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 its check box, and then click **Save** to activate it.

## 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 or Reuse 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, 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.

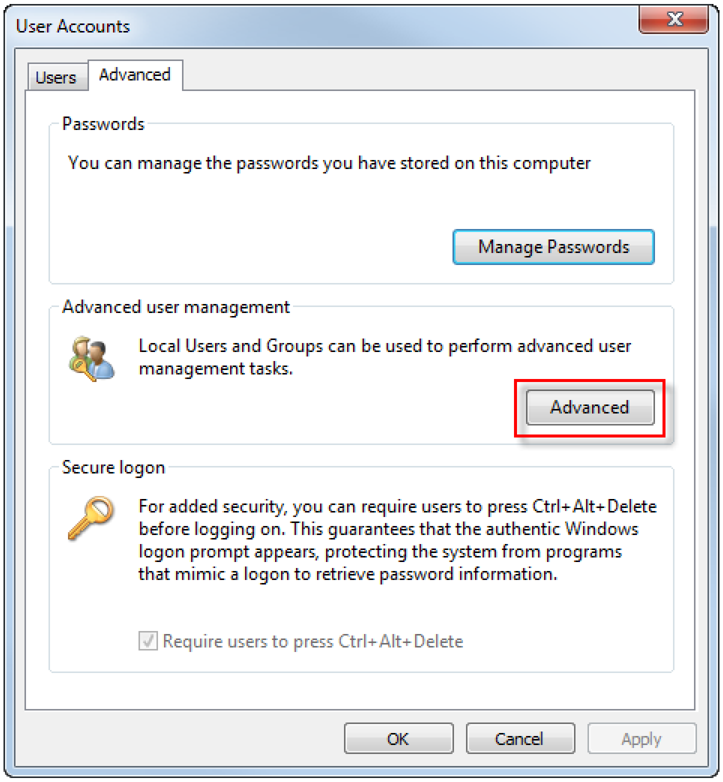
If you're reinstalling PolicyTech, use the serial number from the previous Document Converter Pro installation. If you don't know that serial number, contact Client Support at one of the numbers listed above to retrieve it.

### Create a Local Administrator Account

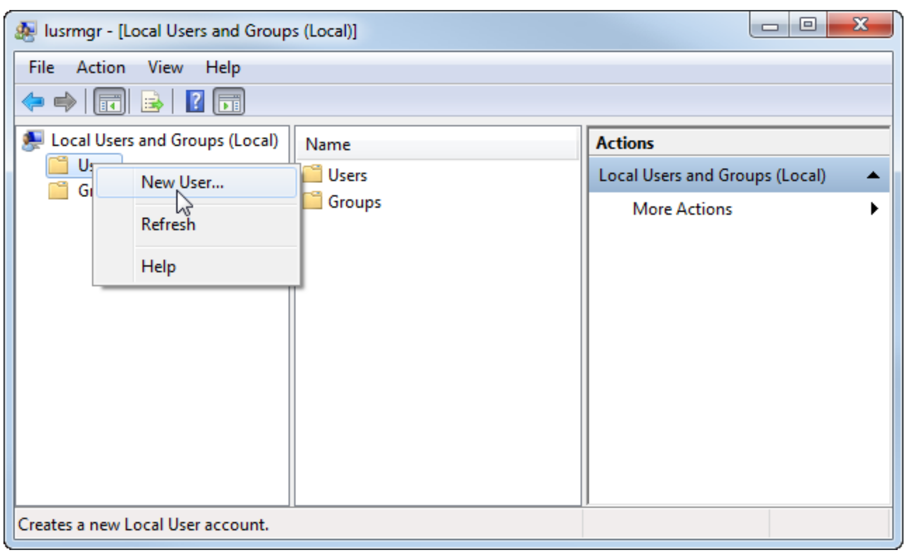
On the computer where PDF Converter will be installed (usually the server where the PolicyTech website is installed), you need to create an administrator user account that will be used by PDF Converter.

**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**.



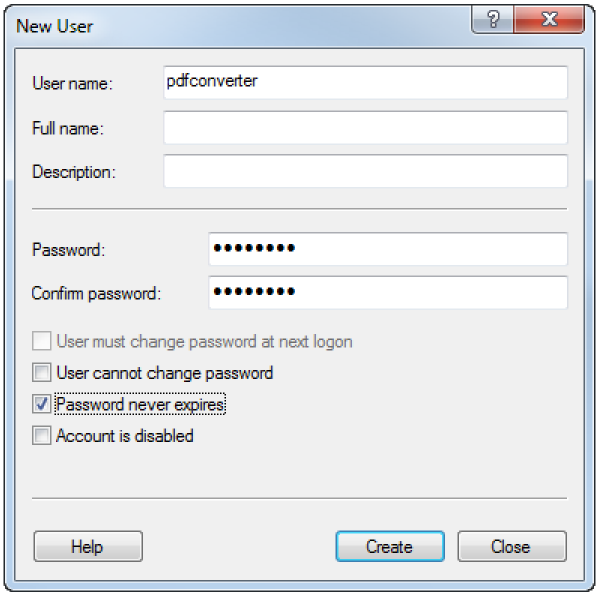

5. In the left panel, right-click **Users**, and then click **New User**.




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.

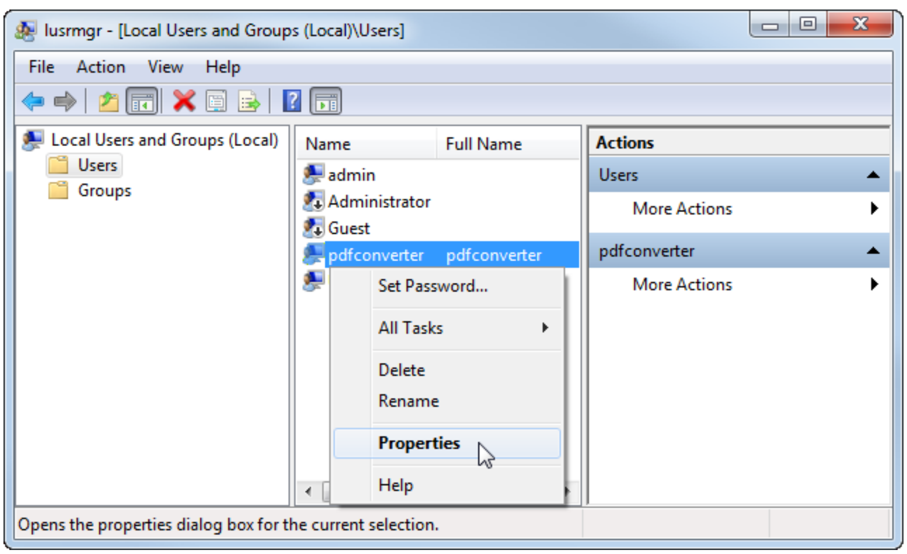
9. Click to clear the **User must change password at next logon** check box.

10. Select the **Password never expires** check box.

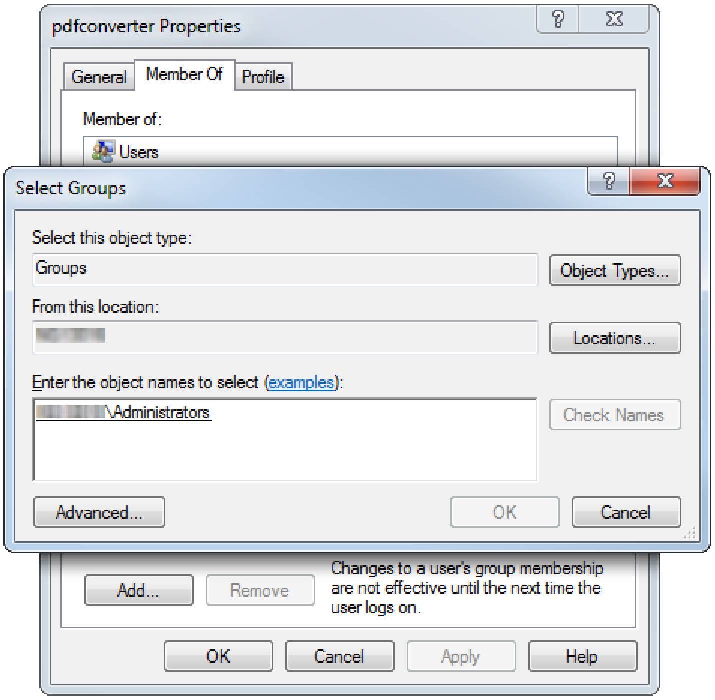



11. Click **Create**, and then click **Close**.

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]

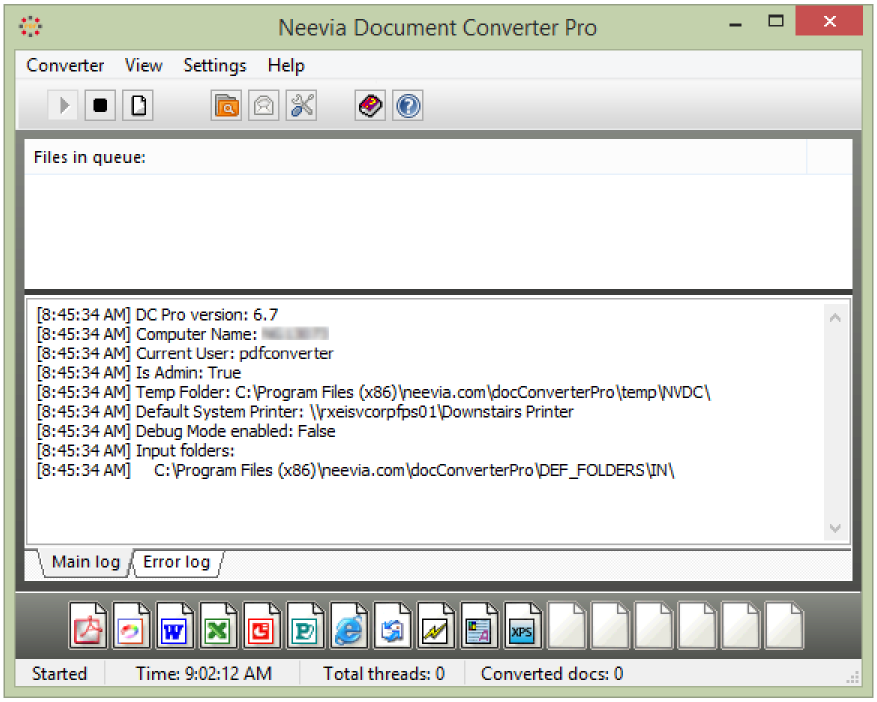
**Important:** A Document Converter Pro serial number is tied to a specific version of the application. If you're reusing a serial number, you may need an earlier Document Converter Pro version , which you can download from the Client Resource Center. If you're not sure which version you need, contact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

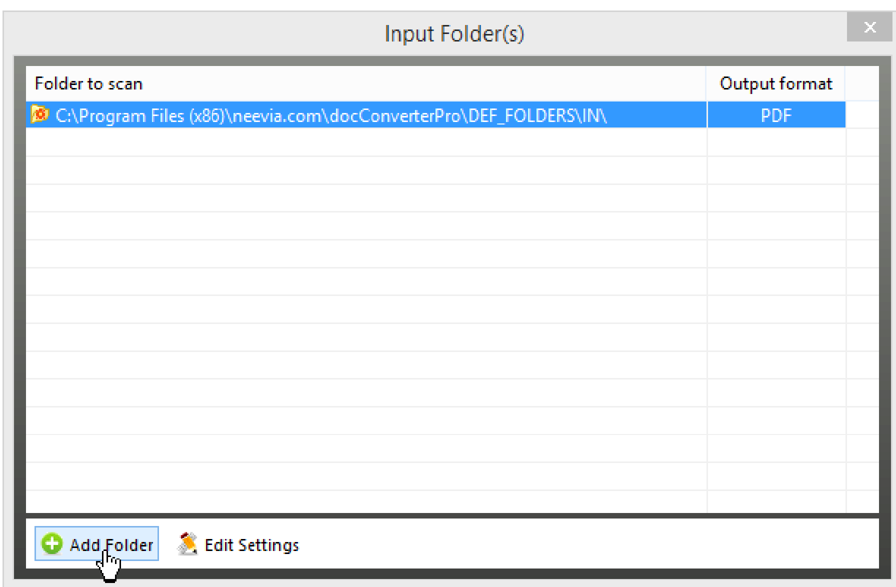
**Important:** If you are reinstalling Document Converter Pro and saved a copy of the **configs** folder from the previous installation, you can copy the **configs** folder into the directory structure of the new installation now, replacing the existing folder and its contents, and skip the remainder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

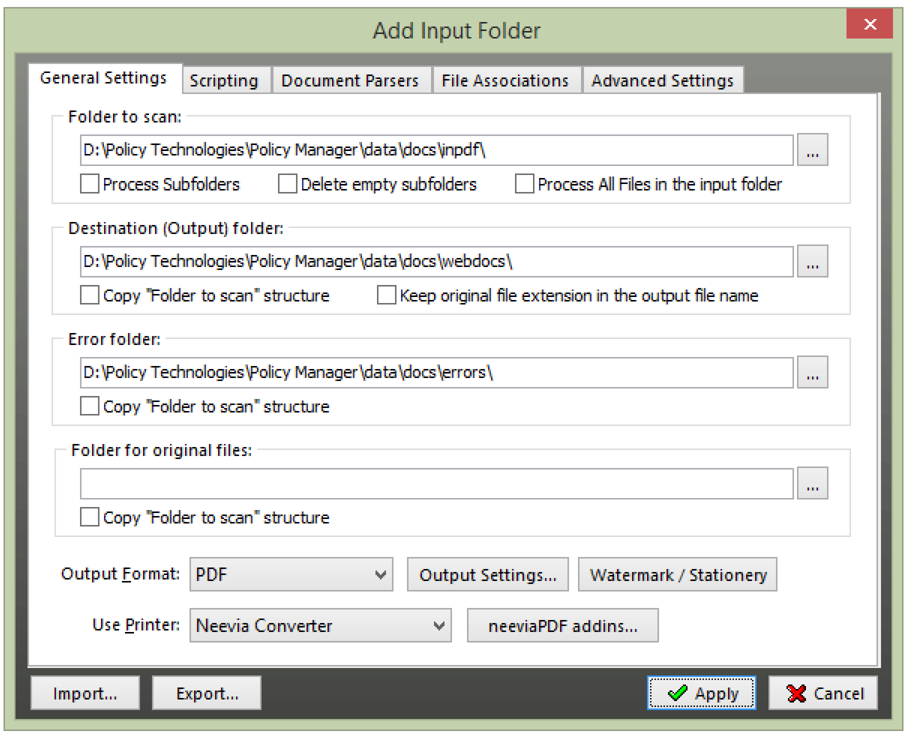
**[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\inpdf**

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.)

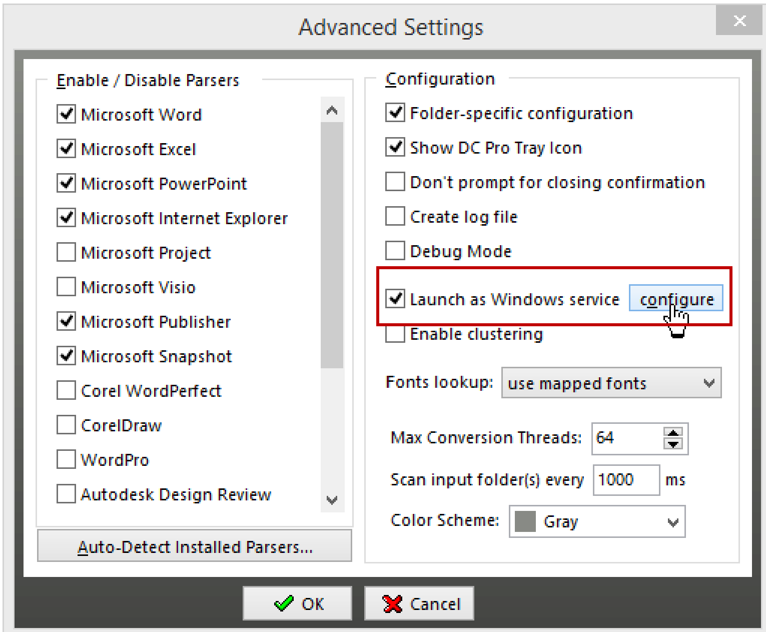
   **[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\errors**




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.

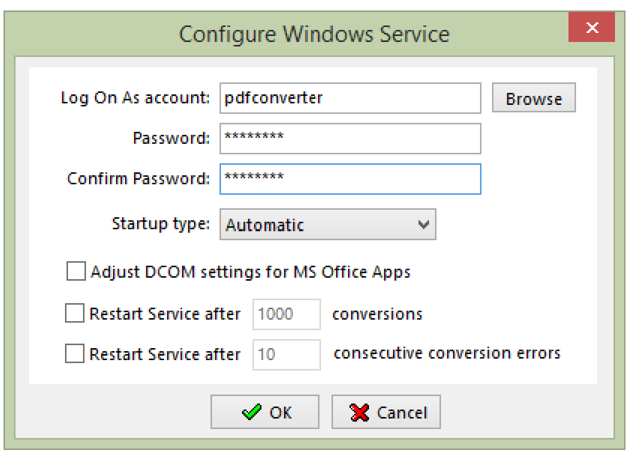
6. Click **Apply**, and then click **Yes** to confirm that you want PolicyTech document copies deleted once they've been processed.
7. Close the **Input Folder(s)** window.
8. Click **Settings**, and then click **Advanced Settings**.

9. Select the **Launch as Windows service** check box, 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**.

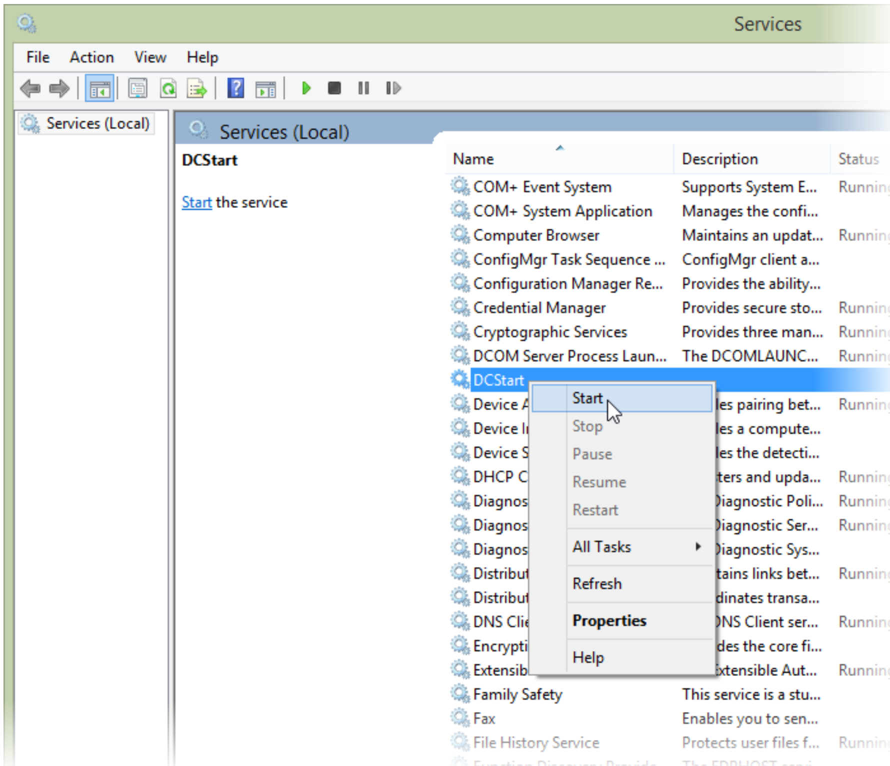
11. For **Password** and **Confirm Password**, type the user's password, and then click **OK** twice.




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

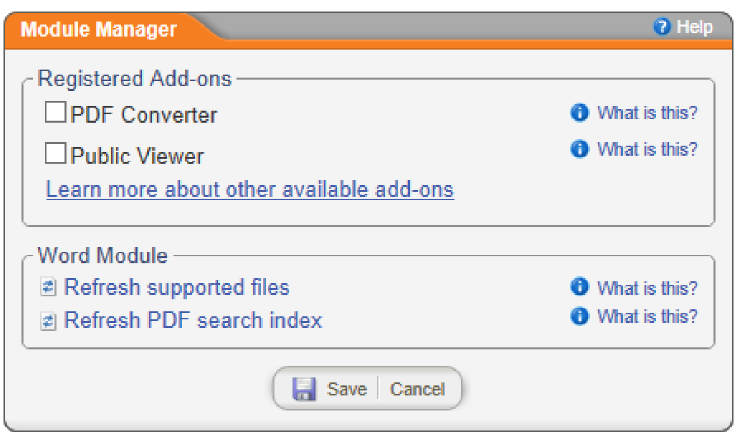
### Start Document Converter Pro Service

1. Open Services (found in Windows Administrative Tools).
2. Right-click **DCStart**, and then click **Start**.




### Activate PDF Converter

1. In PolicyTech, click **PREFERENCES**, click **System / IT Settings**, and then click **Module Manager**.




2. Select the **PDF** Converter check box, and then click **Save**.

## Automated User Synchronization

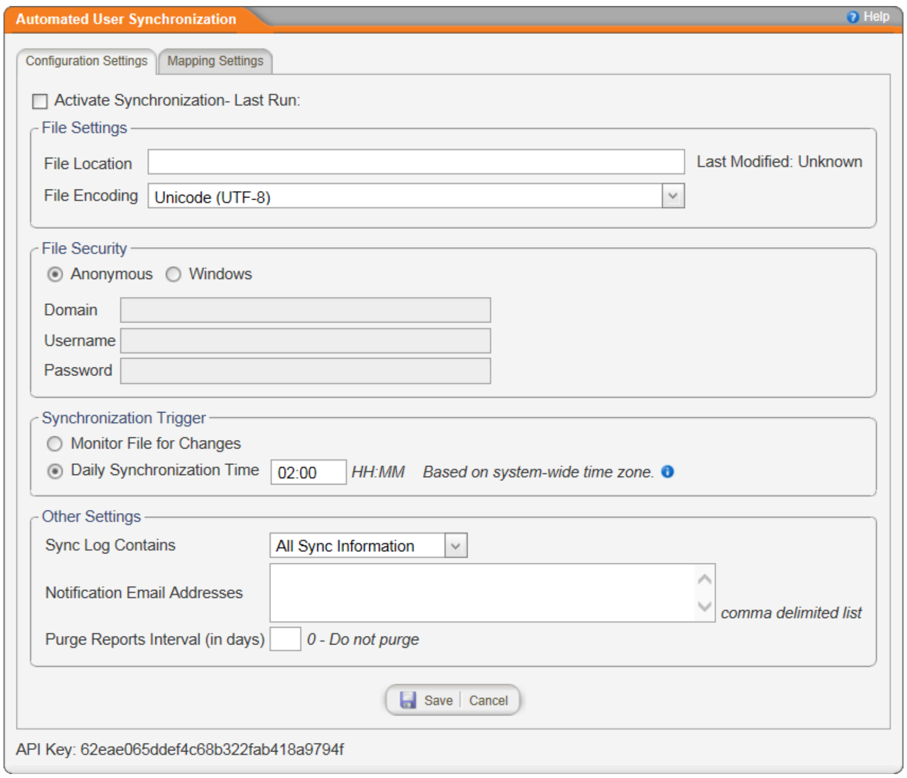
Use the **Automated User Synchronization** settings to schedule a daily, full synchronization of users from an import file. The way you use this feature depends on whether you have installed PolicyTech™ at your site or whether your PolicyTech system is hosted by NAVEX Global™. Click the link below that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

[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 **PREFERENCES**.
2. Click **System /IT Settings**, and then click **Automated User Synchronization**.




3. 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.

4. (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.

5. 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.

6. In the **Synchronization Trigger** area, select how PolicyTech will know when to upload and sync the import file with the user database.

7. In the **Other Settings** area, do any of the following:

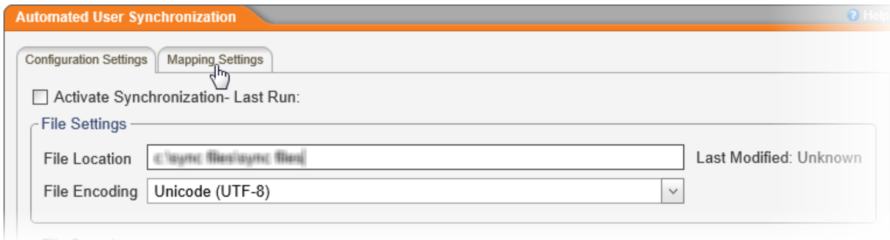
   - For **Sync Log Contains**, click **All Sync Information**, **ONLY Changes**, **ONLY Errors**, or **Errors and Changes**.
   - Type one or more email addresses, separated by commas, if you want a notification email sent to specific users whenever an error occurs during the import and sync process.
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

8. 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.




9. The **Mapping Settings** page displays the contents of the first 12 fields of the first row of the import file. If the content of a field does not match the specific field in the **Field** column, click the field's **Column Number** box, and then click the correct column.

**Important:** If you don't want a field imported and synced, in that field's **Column Number** list, click **Not in File**.

10. (Optional) If you're using Microsoft® Active Directory® and have defined domains in PolicyTech (see Active Directory Settings), you can 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 **Delete users not in sync file?** to clean out any unneeded user records.

**Important:** Even though you can restore the deleted users from the **Recycle Bin**, it's always a good idea to back up the PolicyTech database before selecting this option (see Backing Up a Database).

13. Click **Save**.
14. 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

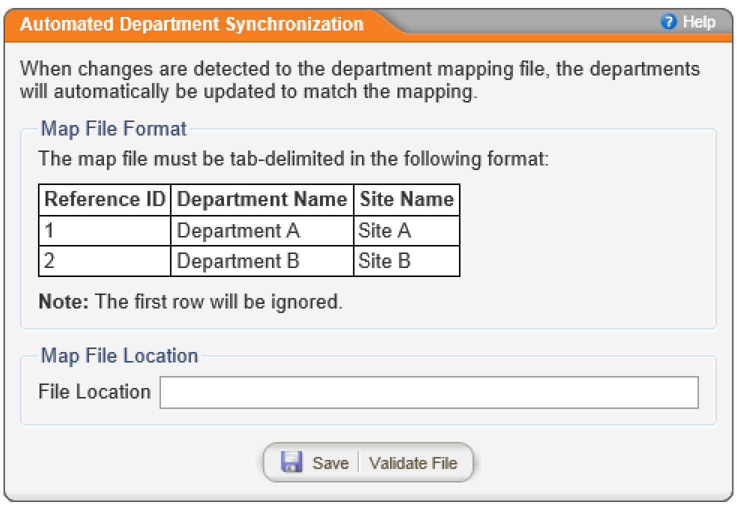
Use the **Automated User Synchronization** settings to activate a daily, full synchronization of departments from an import file. The way you use this feature depends on whether you have installed PolicyTech™ at your site or whether your PolicyTech system is hosted by NAVEX Global™. Click the link below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

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 **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Automated Department Synchronization**.




3. 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 **Automated Department Synchronization** window.

4. Click **Save**.
5. 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

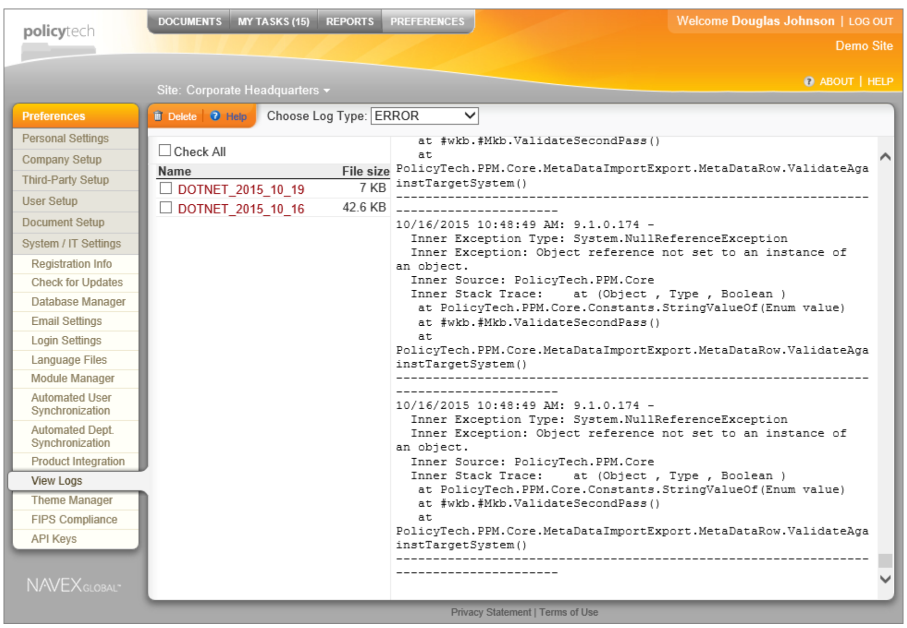
Because you do not have direct access to the server hosting your PolicyTech™ installation, you must use a tool called User Provisioning Service to get your sync files to the PolicyTech server. See the Installation & Configuration Guide: User Provisioning Service for details.

## 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 **PREFERENCES**.
2. Click **System / IT Settings**, and then click **View Logs**.



3. 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 its check box, and then click **Delete**.

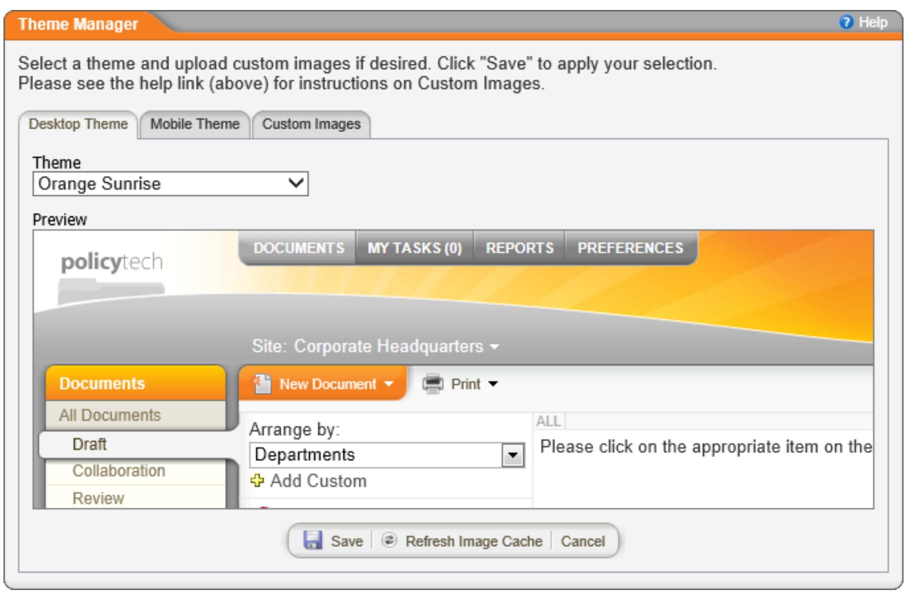
## Theme Manager

In Theme Manager, you can do any of the following:

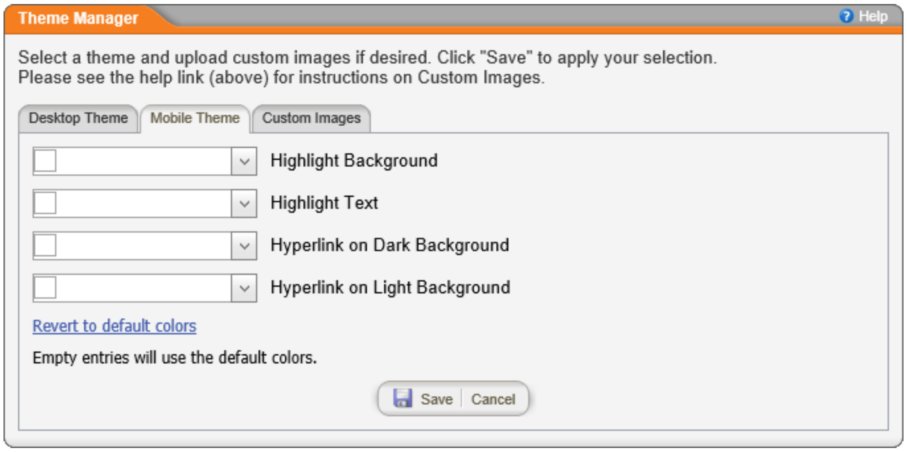
- Select one of several different themes to change the look and feel of the desktop browser version of PolicyTech™
- Change the look and feel of the PolicyTech mobile version
- Customize the desktop version look and feel by uploading custom graphics

Follow the steps below to select a different predefined theme for the desktop version or change theme settings for the mobile version. For details on uploading custom images, see Appendix D: Custom User Interface.

1. Click **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Theme Manager**.
3. Do one of the following:
    - Click the **Desktop Theme** tab, and then select a different theme. An example of the currently selected theme is displayed in the **Preview** box.

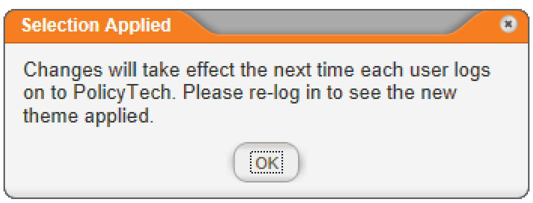



    - Click the **Mobile Theme** tab, and then make changes to any of the available settings.




4. Click **Save**.

**Note:** The **Refresh Image Cache** button in the **Desktop Theme** tab is useful in situations, such as after upgrading PolicyTech, when some users are not seeing updates to the currently selected themes. Click **Refresh Image Cache** when you don't need to make a theme change but just need all users' image caches refreshed. (Refreshing image cache is done automatically when you change a theme or mobile setting and then click **Save**.)




5. Log out of PolicyTech and then log in again to see the different desktop theme or mobile settings applied.

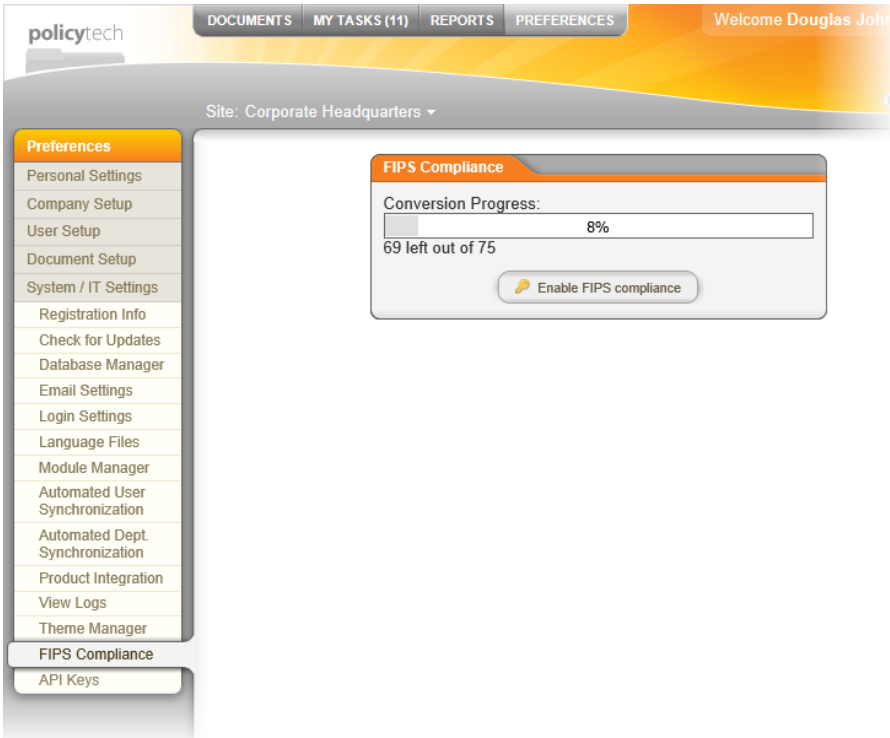
## FIPS Compliance

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).

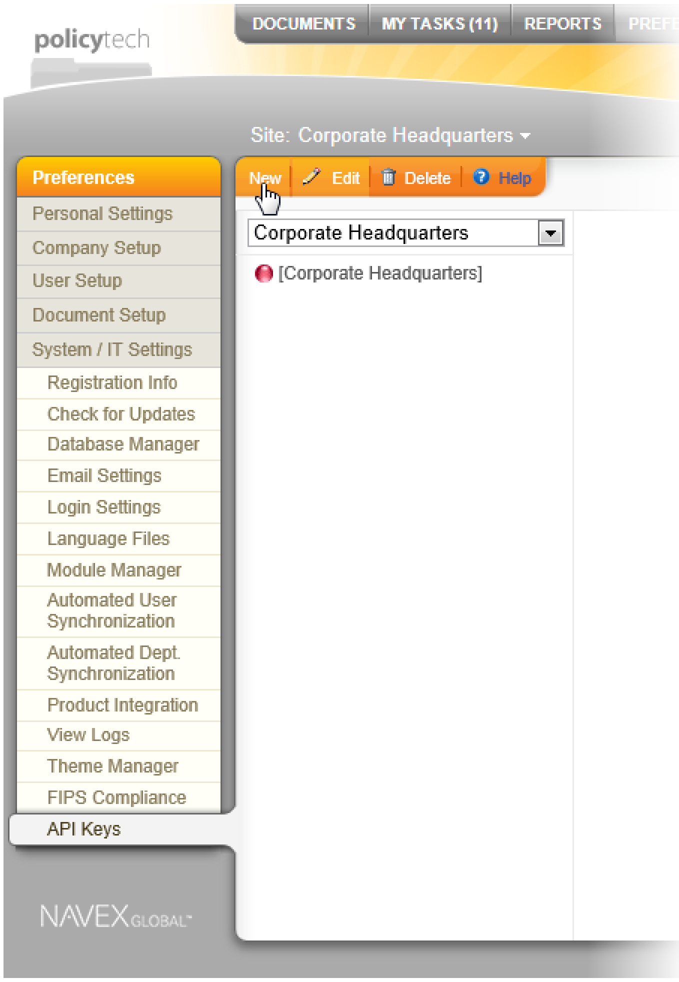
## API Keys

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.

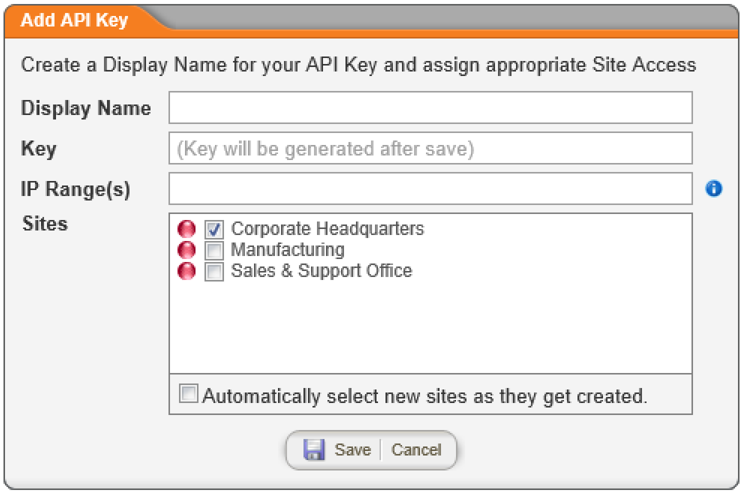
**Note:** Using the PolicyTech API only gives access to documents assigned the **All Users** or **Public** security level. Documents assigned **Restricted - High** or **Restricted - Severe** are not accessible.

Follow these steps to generate an API key you can give to the developer responsible for doing custom programming:

1. In PolicyTech, click **PREFERENCES**.
2. Click **System / IT Settings**, and then click **API Keys**.
3. Click **New**.




4. 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.

5. (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.

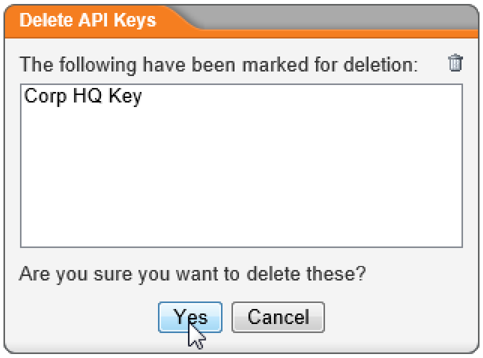
6. In the Sites box, select only those sites you want the API to have access to.
7. (Optional) Click **Automatically select new sites as they get created**.
8. Click **Save** to generate the key.
9. Copy the key and send it to the developer who will be doing the custom programming.

## 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 **PREFERENCES**.
2. Click **System / IT Settings**, and then click **API Keys**.
3. Click the key name to open the key in edit mode.
4. 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.



# Document Manipulation

For general instructions on working with documents, see "Finding and Opening a Document" in the User's Guide.

As a document control administrator (DCA), you can make changes to any accessible document's workflow status or to its elements.



## Changing a Document's Workflow Status

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



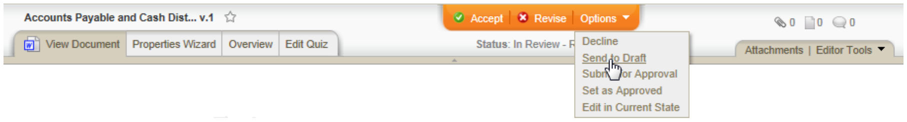
### Returning a Document to Draft Status

As a document control administrator, you can return any document currently in the review or approval status back to draft.

**Notes:**

- If changes need to be made to a document in the pending or published status, you or the document owner must create a new version of the document. See "Doing a Periodic Review and Creating a New Version" in the User's Guide for details.
- A document's owner can also send that document back to draft.

1. Click **DOCUMENTS**.
2. Find and open the document you need to send back to draft status (see "Finding and Opening a Document" in the User's Guide for detailed instructions).
3. Click **Options**, click **Send To Draft**, and then click **OK**. The document owner receives a task notification that the document needs to be resubmitted for review. Any reviewers or approvers who have not yet completed their assigned tasks for that document are notified that they no longer need to complete those tasks.

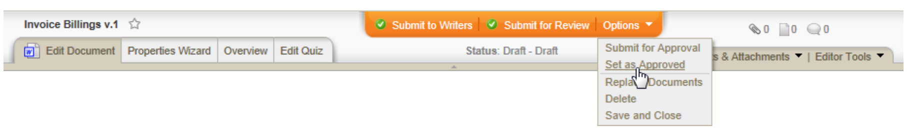



## Setting a Document as Approved

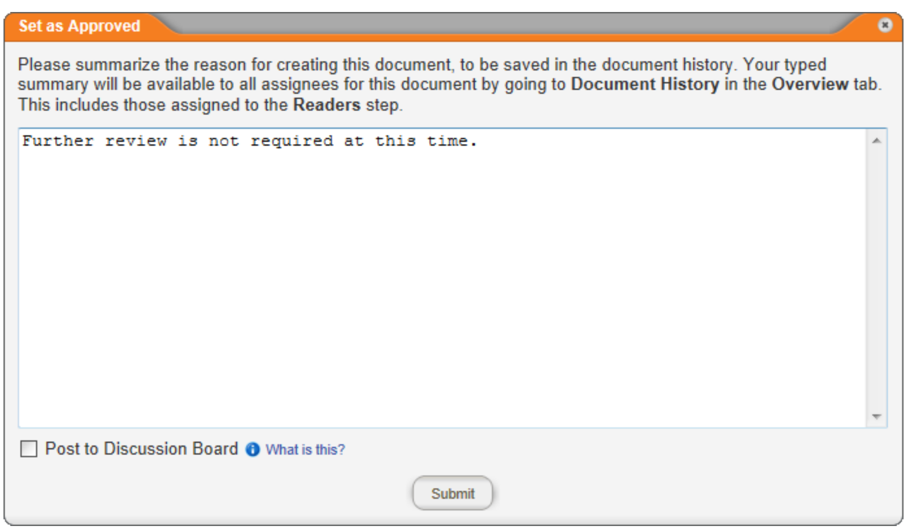
There may be times when a document control administrator (DCA) or document owner will need to set a document as approved without going through the normal review and approval process. For example, documents may have already been reviewed and approved outside of PolicyTech™ and therefore do not need to be reviewed and approved after importing them. A document owner must also have the approver role assigned to be able to do this. In addition, there must not be any other required approvers assigned to the document. The DCA or document owner who completes the **Set As Approved** action will be listed in the **Approver Status** page as having approved that document, and any other reviewers and approvers who have not completed their assigned tasks will show the skipped status.

To set a document as approved,

1. Locate and open the document you need to set as approved (see "Finding and Opening a Document" in the User's Guide for help).
2. Click **Options**, click **Set As Approved**, and then click **OK**.




3. Type your reason for setting the document as approved. and then click **Submit**.



4. (Optional) To add what you wrote to this document's discussion board, click **Post to Discussion Board** (see "Working with Document Discussions" in the User's Guide for details on adding recipients and making the discussion private).

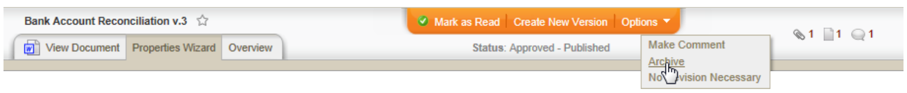
5. Click **Submit**, and then click **OK**.

## Manually Archiving a Document

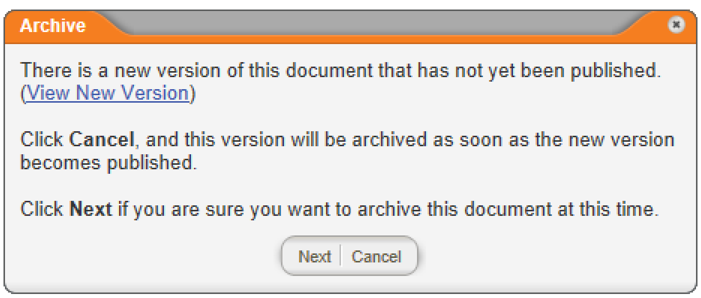
You can manually archive any approved document in the pending or published status.

1. Find and open the document you want to archive (see "Finding and Opening a Document" in the User's Guide for help).

2. Click **Options**, and then click the **Archive**.



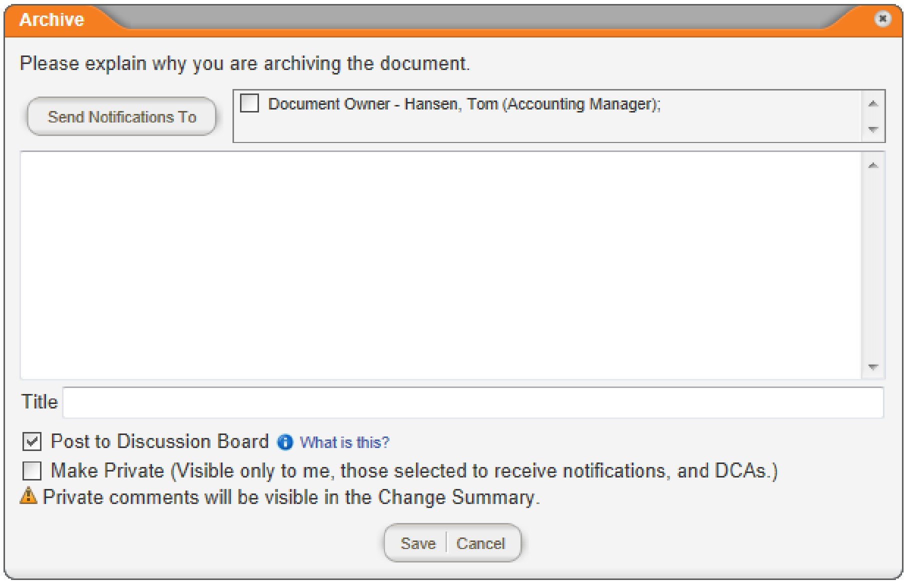

3. (Conditional) If a new version of this document has been started and currently resides in the draft, collaboration, review, or approval status, you will see the following alert after clicking **Archive**.




Do one of the following:

- If you decide not to manually archive this document but instead let it be automatically archived as soon as the new version is published, click **Cancel**.
- To continue with archiving this document now, click **Next**.

4. In the large box, type a reason for archiving the document.




5. (Optional) Do any of the following:

   - By default, no one is notified that the document 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 check box before the name.

   - To add notification recipients, click **Send Notifications To**. To add writers, reviewers, or approvers currently assigned to this document, 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 necessary.

   - If you don't want this change summary added to the discussion board, click to clear the **Post to Discussion Board** check box. (The change summary will still be accessible from the **Document History** page of the document's **Overview** tab. See "About the Document History Page of the Document Overview" in the *User's Guide* for details.)

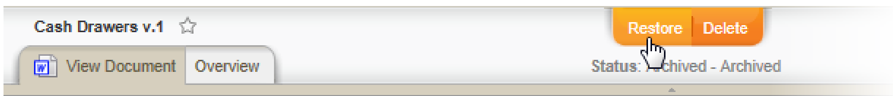
   - If the change summary is posted to the discussion board, anyone with access to the document by virtue of their document role or system permission assignments can view the discussion. To restrict access to only those selected as recipients and document control administrators, select the **Make Private** check box. (The change summary will still be accessible from the **Document History** page of the document's **Overview** tab.)

6. Click **Save**.

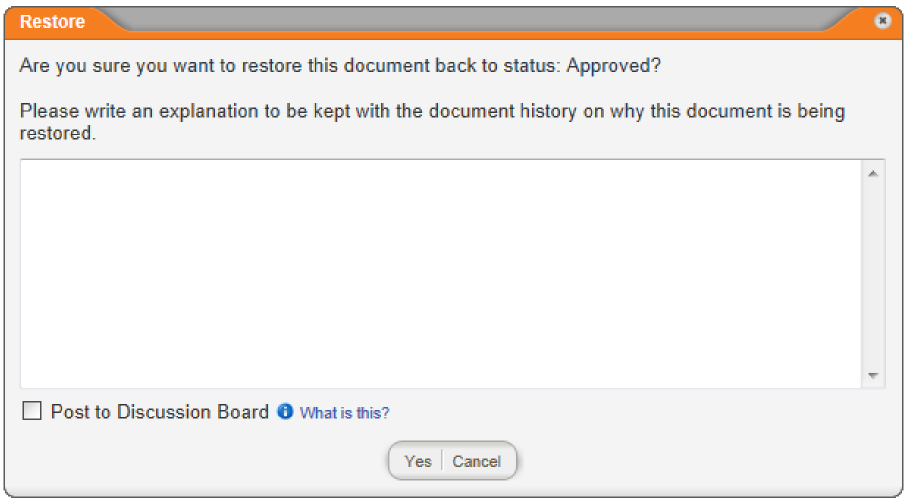
### Restoring a Manually Archived Document

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

1. Find and open the document you want to restore (see "Finding a Document in a Specific Status" in the *User's Guide* for help).
2. Click **Restore**.




3. In the **Restore** window, type the reason for restoring the document.




4. (Optional) To also add your typed text as a new discussion, select the **Post to Discussion Board** check box.

**Note:** The change summary text is always accessible from the **Document Overview**, whether or not it is posted to the discussion board. See "About the Document History Page of the Document Overview" in the *User's Guide* for details.

5. Click **Yes** to move the document back to the published status.

**Note:** When a document is restored to published status, incomplete reading tasks are reactivated. If the document was set to be due on a date interval (a specific number of days after the reading task was assigned) or the **Read Interval** option was set, the interval starting date is reset to when the document was restored.

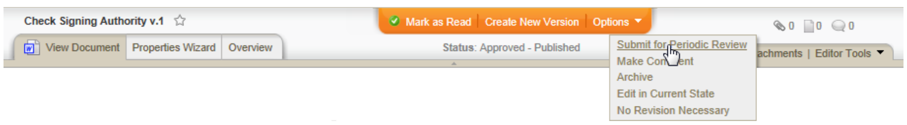
## Restoring a Deleted Document

See The Recycle Bin for instructions on restoring a deleted document.

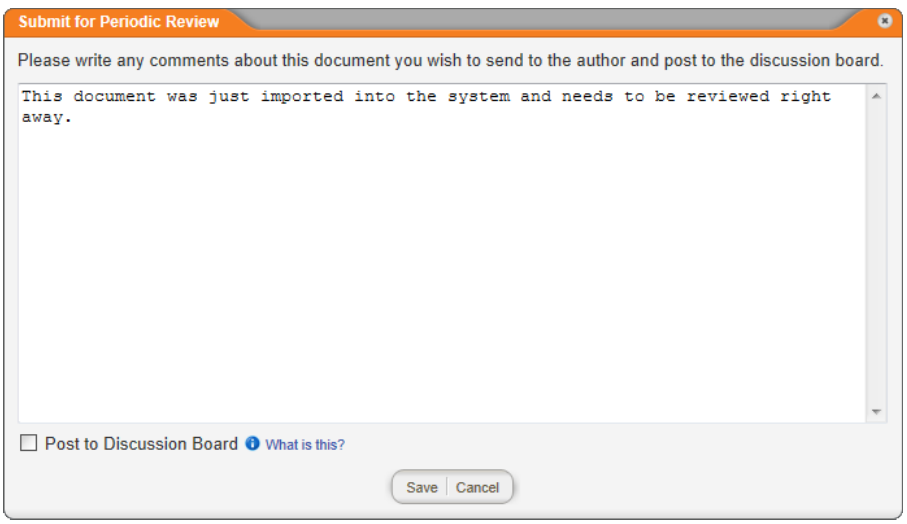
## Forcing Submission for Periodic Review

You can set an approved document 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 (see Take Action on a Document Due for Periodic Review for details) and includes a due date of the day you force the periodic review submission. The second email indicates that you have submitted the document for periodic review and includes the message, if any, that you include when you force the periodic review.

1. Find and open the approved document you want to submit for review.
2. Click **Options**, and then click **Submit for Periodic Review**.




3. (Optional) Type a reason for submitting the document for review today.




4. (Optional) Click **Post to Discussion Board** (see "Working with Document 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.

## Changing Document Elements

As a document control administrator (DCA), you have several options for making changes to others' documents. Depending on a document'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 feature, as shown in the table below.

| Document Element | Editing Method by Status | | | | | | |
|---|---|---|---|---|---|---|---|
| | Draft | Col-laboration | Revie-w | Approv-al | Pend-ing | Pub-lished | Archive-d |
| Content (Edit Document tab) | Direct* | Direct | EICS† | EICS | EICS | EICS | Not editable |
| Properties (Properties Wizard tab) | Direct | Direct | Direct | Direct | Direct | Direct | Not editable |
| Questionnaire (Edit Questionnaire 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.*

See the following sections for detailed editing instructions:

Editing a Document as a Document Owner Would (direct editing)

Editing a Document in Its Current Status

In addition to the above mentioned document elements, a DCA can also edit a document's change summary while the document is any status except archived. See Editing a Document's Change Summary for details.

## Editing a Document as a Document Owner Would

As a document control administrator (DCA), you can edit any of a document's elements (content, properties, and questionnaire) wherever a document owner can edit these elements. You can edit them in the statuses indicated below without affecting a document's workflow status and without the necessity of using the Edit in Current State feature:

| Element | Directly Editable in These Statuses |
|---|---|
| Content | Draft, collaboration |
| Properties | All except archived |
| Questionnaire | Draft, collaboration |

**Note:** While you can edit an existing document as a DCA, you cannot create documents 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 (Windows)" or "Writing a Document (Mac)"

"Assigning Document Properties"

"Creating a Questionnaire"

## Editing a Document in Its Current Status

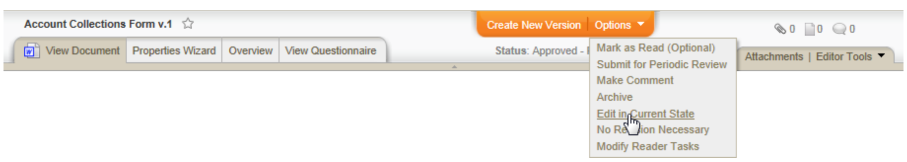
As a document control administrator, you can use the Edit in Current State feature to make necessary changes to a published document without having to create a new version of the document and send it through the review and approval process again. You can also use Edit in Current State for a document in review or approval without causing the document to be sent back to draft.

Editing document content or its questionnaire in the statuses indicated without affecting a document's workflow status and without the necessity of using the Edit in Current State feature:

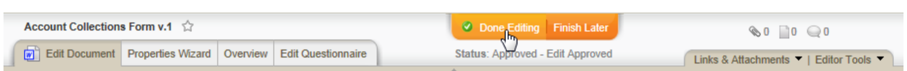
### Edit Document Content

To edit a document in review, approval, pending, or published status,

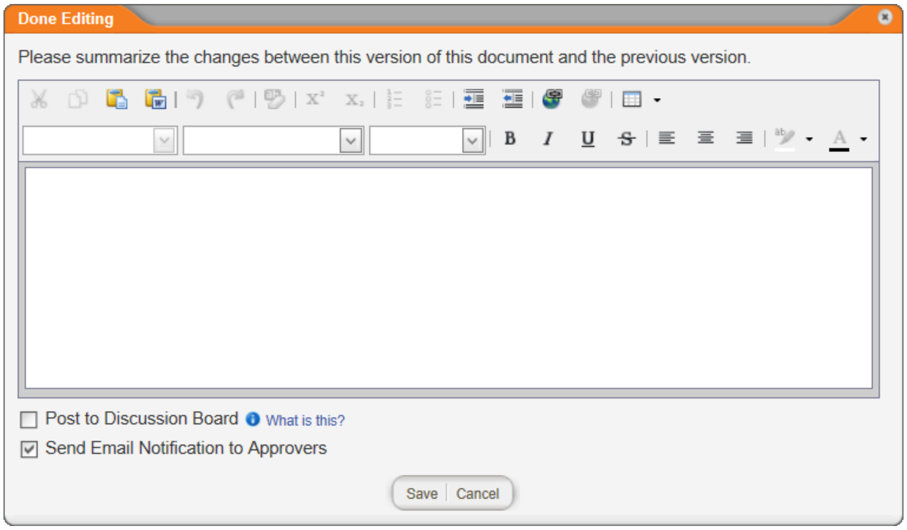
1. Find and open the document you want to change (see "Finding and Opening a Document" in the User's Guide for help).
2. Click **Options**, click **Edit in Current State**, and then click **OK**.




3. With the **Edit Document** tab selected, make changes to the document content.
4. Click **Done Editing**.




5. If the document is in review or approval status, you can now close the document. 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 readers do not receive notification unless you post the change summary to the discussion board and add reviewers and readers as notification recipients.
- If the document 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 of the document (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 for Review" or "Submitting a Document for Approval" in the *User's Guide*).

8. (Optional) The **Send Email Notification to Approvers** option is selected by default. Click to clear the check box if you don't want email notifications sent to approvers.

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

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

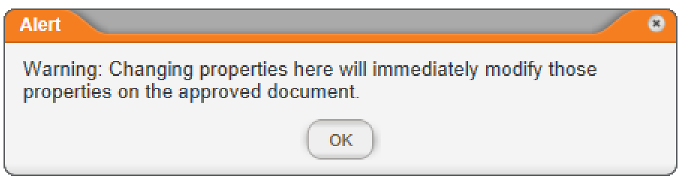
10. Close the document.

## Change Document Properties

As a document control administrator, you can make changes directly (without having to use **Edit in Current State**) to most document properties for documents in any active (not archived) status .

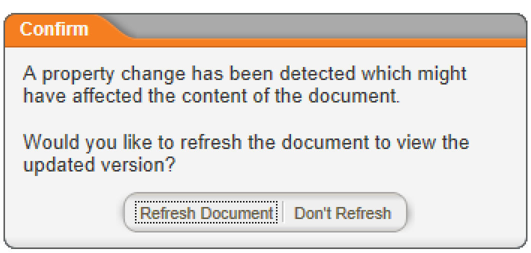
1. Find and open the document you want to change (see "Finding and Opening a Document" in the *User's Guide* for help), and then click the **Properties Wizard** tab.


2. (Conditional) If the document is in pending or approved status, an alert is displayed explaining that any properties you change will take immediate effect on this approved document. Click **OK** to close the alert.




3. Make necessary changes.
4. Click **Save**, and then close the document.

**Note:** If you click **View Document** before closing the document, you'll see an alert asking if you want to refresh the document, and thus refresh the fields of any inserted properties you may have just changed, before viewing it.




## Edit a Questionnaire

Follow the instructions below for the status of the document whose questionnaire you need to modify.

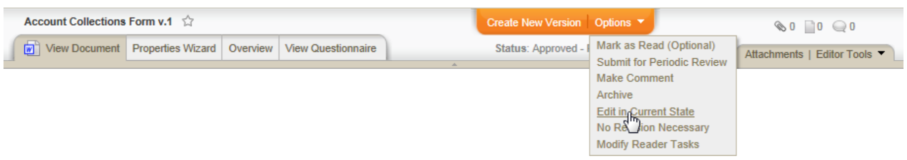
### Draft, Collaboration, Review, or Approval

As a document control administrator (DCA), 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 Questionnaire" section in the User's Guide.

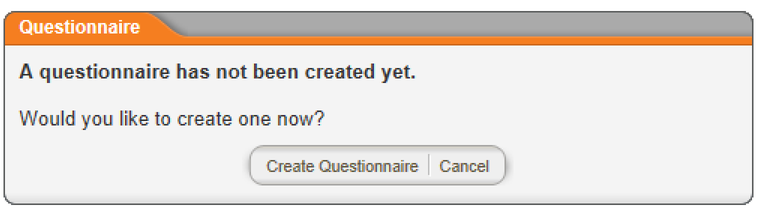
### Pending or Published

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.

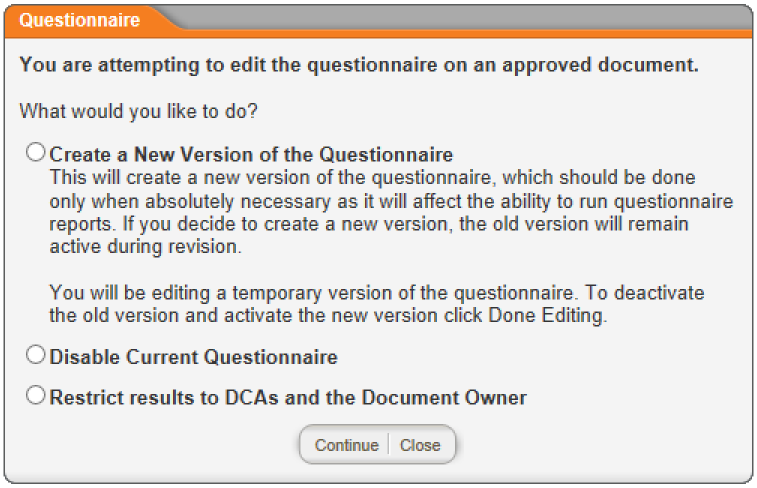
1. Find and open the document you want to change (see "Finding and Opening a Document" in the *User's Guide* for help).
2. Click **Options**, click **Edit in Current State**, and then click **OK**.




3. Click the **Edit Questionnaire** tab.
4. 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 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 reader 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.

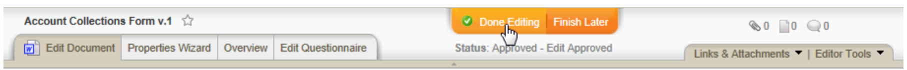
- This option lets you change the Confidentiality setting without having to create a new version of the questionnaire. As with the previous option, this option label varies. It will say either **Restrict results to DCAs and the Document Owner** or **Make results available to anyone who can see questionnaire 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 above mentioned questionnaire reports can generate these reports and see questionnaire results. This includes the document owner, any document control administrator (DCA) 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 DCAs.

**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 review, changing this setting changes it in both of those document versions.

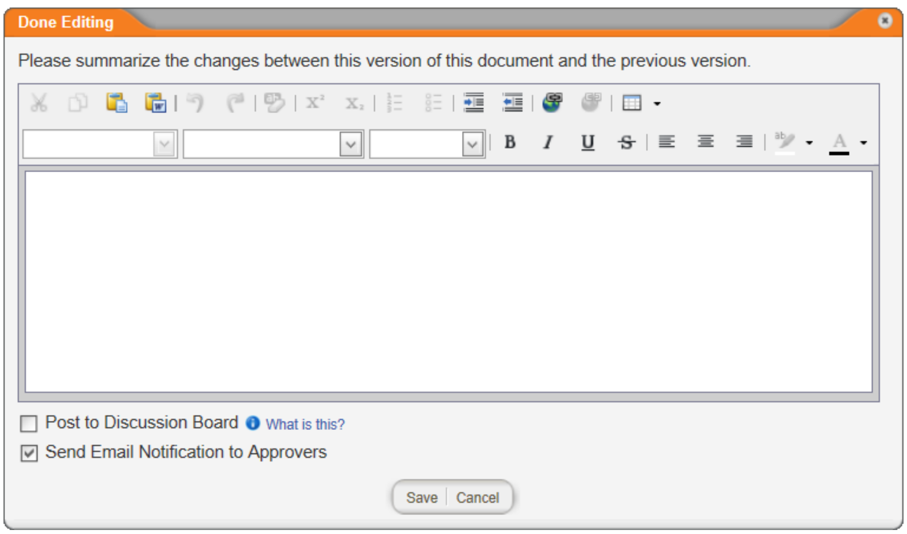
**Note:** Restricting questionnaire report access affects only the management questionnaire reports. It does not affect each user's ability to run personal questionnaire reports.

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 Document 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 readers do not receive notification unless you post the change summary to the discussion board and add reviewers and readers as notification recipients.

8. (Optional) The **Send Email Notification to Approvers** option is selected by default. Click to clear the check box if you don't want email notifications sent to approvers.
9. Click **Save**, and then, in the **Results** window, click **OK**.
10. Close the document.

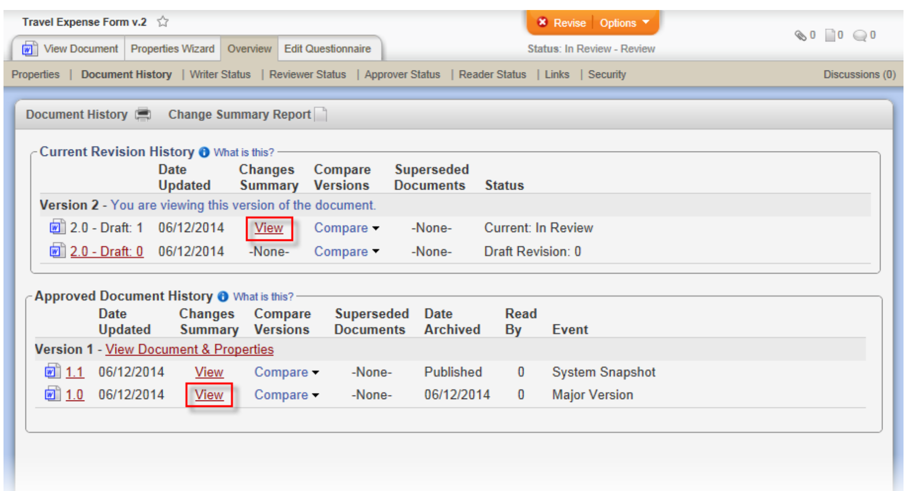
## Editing a Document's Change Summary

A change summary is created whenever a draft document is submitted to review or submitted directly to approval (skipping the review status). As a document control administrator (DCA), you can make changes to a document's change summary while the document is in any status except archived.

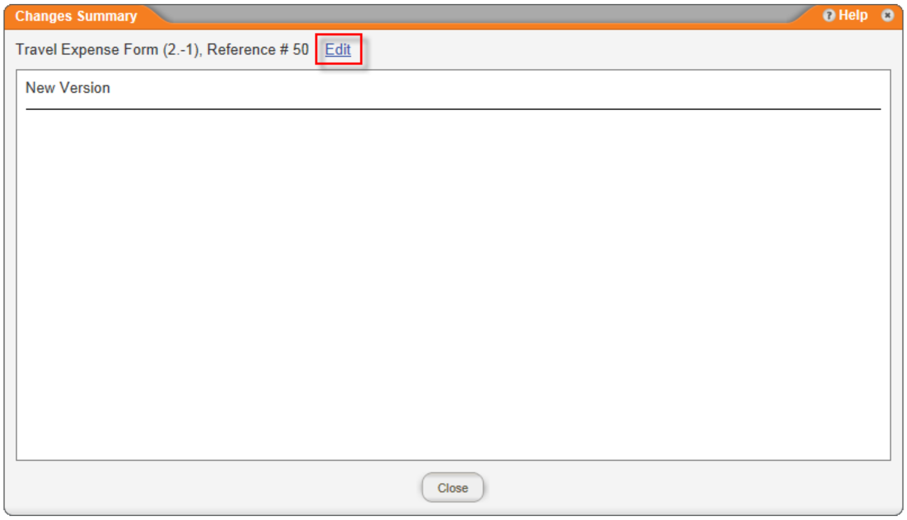
**Important:** You can access the editing feature on major versions only (such as 1.0). It is not available when viewing minor version change summaries (1.1, 1.2, 1.3, etc.).

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

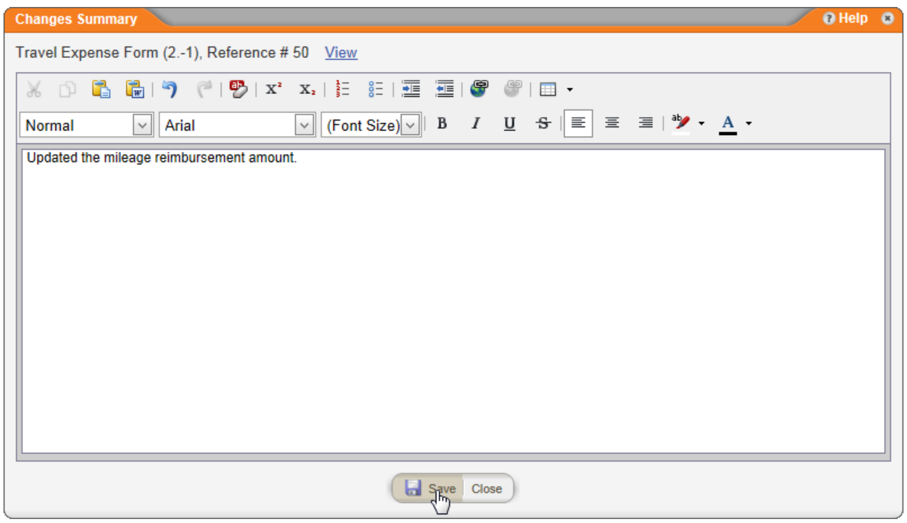
**Note:** The document history may list archived versions, whose change summaries cannot be edited.




4. Click **Edit**.




5. Make changes, click **Save**, and then close the document.




**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 in the User's Guide.

# 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. For PDF Converter, you will be given a Document Converter Pro serial number.

**Note:** The **PolicyShare** access features are add-ons that are enabled by default. If you want to disable one or both of them, call Client Support at the number above.

| 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.<br><br>**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, all of which are NAVEX Global products.<br><br>From within EthicsPoint or IntegriLink, case investigators can view case-related PolicyTech documents. |

<table>
<tr><td></td><td>From within PolicyTech, a user can do the following:<ul><li>Enable the syncing of EthicsPoint issue types or IntegriLink allegation types with corresponding PolicyTech categories</li><li>Assign issue type or allegation type categories to documents, making them accessible in EthicsPoint or IntegriLink</li><li>Be assigned the case investigator role, which allows that user to request updates to case-related documents</li><li>Report an incident or event from within a document</li></ul></td></tr>
<tr><td>Reader Task Modification</td><td>Gives managers, document owners, and document control administrators the following options:<ul><li>Marking a document as read for other users</li><li>Reassigning the reading task to users who have already marked a document as read.</li></ul></td></tr>
<tr><td>Single Sign-on</td><td>Enables single sign-on capabilities from the NAVEX Global portal.</td></tr>
<tr><td>Document Export</td><td>Enables the exporting of PolicyTech documents to PDF or original file formats.</td></tr>
<tr><td>Serial Document Upload</td><td>By default, imported documents are uploaded in batches. This add-on changes the upload process to one document at a time, which should only be necessary if the internet browser your organization is using doesn't allow a multiple-file upload.</td></tr>
<tr><td>PolicyTech API for Integration with SharePoint Federated Search</td><td>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:<ul><li>Must be assigned to a site to which the API key has been assigned</li><li>Must reside in the published status</li><li>Must have a security level designation of All Users or Public</li></ul></td></tr>
</table>

## 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 Serial Document Upload

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 or Reuse 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, 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.

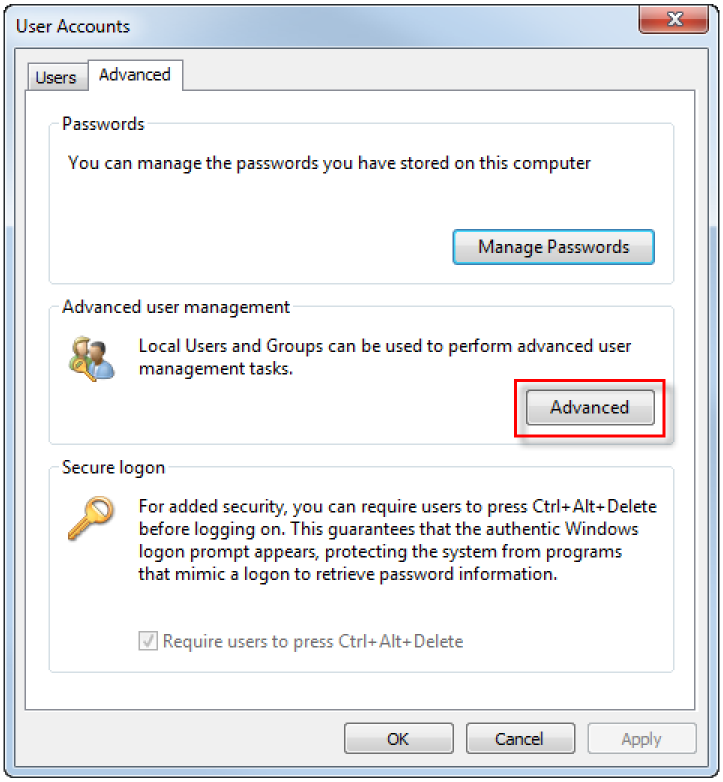
If you're reinstalling PolicyTech, use the serial number from the previous Document Converter Pro installation. If you don't know that serial number, contact Client Support at one of the numbers listed above to retrieve it.

#### Create a Local Administrator Account

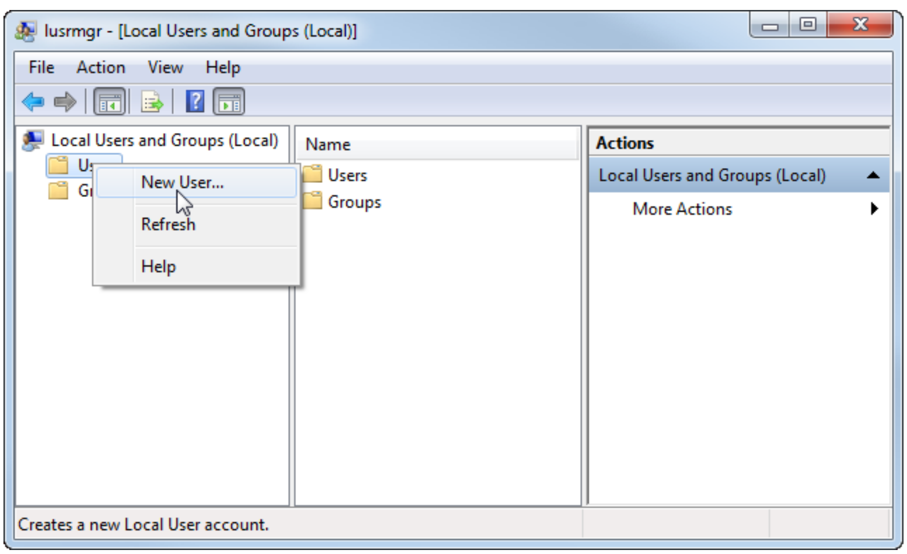
On the computer where PDF Converter will be installed (usually the server where the PolicyTech website is installed), you need to create an administrator user account that will be used by PDF Converter.

> **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**.

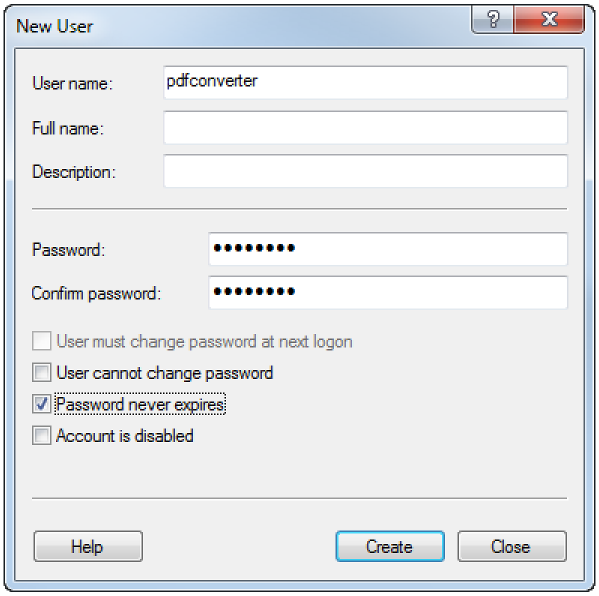



5. In the left panel, right-click **Users**, and then click **New User**.

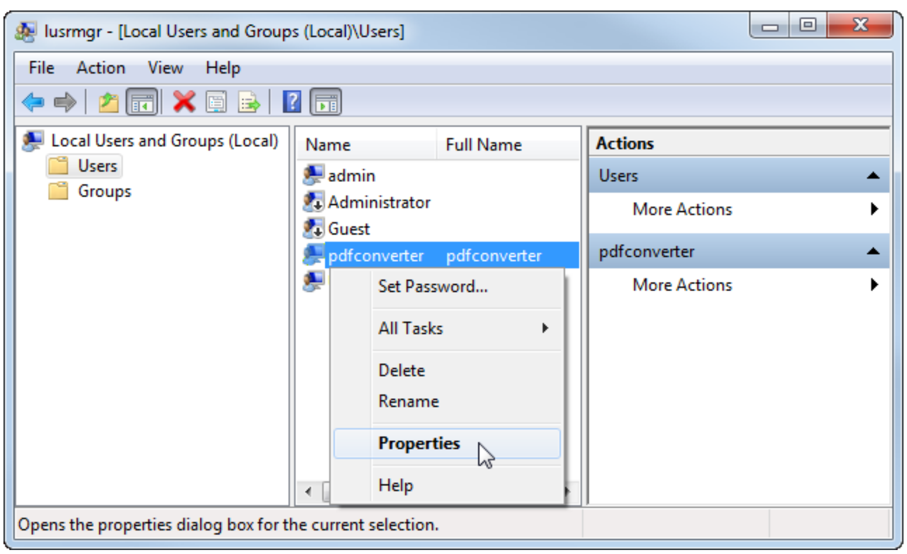



6. Type a user name, such as **pdfconverter**.
7. Type a password, and then, for **Confirm Password**, type it again.
8. Make note of the user name and password.

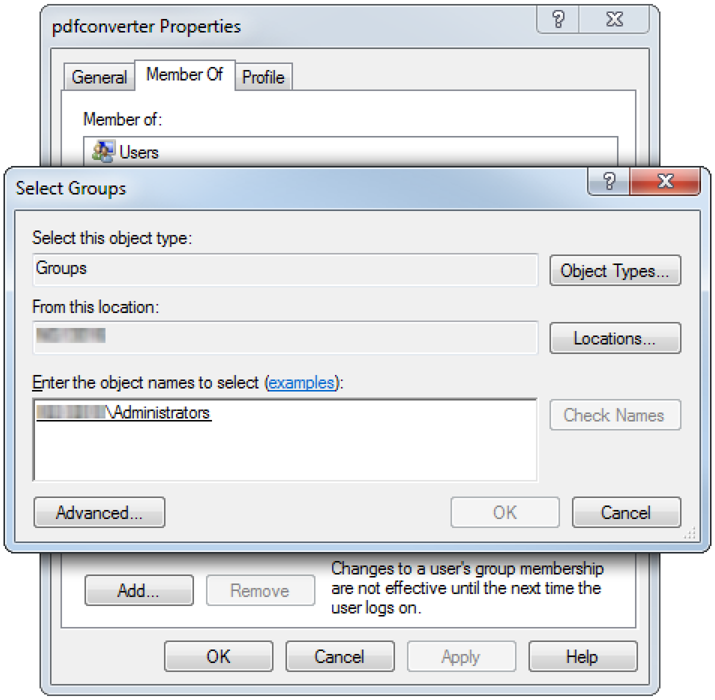
9. Click to clear the **User must change password at next logon** check box.
10. Select the **Password never expires** check box.




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

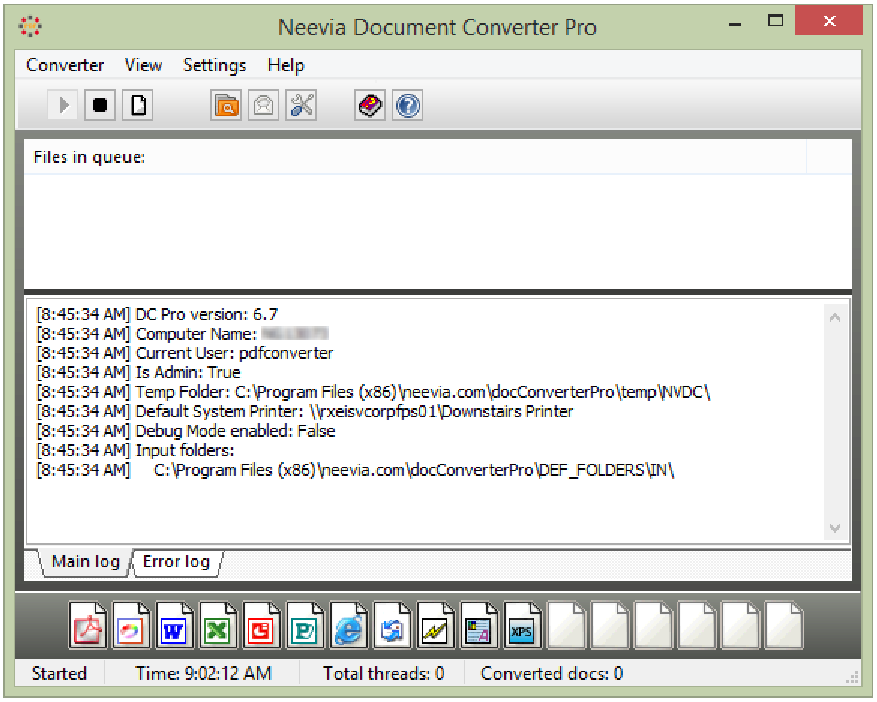
**Important:** A Document Converter Pro serial number is tied to a specific version of the application. If you're reusing a serial number, you may need an earlier Document Converter Pro version , which you can download from the Client Resource Center. If you're not sure which version you need, contact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

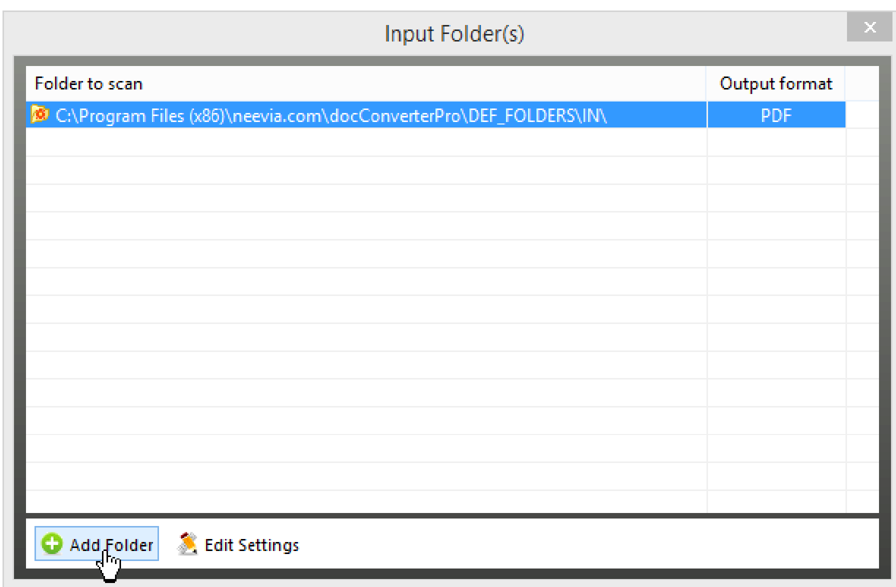
**Important:** If you are reinstalling Document Converter Pro and saved a copy of the **configs** folder from the previous installation, you can copy the **configs** folder into the directory structure of the new installation now, replacing the existing folder and its contents, and skip the remainder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

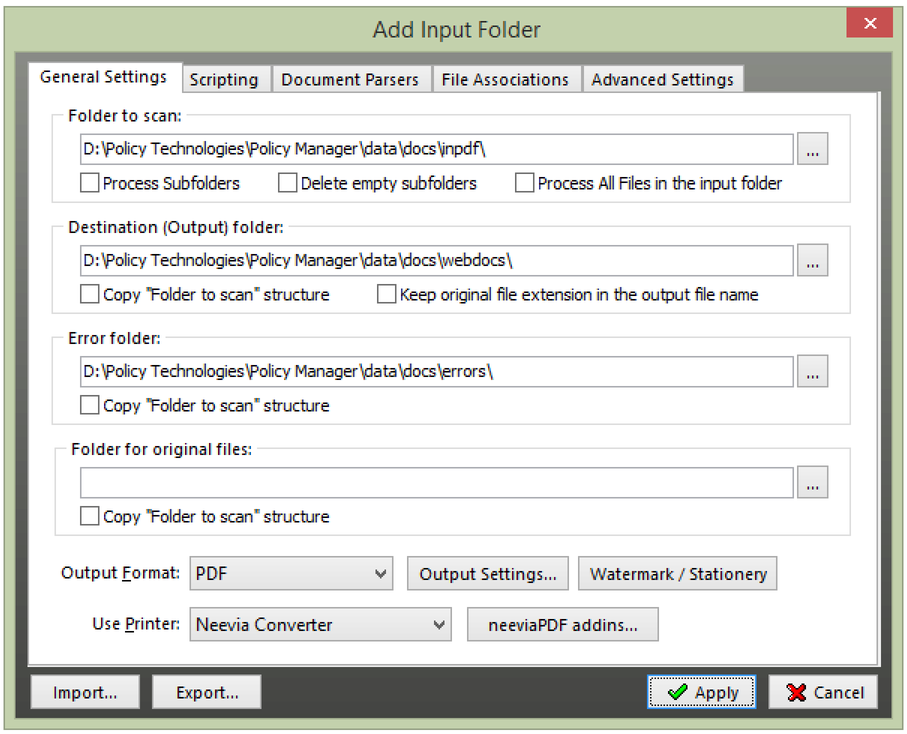
**[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\inpdf**

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.)

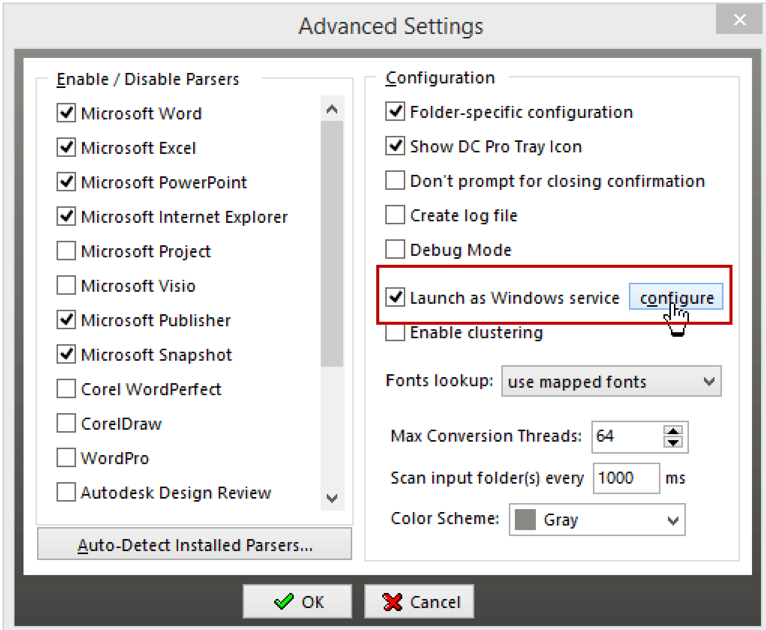
   **[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\errors**




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.

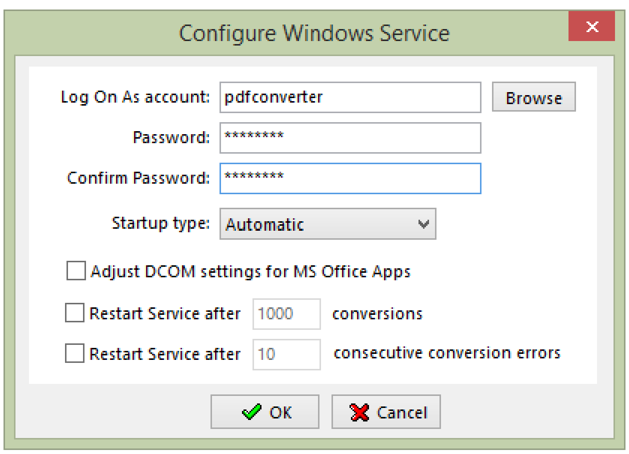
6. Click **Apply**, and then click **Yes** to confirm that you want PolicyTech document copies deleted once they've been processed.
7. Close the **Input Folder(s)** window.
8. Click **Settings**, and then click **Advanced Settings**.

9. Select the **Launch as Windows service** check box, 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**.

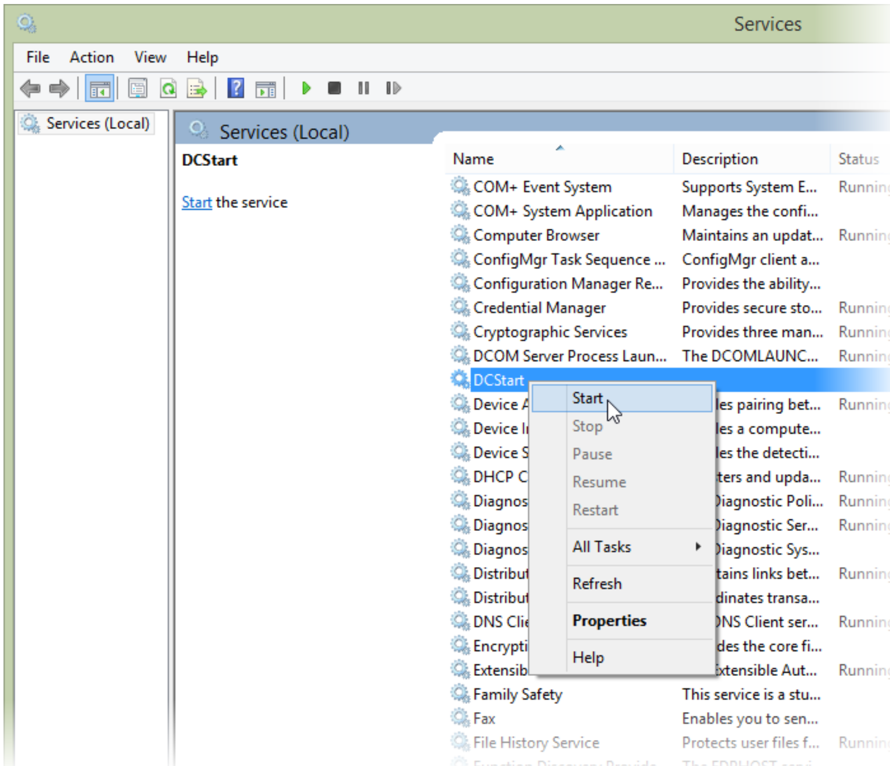
11. For **Password** and **Confirm Password**, type the user's password, and then click **OK** twice.




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

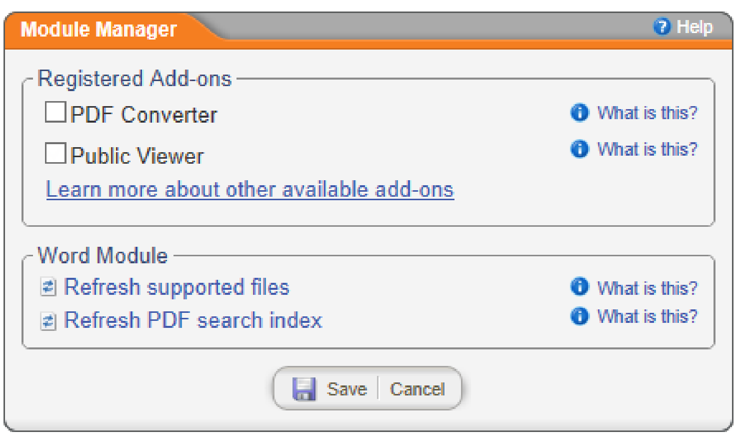
### Start Document Converter Pro Service

1. Open Services (found in Windows Administrative Tools).
2. Right-click **DCStart**, and then click **Start**.




### Activate PDF Converter

1. In PolicyTech, click **PREFERENCES**, click **System / IT Settings**, and then click **Module Manager**.




2. Select the **PDF** Converter check box, 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 assign as case managers and readers 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.

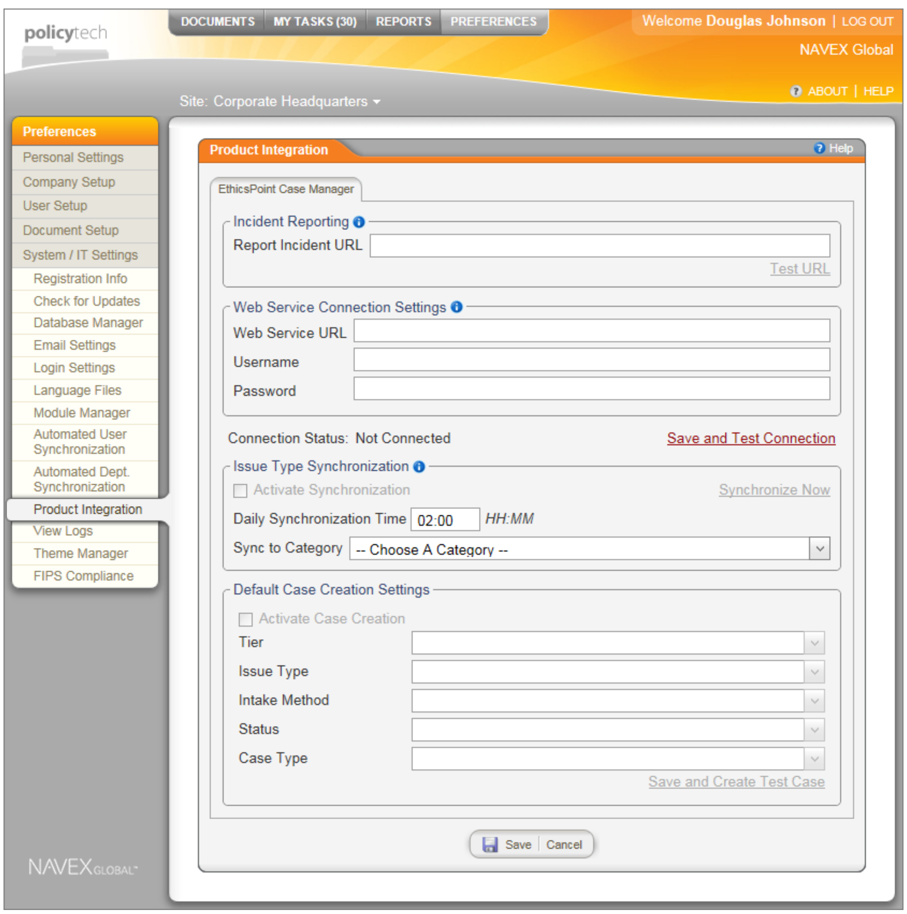
**Note:** To avoid site mismatches between categories and case managers, we recommend making the category available to all sites and then assigning the case manager permission to users at specific sites.

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 **PREFERENCES**.
2. 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.



3. 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.
4. 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.
5. 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.
6. 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.
7. Select the **Activate Synchronization** check box.
8. Click **Save**.
9. (Optional) Click **Synchronize Now** to create the issue type subcategories.
10. (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 the **Activate Case Creation** check box .
    b. Make selections for **Tier**, **Issues Type**, **Intake Method**, **Status**, and **Case Type**.

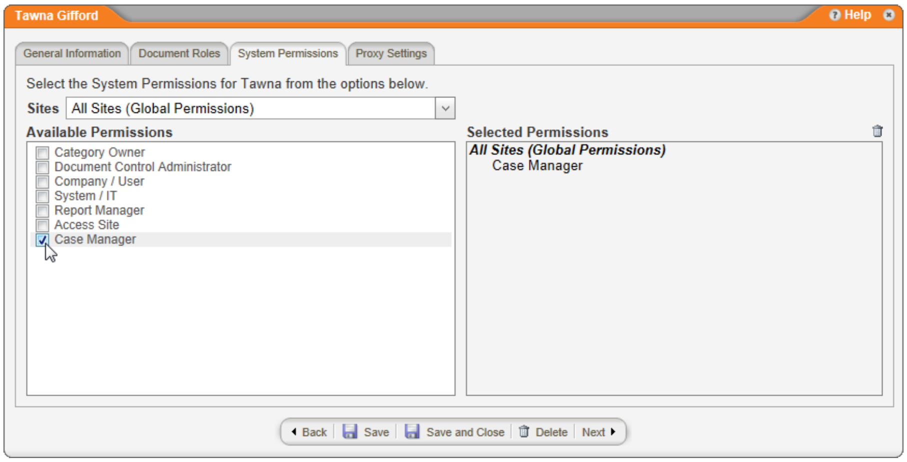
**Note:** The settings you choose here appear as the default settings for the questionnaire creator, who can change these options.

    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 the **Case Manager** check box.




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

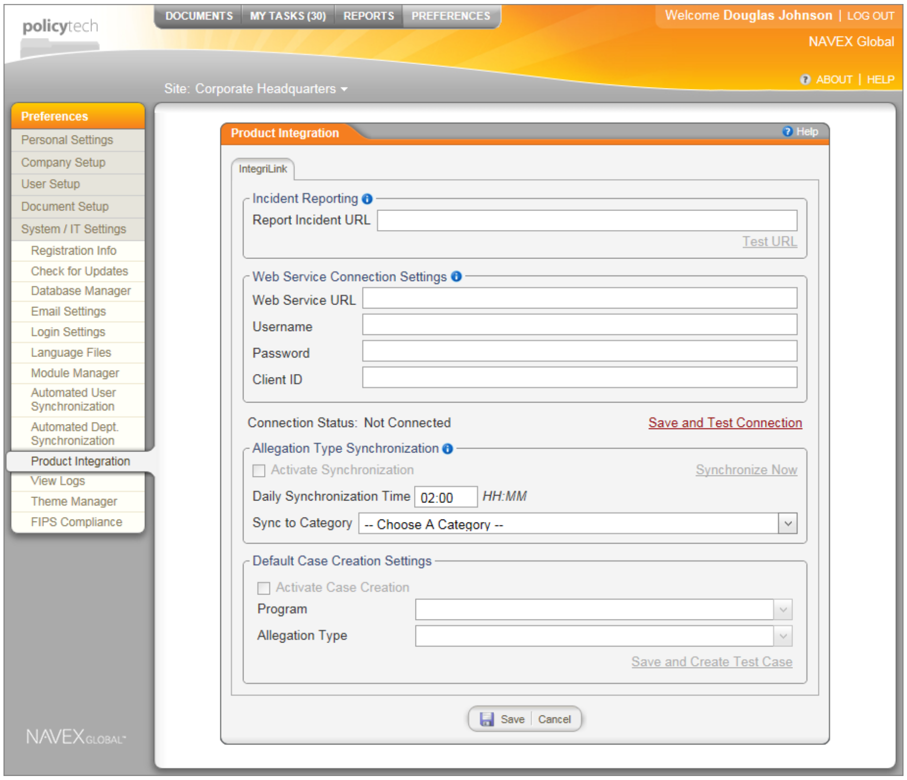
Part of the integration functionality is syncing IntegriLink allegation types with PolicyTech categories. You need to define a top-level category, such as one called Allegation Types, that will hold the allegation type categories that will be created with the initial sync and then updated whenever a 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 **PREFERENCES**.
2. 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.




3. 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.

4. 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.

5. 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.

6. 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.

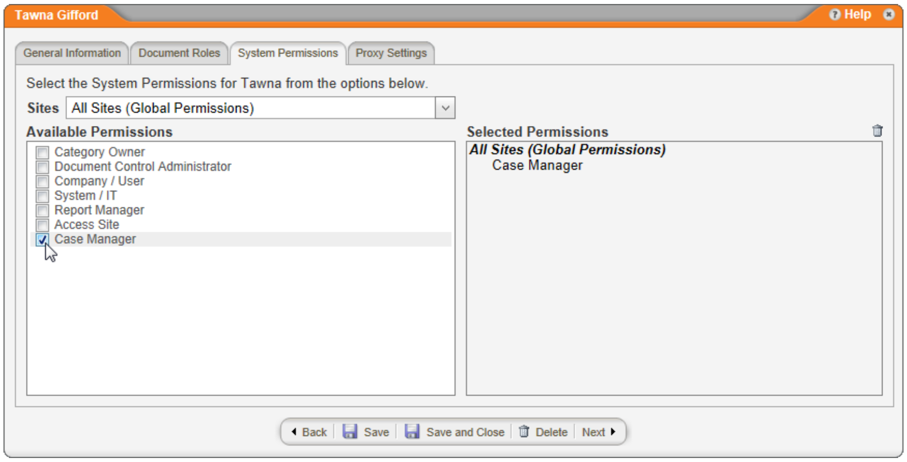
5. Select the **Activate Synchronization** check box.
6. Click **Save**.
7. (Optional) Click **Synchronize Now** to create the allegation type subcategories.
8. (Optional) **Default Case Creation Settings** apply only when a document owner enables the selecting of an answer to a questionnaire question to create a case. Do the following to enable and set up this feature:
    a. Select the **Activate Case Creation** check box .
    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 the **Case Manager** check box.




5. Click **Save and Close**.

## Set Up Serial Document Upload

**Important:** The **Serial Document Upload** 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.

**Note:** Uploading files one at a time is only necessary if the internet browser your organization is using doesn't allow a multiple-file upload.

Once the **Serial Document Upload** add-on has been enabled, no further setup is required.

See Importing Documents for detailed instructions on uploading document files into PolicyTech™. With **Serial Document Upload** enabled, the only difference you'll notice is that, when you select files to upload in step 5, you will only be able to select a single file, whereas normally you would be able to select multiple files. To upload additional documents, in step 6 click **New Upload**, and then select another file. Repeat this step as many times as necessary to upload all the files.

## 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 208-359-8123 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. |
| Workflow Configurations | Lets you modify a document template to limit the number of steps in the document approval workflow. |
| Third-Party Accounts | 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. |
| Localization Workflow | Lets you create localized copies from a master document so you can customize copies with site-specific information and translations. |

## Set Up an Advanced Feature Module

Go to the instructions for the advanced feature module you want to set up.

Public Viewer

Third-Party Accounts

Localization Workflow

Regulation Compliance Workflow

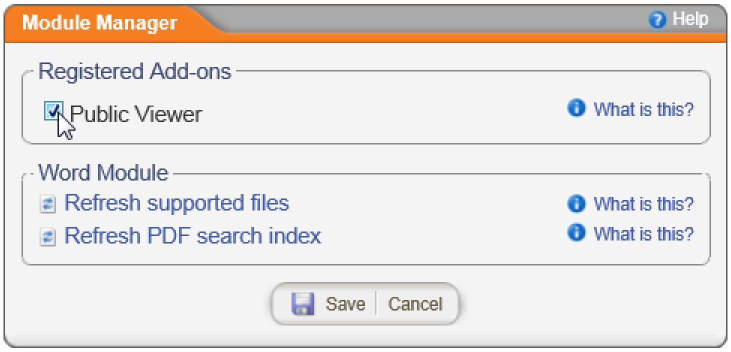
## Setting Up Public Viewer

**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 **PREFERENCES**.
2. Click **System / IT**, and then click **Module Manager**.
3. 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**.

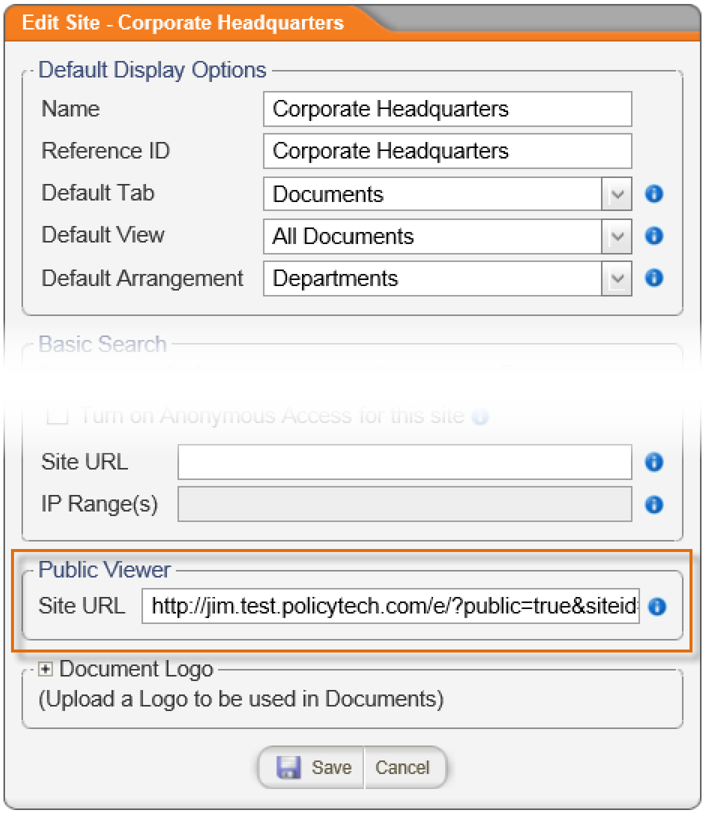
   x.x.x.x-x.x.x.x

   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 **PREFERENCES** still displayed, 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 must be purchased separately from PolicyTech™ licenses. 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

After purchasing the **Localization Workflow** module, setting it up consists of activating the feature using a special registration code and then enabling the feature in templates.

### Activating Localization Workflow

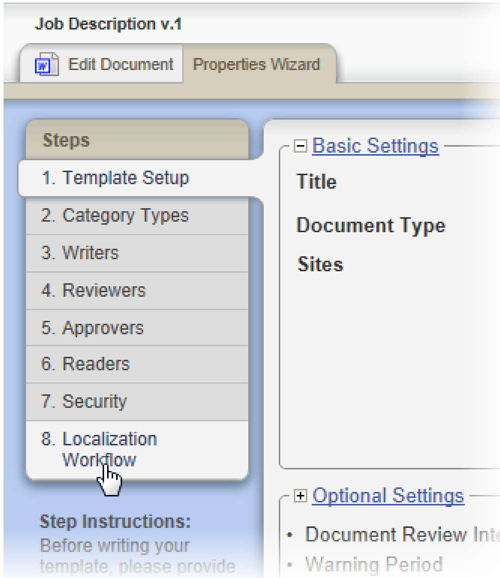
If you purchase the **Localization Workflow Module**, you will be given a new registration code that enables this feature module. Submit the new registration code using **Registration Info** in **System / IT Settings** (see "Registration Info" in the Administrator's Guide for help).

### Enabling Localization Workflow in a Template

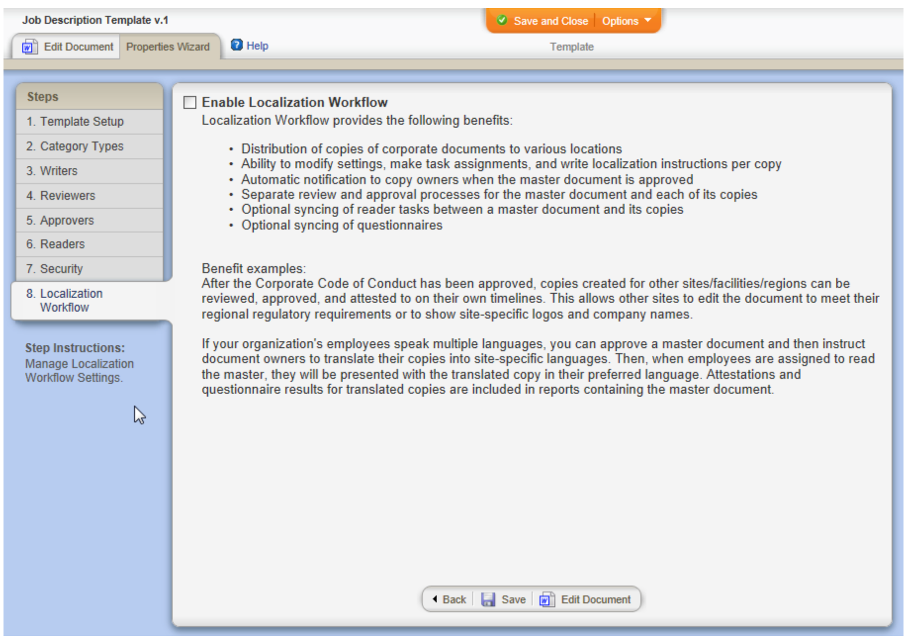
Once **Localization Workflow** has been enabled within PolicyTech, you must enable this feature in one or more templates before document owners can use the feature while creating or editing a document.

1. Click **PREFERENCES**.
2. Click **Document Setup**, and then click **Templates**.
3. Create a new template (see "Creating a Template" in the Administrator's Guide) or click an existing one to open it.
4. With the **Properties Wizard** tab selected, click **8. Localization Workflow**.

**Note:** If you don't see step **8. Localization Workflow**, then the module is not currently enabled. If you have purchased the module, make sure that the new registration code has been submitted in **Registration Info** in **System / IT Settings**. If the step is still not available, then the license that includes **Localization Workflow** may have expired. Call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123 for help.




5. Select the **Enable Localization Workflow** check box, and then click **Save** or **Save and Close**.

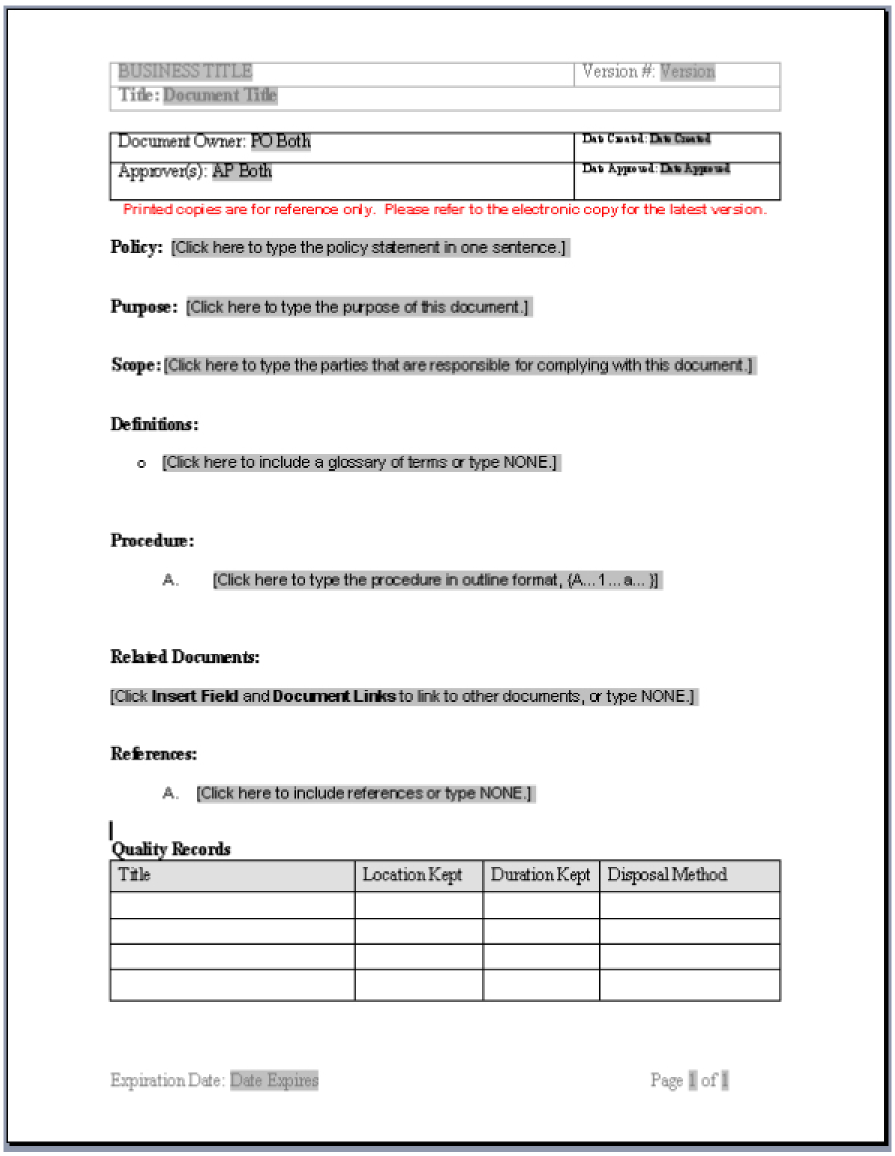



6. Inform document owners that **Localization Workflow** has been enabled for this template and refer them to the "Working with Localization Workflow" chapter in the User's Guide.

# Appendices



## Appendix A - Sample Template



| | |
|---|---|
| BUSINESS TITLE | Version #: Version |
| Title: Document Title | |

| | |
|---|---|
| Document Owner: PO Both | Date Created: Date Created |
| Approver(s): AP Both | Date Approved: Date Approved |

Printed copies are for reference only. Please refer to the electronic copy for the latest version.

**Policy:** [Click here to type the policy statement in one sentence.]

**Purpose:** [Click here to type the purpose of this document.]

**Scope:** [Click here to type the parties that are responsible for complying with this document.]

**Definitions:**

- [Click here to include a glossary of terms or type NONE.]

**Procedure:**

A. [Click here to type the procedure in outline format, (A... 1 ... a... )]

**Related Documents:**

[Click **Insert Field** and **Document Links** to link to other documents, or type NONE.]

**References:**

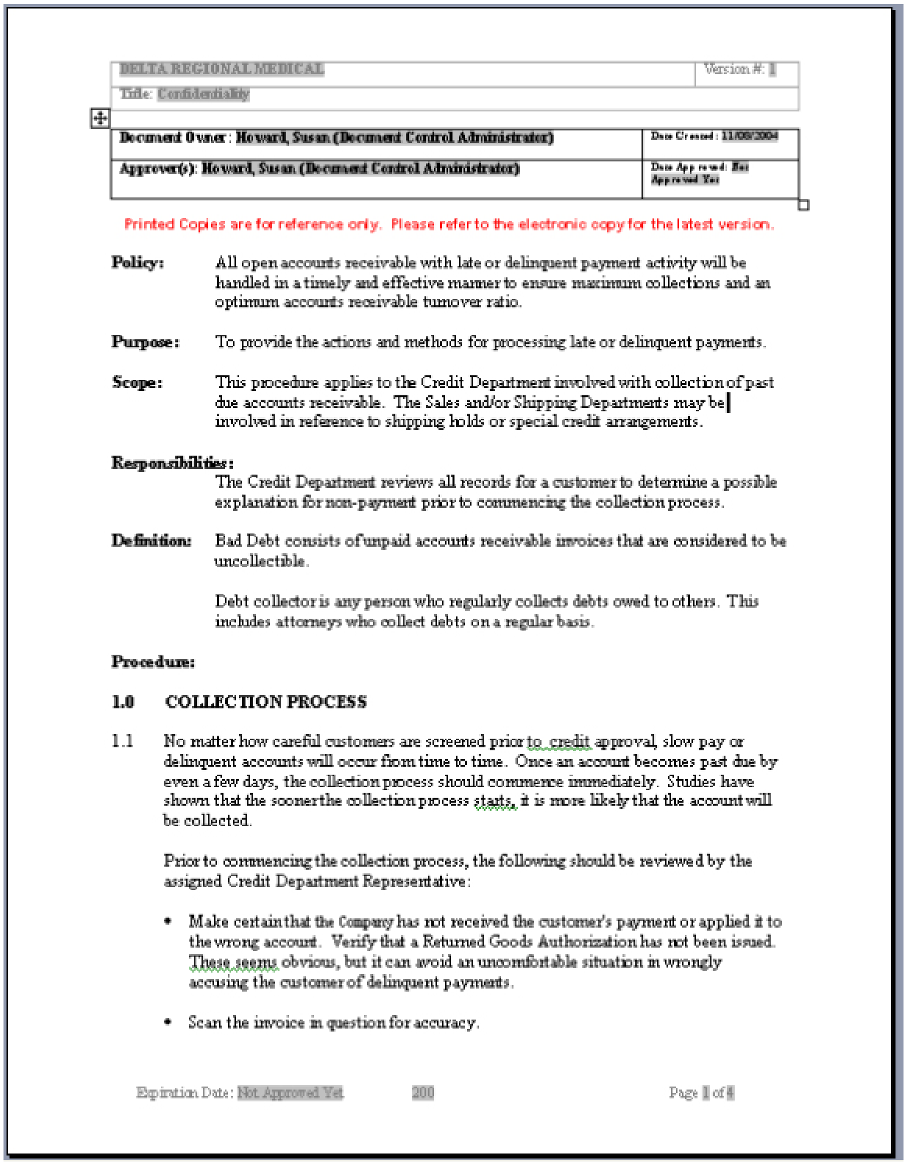
A. [Click here to include references or type NONE.]

**Quality Records**

| Title | Location Kept | Duration Kept | Disposal Method |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |

Expiration Date: Date Expires Page 1 of 1

## Appendix B - Sample Document



| DELTA REGIONAL MEDICAL | Version #: 1 |
|---|---|
| Title: Confidentiality | |

| | |
|---|---|
| **Document Owner: Howard, Susan (Document Control Administrator)** | **Date Created: 11/08/2004** |
| **Approver(s): Howard, Susan (Document Control Administrator)** | **Date Approved: Not Approved Yet** |

Printed Copies are for reference only. Please refer to the electronic copy for the latest version.

**Policy:** All open accounts receivable with late or delinquent payment activity will be handled in a timely and effective manner to ensure maximum collections and an optimum accounts receivable turnover ratio.

**Purpose:** To provide the actions and methods for processing late or delinquent payments.

**Scope:** This procedure applies to the Credit Department involved with collection of past due accounts receivable. The Sales and/or Shipping Departments may be involved in reference to shipping holds or special credit arrangements.

**Responsibilities:**
The Credit Department reviews all records for a customer to determine a possible explanation for non-payment prior to commencing the collection process.

**Definition:** Bad Debt consists of unpaid accounts receivable invoices that are considered to be uncollectible.

Debt collector is any person who regularly collects debts owed to others. This includes attorneys who collect debts on a regular basis.

**Procedure:**

**1.0 COLLECTION PROCESS**

1.1 No matter how careful customers are screened prior to credit approval, slow pay or delinquent accounts will occur from time to time. Once an account becomes past due by even a few days, the collection process should commence immediately. Studies have shown that the sooner the collection process starts, it is more likely that the account will be collected.

Prior to commencing the collection process, the following should be reviewed by the assigned Credit Department Representative:

- Make certain that the Company has not received the customer's payment or applied it to the wrong account. Verify that a Returned Goods Authorization has not been issued. These seems obvious, but it can avoid an uncomfortable situation in wrongly accusing the customer of delinquent payments.
- Scan the invoice in question for accuracy.

Expiration Date: Not Approved Yet 200 Page 1 of 4

## Appendix C - Email Notifications

There are two basic types of email notifications in PolicyTech™—notifications for task assignments and informational notifications. Click a link below to go to detailed notification descriptions.

Task Notification Emails (Action Required)

Informational Emails

## Task Notification Emails (Action Required)

Each of the tasks listed below and whose descriptions follow is also added to the assignees' task lists.

For document owners and proxy authors:

Own a Document

Author a Document by Proxy for a Document Owner

Submit a Document for Review after All Writers Have Finished

Submit a Document for Review upon Request

Edit and Resubmit a Revised or Declined Document

Edit and Resubmit a Document Manually Sent back to Draft

Update Document Links

Take Action on a Document Due for Periodic Review

For writers, reviewers, approvers, and readers:

Write (Collaborate on) a Document

Review a Document

Approve a Document

Read a Document

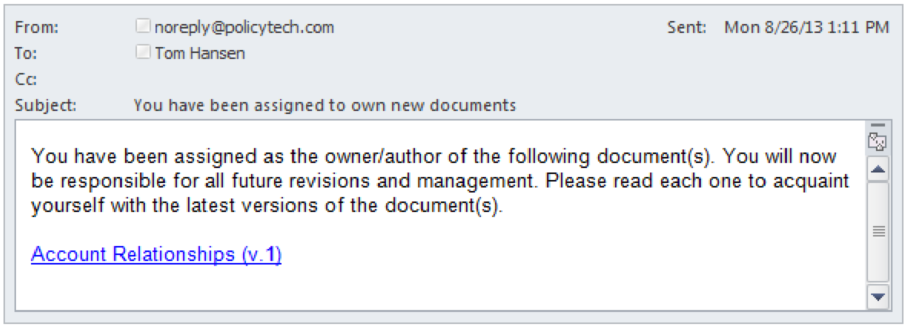
For document control administrators (DCAs):

Reassign Documents to Other Document Owner

### Email Notification: Own a Document

| Applicable notification levels: | All |
|---|---|
| Trigger: | Document control administrator assigns an owner to a document. |
| Recipient: | Document owner |
| Subject: | You have been assigned to own new documents |
| Body: | You have been assigned as the owner/author of the following document(s). You will now be responsible for all future revisions and management. Please read each one to acquaint yourself with the latest versions of the document (s).<br>[*document list*] |

Example:


From: noreply@policytech.com Sent: Mon 8/26/13 1:11 PM
To: Tom Hansen
Cc:
Subject: You have been assigned to own new documents

You have been assigned as the owner/author of the following document(s). You will now be responsible for all future revisions and management. Please read each one to acquaint yourself with the latest versions of the document(s).

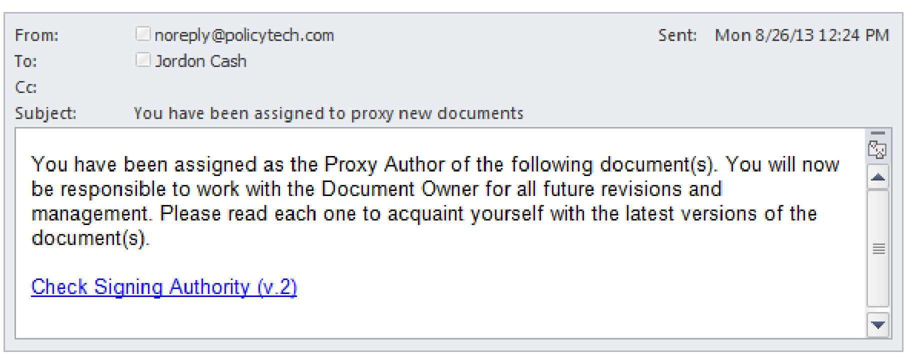
Account Relationships (v.1)

BACK TO TASK EMAIL LIST

## Email Notification: Author a Document by Proxy for a Document Owner

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | Document owner or document control administrator assigns a proxy author to a document. |
| Recipient: | Proxy author |
| Subject: | You have been assigned to proxy new documents |
| Body: | You have been assigned as the Proxy Author of the following document(s). You will now be responsible to work with the Document Owner for all future revisions and management. Please read each one to acquaint yourself with the latest versions of the document(s).<br>[*document list*] |

Example:


From: noreply@policytech.com Sent: Mon 8/26/13 12:24 PM
To: Jordon Cash
Cc:
Subject: You have been assigned to proxy new documents

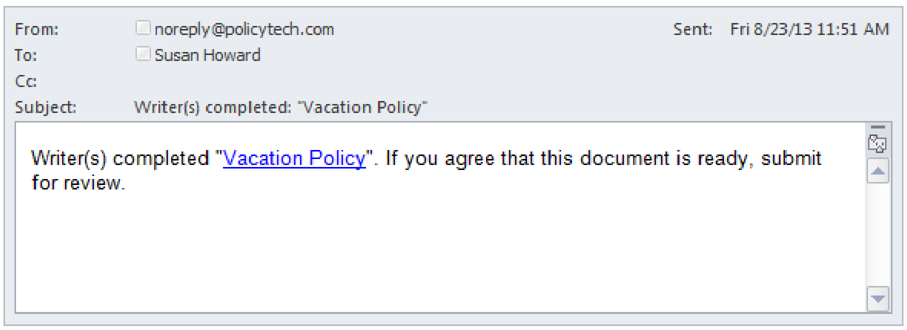
You have been assigned as the Proxy Author of the following document(s). You will now be responsible to work with the Document Owner for all future revisions and management. Please read each one to acquaint yourself with the latest versions of the document(s).

Check Signing Authority (v.2)

BACK TO TASK EMAIL LIST

## Email Notification: Submit a Document for Review after All Writers Have Finished

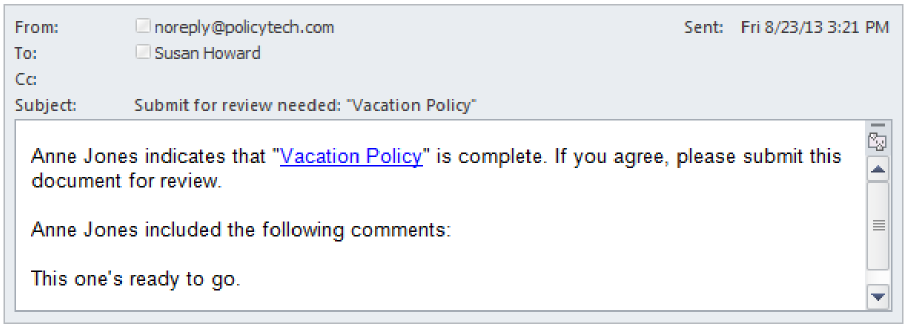
| | |
|---|---|
| Applicable notification levels: | Medium, high, maximum |
| Trigger: | Last assigned writer clicks "Finished Writing." |
| Recipients: | Document owner, proxy authors |
| Subject: | Writer(s) completed: "[*document title*]" |
| Body: | Writer(s) completed "[*document title*]". If you agree that this document is ready, submit for review. |
| Example: | |




[BACK TO TASK EMAIL LIST](#)

## Email Notification: Submit a Document for Review upon Request

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | Assigned proxy author requests that a document be submitted for review. |
| Recipient: | Document owner |
| Subject: | Submit for review needed: "[*document title*]" |
| Body: | [*proxy author's name*] indicates that "[*document title*]" is complete. If you agree, please submit this document for review.<br>[*proxy author's name*] included the following comments:<br>[*comment text*] |
| Example: | |



From: noreply@policytech.com Sent: Fri 8/23/13 3:21 PM
To: Susan Howard
Cc:
Subject: Submit for review needed: "Vacation Policy"

Anne Jones indicates that "Vacation Policy" is complete. If you agree, please submit this document for review.

Anne Jones included the following comments:

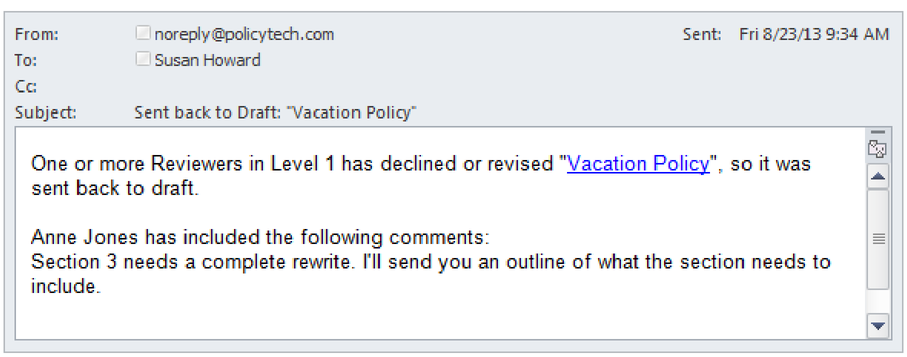
This one's ready to go.

BACK TO TASK EMAIL LIST

## Email Notification: Edit and Resubmit a Revised or Declined Document

| | |
|---|---|
| Applicable notification levels: | Medium, high, maximum |
| Trigger: | All reviewers or approvers complete their assigned tasks and one or more revised or declined the document. |
| Recipients: | Document owner, proxy authors |
| Subject: | Sent back to Draft: "[*document title*]" |
| Body: | One or more [*assignees' role (reviewers or approvers)*] in Level [*integer*] has declined or revised "[*document title*]", so it was sent back to draft.<br>[*assignee's name*] has included the following comments:<br>[*comment text*] |

Example:



From: noreply@policytech.com Sent: Fri 8/23/13 9:34 AM
To: Susan Howard
Cc:
Subject: Sent back to Draft: "Vacation Policy"

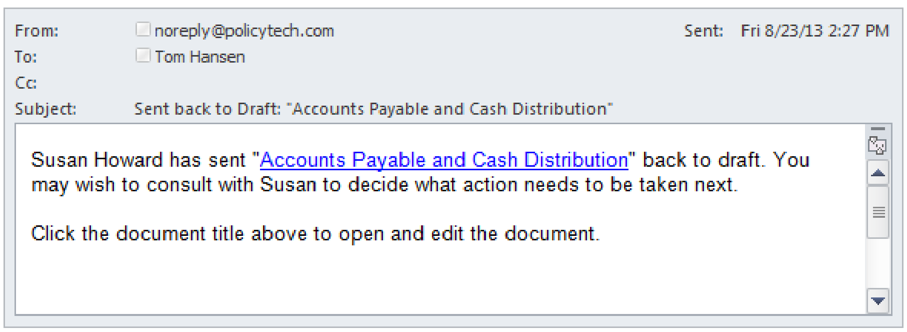
One or more Reviewers in Level 1 has declined or revised "Vacation Policy", so it was sent back to draft.

Anne Jones has included the following comments:
Section 3 needs a complete rewrite. I'll send you an outline of what the section needs to include.

BACK TO TASK EMAIL LIST

## Email Notification: Edit and Resubmit a Document Manually Sent back to Draft

| | |
|---|---|
| Applicable notification levels: | Medium, high, maximum |
| Trigger: | A document owner or document control administrator sends a document in review or approval back to draft using the **Send to Draft** feature. |
| Recipients: | Document owner, proxy authors |
| Subject: | Sent back to Draft: "[*document title*]" |
| Body: | [*action taker's name*] has sent "[document title]" back to draft. You may wish to consult with [*action taker's name*] to decide what action needs to be taken next. Click the document title above to open and edit the document. |
| Example: | |


From: noreply@policytech.com Sent: Fri 8/23/13 2:27 PM
To: Tom Hansen
Cc:
Subject: Sent back to Draft: "Accounts Payable and Cash Distribution"

Susan Howard has sent "Accounts Payable and Cash Distribution" back to draft. You may wish to consult with Susan to decide what action needs to be taken next.

Click the document title above to open and edit the document.

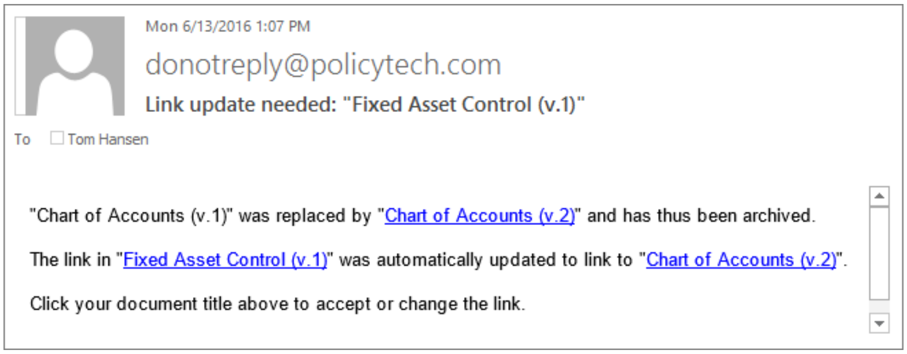
BACK TO TASK EMAIL LIST

## Email Notification: Update Document Links

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A document linked to from within a document is replaced by a new version of that document or by a different document. |
| Recipients: | Document owner, proxy authors |
| Subject: | Link update needed: "[*document title*]" |
| Body: | "[*outdated document title*]" was replaced by "[*replacement document title*]" and has thus been archived. |

| | |
|---|---|
| | The link in "[*link-containing document title*]" was automatically updated to link to "[*replacement document title*]".<br>Click your document title above to accept or change the link. |

Example:

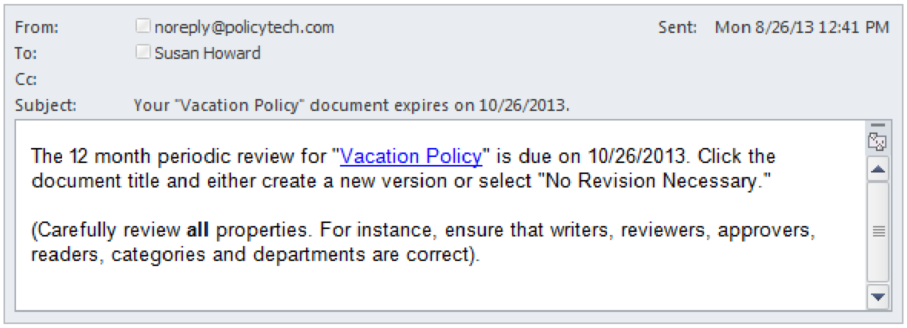



BACK TO TASK EMAIL LIST

## Email Notification: Take Action on a Document Due for Periodic Review

| Applicable notification levels: | All |
|---|---|
| Trigger: | The current date is within the warning period of a document assigned a periodic review interval. |
| Recipients: | Document owner, proxy authors |
| Subject: | Your "[*document title*]" document expires on [*periodic review due date*]. |
| Body: | The [*integer*] month periodic review for "[*document title*]" is due on [*periodic review due date*]. Click the document title and either create a new version or select "No Revision Necessary."<br>(Carefully review all properties. For instance, ensure that writers, reviewers, approvers, readers, categories and departments are correct). |

Example:



From: noreply@policytech.com Sent: Mon 8/26/13 12:41 PM
To: Susan Howard
Cc:
Subject: Your "Vacation Policy" document expires on 10/26/2013.

The 12 month periodic review for "Vacation Policy" is due on 10/26/2013. Click the document title and either create a new version or select "No Revision Necessary."

(Carefully review **all** properties. For instance, ensure that writers, reviewers, approvers, readers, categories and departments are correct).

[BACK TO TASK EMAIL LIST]

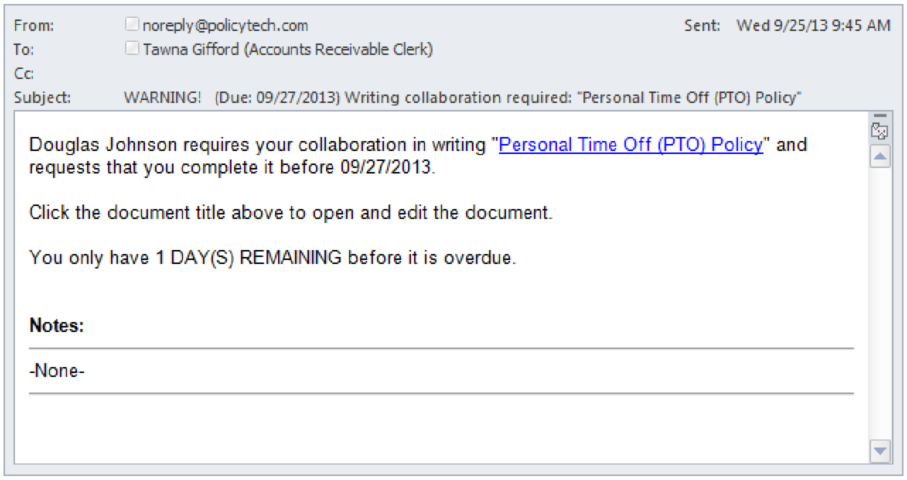
### Email Notification: Write (Collaborate on) a Document

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | The current date is within the warning period of a document assigned a periodic review interval. |
| Recipients: | Assigned writers |
| Subject: | [*escalation label*][*] (Due: [*due date*])[†] Writing collaboration required: [*document title*]<br><br>[*]Possible escalation labels: WARNING! (if message sent within optional warning period); OVERDUE! (if message sent after optional due date); CRITICAL! (if message sent after optional critical date).<br>[†]If due date is specified. |
| Body: | [*document owner's name*] requires your collaboration in writing [*document title*] [*due date text*][*].<br>Click the document title above to open and edit the document.<br>[*escalation text*][†]<br><br>**Notes:**<br><br>[*note text*][‡]<br><br>[*]The following is appended to the first paragraph if a due date is specified, "and requests that you complete it before [due date]."<br>[†]Included if a due date is specified and will be |

one of the following: "You have only [integer] DAY(S) REMAINING before it is overdue"; "It is due today!"; "It is [integer] DAY(S) overdue!"

‡If one or more notes exist, each note's subject (in bold font) and body are listed. Otherwise, the note text is "-NONE-."

Example:




BACK TO TASK EMAIL LIST

### Email Notification: Review a Document

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A document with assigned reviewers is submitted to review. |
| Recipients: | Assigned reviewers |
| Subject: | [*escalation label*]* (Due: [*due date*])† Review required: "[*document title*]"<br><br>*Possible escalation labels: WARNING! (if message sent within optional warning period); OVERDUE! (if message sent after optional due date); CRITICAL! (if message sent after optional critical date).<br>†If due date is specified. |
| Body: | [*document owner's name*] submitted "[*document title*]" for your review[*due date text*]*.<br>Click the document title above to open and edit |

the document.

[*escalation text*]†

[*version change summary*]‡

**Notes:**

[*note text*]§

*The following text is Included if a due date is specified: " and requests that you complete it before [*due date*]."

†Included if a due date is specified and will be one of the following: "You have only [*integer*] DAY(S) REMAINING before it is overdue"; "It is due today!"; "It is [*integer*] DAY(S) overdue!"

‡Included only if the task is for a new version of an existing document. If the document owner has included a summary of the changes made, the following text is included:

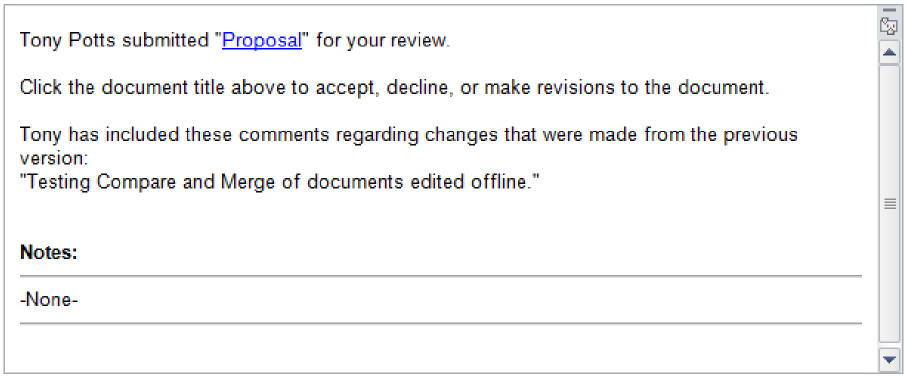
> [*document owner's name*] has included these comments regarding changes that were made from the previous version:
>
> "[*comment text*]"

Otherwise, the following text is included:

> [document owner's name] has not included any comments regarding changes that were made from the previous version.

§If one or more notes exist, each note's subject (in bold font) and body are listed. Otherwise, the note text is "-NONE-."

Example:


Tony Potts submitted "Proposal" for your review.

Click the document title above to accept, decline, or make revisions to the document.

Tony has included these comments regarding changes that were made from the previous version:
"Testing Compare and Merge of documents edited offline."

**Notes:**

-None-

BACK TO TASK EMAIL LIST

### Email Notification: Approve a Document

| Applicable notification levels: | All |
|---|---|
| Trigger: | All reviewers accept a document or a document is forced to the approval status from the draft, collaboration, or review status |
| Recipients: | Assigned approvers |
| Subject: | [*escalation label*]* (Due: [*due date*])† Approval required: "[document title]"<br><br>*Possible escalation labels: WARNING! (if message sent within optional warning period); OVERDUE! (if message sent after optional due date); CRITICAL! (if message sent after optional critical date).<br>†If due date is specified. |
| Body: | [*document owner's name*] submitted " [*document title*]" for your approval [*due date text*]*.<br>Click the document title above to accept, decline, or make revisions to the document.<br>[*escalation text*]†<br>[*version change summary*]‡<br><br>**Notes:**<br><br>[*note text*]§<br><br>*The following text is Included if a due date is specified: " and requests that you complete it before [*due date*]."<br>†Included if a due date is specified and will be one of the following: "You have only [*integer*] DAY(S) REMAINING before it is overdue"; "It is due today!"; "It is [*integer*] DAY(S) overdue!"<br>‡Included only if the task is for a new version of an existing document. If the document owner has included a summary of the changes made, the following text is included: |

[*document owner's name*] has included these comments regarding changes that were made from the previous version:

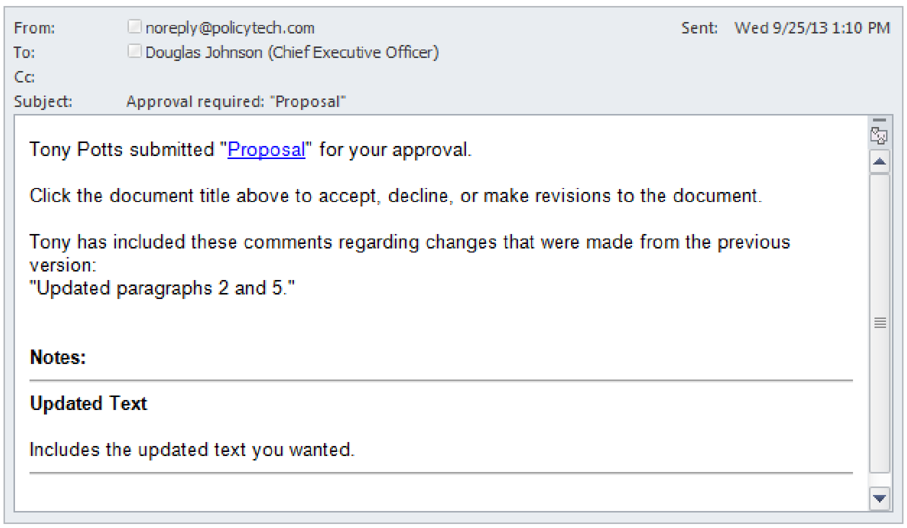
"[*comment text*]"

Otherwise, the following text is included:

[*document owner's name*] has not included any comments regarding changes that were made from the previous version.

§If one or more notes exist, each note's subject (in bold font) and body are listed. Otherwise, the note text is "-NONE-."

Example:




BACK TO TASK EMAIL LIST

### Email Notification: Read a Document

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A document is approved and published, or a document is approved and moved to pending status when it has been assigned a future publication date and the "Require reading before publication" option has been selected in the template. |
| Recipients: | Assigned readers |
| Subject: | [*escalation label*]* (Due: [*due date*])† Required to read: "[*document title*]" |

| | |
|---|---|
| | *Possible escalation labels: WARNING! (if message sent within optional warning period); OVERDUE! (if message sent after optional due date); CRITICAL! (if message sent after optional critical date).<br>†If due date is specified. |
| Body: | You are required to read "[*document title*]"[*due date text*]*.<br>Click the document title above to read. To confirm that you have read and understood the complete document click "Mark as Read".<br>[*escalation text*]†<br>[*version change summary*]‡<br>---<br>**Notes:**§<br>[*note text*]<br>---<br>*The following text is Included if a due date is specified: " before [*due date*]."<br>†Included if a due date is specified and will be one of the following: "You have only [*integer*] DAY(S) REMAINING before it is overdue"; "It is due today!"; "It is [*integer*] DAY(S) overdue!"<br>‡Included only if the task is for a new version of an existing document. If the document owner has included a summary of the changes made, the following text is included:<br>[*document owner's name*] has included these comments regarding changes that were made from the previous version:<br>"[*comment text*]"<br>Otherwise, the following text is included:<br>[*document owner's name*] has not included any comments regarding changes that were made from the previous version.<br>§If one or more notes exist, each note's subject (in bold font) and body are listed. Otherwise, the note text is "-NONE-." |
| Example: | |

From: noreply@policytech.com Sent: Wed 9/25/13 1:32 PM
To: Lucille Holmes (Accountant)
Cc:
Subject: Required to read: "Personal Time Off (PTO) Policy"

You are required to read "Personal Time Off (PTO) Policy".

Click the document title above to read. To confirm that you have read and understood the complete document click "Mark as Read".

Douglas Johnson has included these comments regarding changes that were made from the previous version:
"New Version"

**Notes:**

-None-

BACK TO TASK EMAIL LIST

### Email Notification: Reassign Documents to Other Document Owner

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A document's owner is deleted or has the document owner role removed. |
| Recipients: | DCAs |
| Subject: | The document owner [*document owner's name*] has been deactivated or changed positions. |
| Body: | [*document owner's name*] has recently been deactivated or changed positions in the organization. You may need to reassign their documents to another author. To reassign these documents to another author or authors go to My Tasks > Tasks > Reassign. |
| Example: | |

From: noreply@policytech.com Sent: Mon 8/26/13 9:22 AM
To: Douglas Johnson
Cc:
Subject: The document owner Fred Wright has been deactivated or changed positions.

Fred Wright has recently been deactivated or changed positions in the organization. You may need to reassign their documents to another author. To reassign these documents to another author or authors go to My Tasks > Tasks > Reassign.

BACK TO TASK EMAIL LIST

## Informational Emails

The following notification emails are for the information of the recipients:

For document owners and proxy authors:

- Writing Task Completed
- A Document's Review Level Was Completed
- Review Task Completed
- Document Sent to Approval
- A Document's Approval Level Was Completed
- Approval Task Completed
- Document Approved
- A Document Is Set as Approved
- A Document Was Edited in Its Current Status
- A Document Is Designated to Be Replaced
- A Writer's, Reviewer's, or Approver's Task Is Overdue
- A Reader's Task Is Overdue
- An Attempt to Save Document Changes Failed

For writers, reviewers, approvers, and readers:

- A Writer's, Reviewer's, or Approver's Task Has Been Canceled
- A Reader's Task Has Been Canceled
- An Attempt to Save Document Changes Failed

For document control administrators (DCAs):

- An Attempt to Save Document Changes Failed

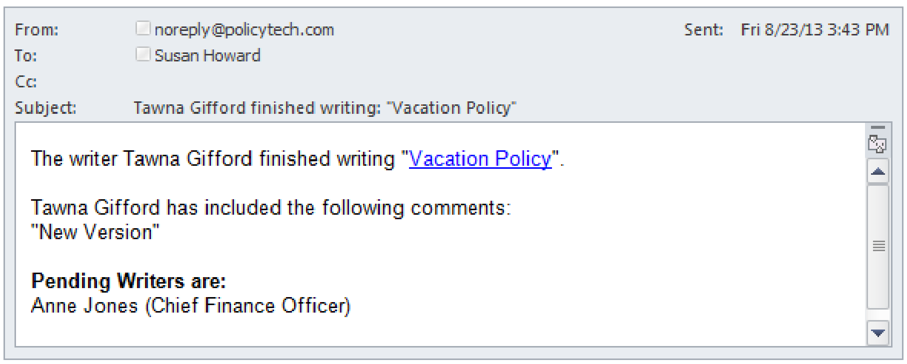
For any user:

- A Periodic Review Is Not Needed
- Task Summaries
- New Discussion Started
- Discussion Reply Posted

### Email Notification: Writing Task Completed

| Applicable notification | Maximum |
|---|---|

| | |
|---|---|
| levels: | |
| Trigger: | A writer clicks **Finished Writing**. |
| Recipients: | Document owner, proxy authors |
| Subject: | [*writer's name*] finished writing: "[*document title*]" |
| Body: | The writer [*writer's name*] finished writing: "[*document title*]"<br>[*writer's name*] has included the following comments:*<br>[*comment text*]<br>Pending Writers are:*<br>[*pending writer list*]<br><br>*Included only when applicable. |
| Example: | |


From: noreply@policytech.com Sent: Fri 8/23/13 3:43 PM
To: Susan Howard
Cc:
Subject: Tawna Gifford finished writing: "Vacation Policy"

The writer Tawna Gifford finished writing "Vacation Policy".

Tawna Gifford has included the following comments:
"New Version"

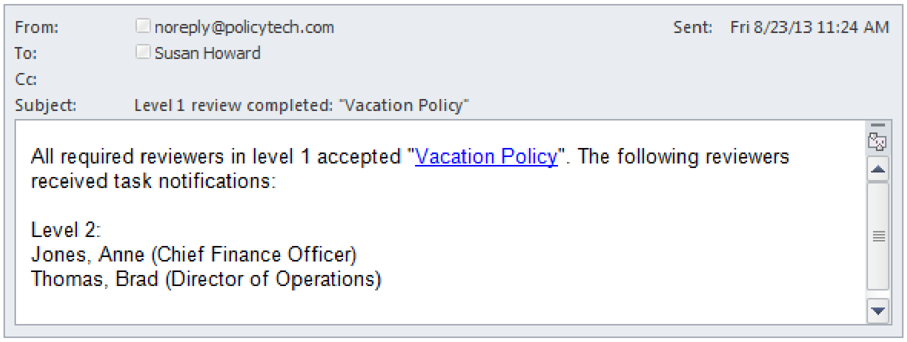
**Pending Writers are:**
Anne Jones (Chief Finance Officer)

BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: A Document's Review Level Was Completed

| | |
|---|---|
| Applicable notification levels: | High, maximum |
| Trigger: | All required reviewers on a specific level take action on a document (see Working with Levels for more information about levels). |
| Recipients: | Document owner, proxy authors |
| Subject: | Level [*integer*] review complete: "[*document title*]" |
| Body: | All required reviewers in Level [*integer*] accepted "[*document title*]". The following reviewers received task notifications: |

| | |
|---|---|
| | Level [*integer*]:<br>[*reviewer list*] |
| Example: | |


From: noreply@policytech.com Sent: Fri 8/23/13 11:24 AM
To: Susan Howard
Cc:
Subject: Level 1 review completed: "Vacation Policy"

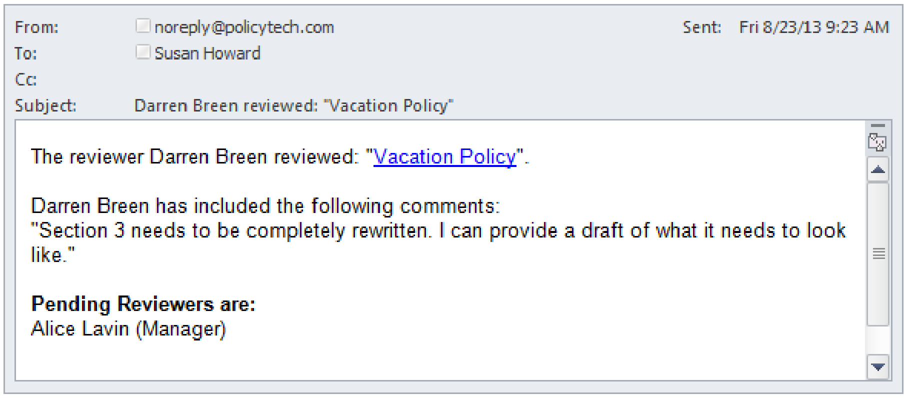
All required reviewers in level 1 accepted "Vacation Policy". The following reviewers received task notifications:

Level 2:
Jones, Anne (Chief Finance Officer)
Thomas, Brad (Director of Operations)

BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: Review Task Complete

| | |
|---|---|
| Applicable notification levels: | Maximum |
| Trigger: | A reviewer accepts, revises, or declines a document. |
| Recipients: | Document owner, proxy authors |
| Subject: | [*reviewer's name*] reviewed: "[*document title*]" |
| Body: | The reviewer [*reviewer's name*] reviewed: "[*document title*]"<br>[*reviewer's name*] has included the following comments:*<br>[*comment text*]<br>Pending Reviewers are:*<br>[*pending reviewer list*]<br><br>*Included only when applicable. |
| Example: | |



From: noreply@policytech.com Sent: Fri 8/23/13 9:23 AM
To: Susan Howard
Cc:
Subject: Darren Breen reviewed: "Vacation Policy"

The reviewer Darren Breen reviewed: "Vacation Policy".

Darren Breen has included the following comments:
"Section 3 needs to be completely rewritten. I can provide a draft of what it needs to look like."

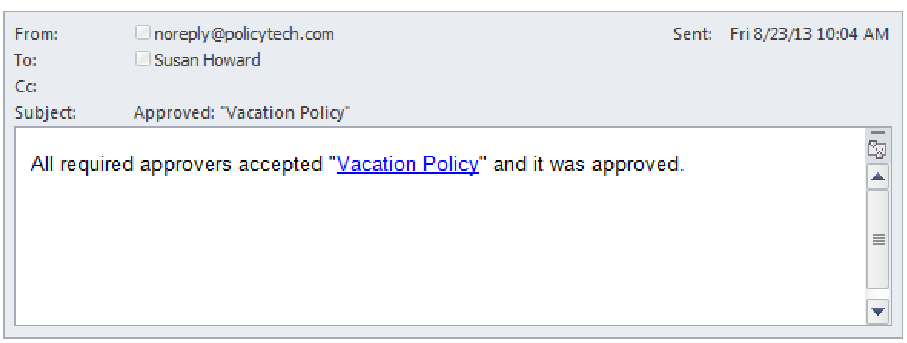
**Pending Reviewers are:**
Alice Lavin (Manager)

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: Document Sent to Approval

| | |
|---|---|
| Applicable notification levels: | Medium, high, maximum |
| Trigger: | All required reviewers take action on a document and accept it. |
| Recipients: | Document owner, proxy authors |
| Subject: | Sent to approval: "[*document title*]" |
| Body: | All required reviewers accepted "[*document title*]", so it was sent to approval. The following approvers received task notifications:<br>[*approver list*] |

Example:



From: noreply@policytech.com Sent: Fri 8/23/13 10:04 AM
To: Susan Howard
Cc:
Subject: Approved: "Vacation Policy"

All required approvers accepted "Vacation Policy" and it was approved.

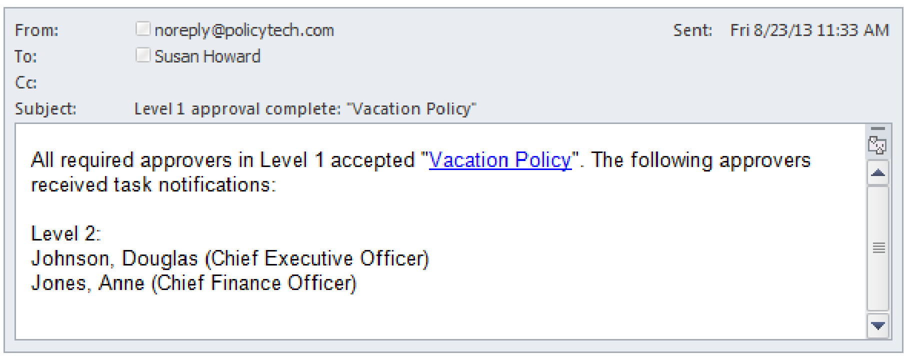
BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: A Document's Approval Level Was Completed

| | |
|---|---|
| Applicable notification levels: | High, maximum |

| | |
|---|---|
| Trigger: | All required approvers on a specific level take action on a document (see Working with Levels for more information about levels). |
| Recipients: | Document owner, proxy authors |
| Subject: | Level [*integer*] approval complete: "[*document title*]" |
| Body: | All required approvers in Level [*integer*] accepted "[*document title*]". The following approvers received task notifications:<br>Level [*integer*]:<br>[*approver list*] |

Example:



From: noreply@policytech.com Sent: Fri 8/23/13 11:33 AM
To: Susan Howard
Cc:
Subject: Level 1 approval complete: "Vacation Policy"

All required approvers in Level 1 accepted "Vacation Policy". The following approvers received task notifications:

Level 2:
Johnson, Douglas (Chief Executive Officer)
Jones, Anne (Chief Finance Officer)

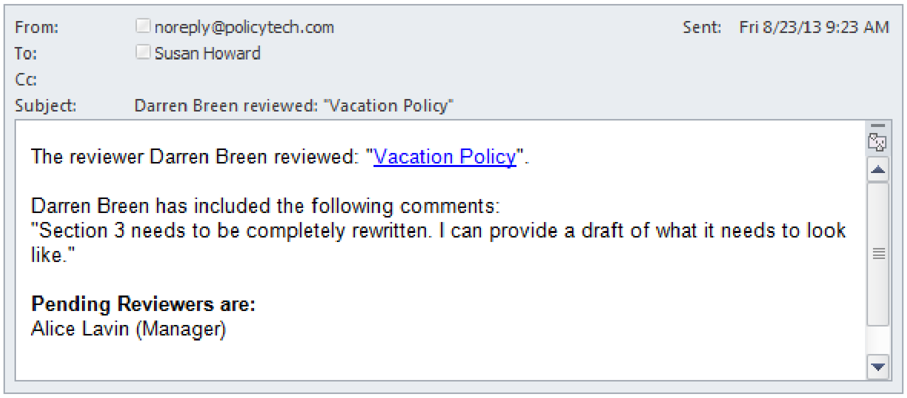
BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: Approval Task Completed

| | |
|---|---|
| Applicable notification levels: | Maximum |
| Trigger: | An approver accepts, revises, or declines a document. |
| Recipients: | Document owner, proxy authors |
| Subject: | [approver's name] reviewed: "[document title]" |
| Body: | The approver [*approver's name*] reviewed: "[*document title*]"<br>[*approver's name*] has included the following comments:*<br>[*comment text*]<br>Pending Writers are:*<br>[*pending approver list*] |

*Included only when applicable.

Example:


From: noreply@policytech.com Sent: Fri 8/23/13 9:23 AM
To: Susan Howard
Cc:
Subject: Darren Breen reviewed: "Vacation Policy"

The reviewer Darren Breen reviewed: "Vacation Policy".

Darren Breen has included the following comments:
"Section 3 needs to be completely rewritten. I can provide a draft of what it needs to look like."

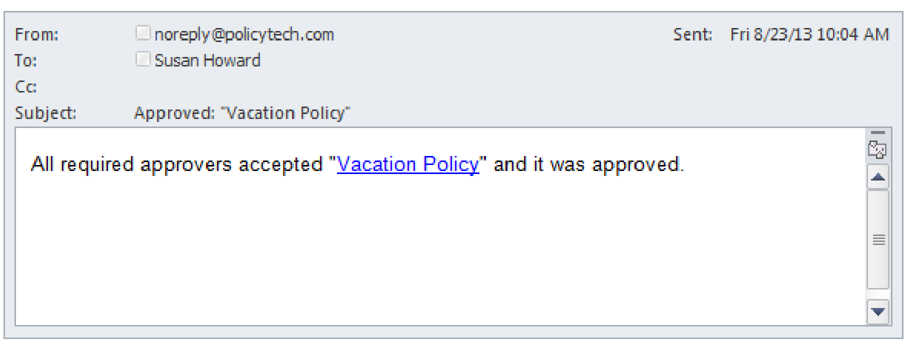
**Pending Reviewers are:**
Alice Lavin (Manager)

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: Document Approved

| | |
|---|---|
| Applicable notification levels: | Medium, high, maximum |
| Trigger: | All required approvers take action on the document and accept it. |
| Recipients: | Document owner, proxy authors |
| Subject: | Approved: "[*document title*]" |
| Body: | All required approvers accepted "[*document title*]" and it was approved. |

Example:


From: noreply@policytech.com Sent: Fri 8/23/13 10:04 AM
To: Susan Howard
Cc:
Subject: Approved: "Vacation Policy"

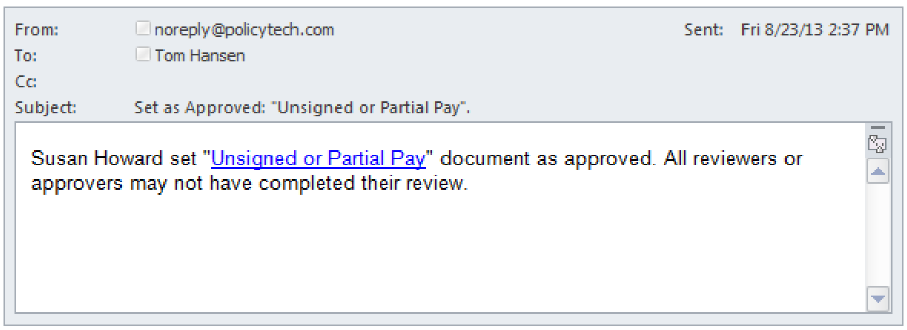
All required approvers accepted "Vacation Policy" and it was approved.

BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: A Document Is Set as Approved

| | |
|---|---|
| Applicable notification levels: | Medium, high, maximum |
| Trigger: | A document control administrator sets a document in the draft, collaboration, review, or approval status as approved. |
| Recipients: | Document owner, proxy authors |
| Subject: | Set as Approved: "[*document title*]" |
| Body: | [*document control administrator's name*] set "[*document title*]" document as approved. All reviewers or approvers may not have completed their review. |

Example



From: noreply@policytech.com Sent: Fri 8/23/13 2:37 PM
To: Tom Hansen
Cc:
Subject: Set as Approved: "Unsigned or Partial Pay".

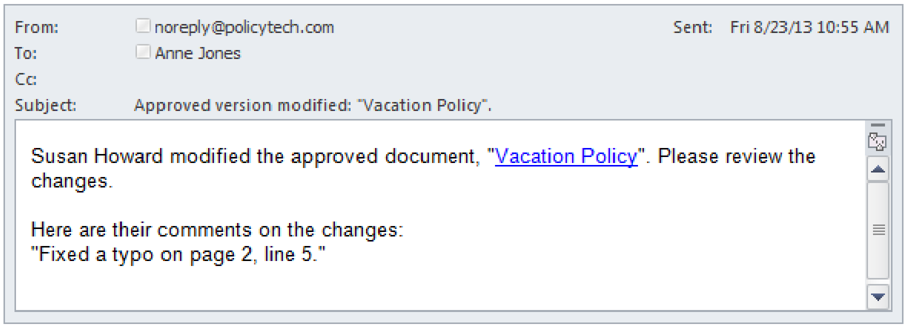
Susan Howard set "Unsigned or Partial Pay" document as approved. All reviewers or approvers may not have completed their review.

BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: A Document Was Edited in Its Current State

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A document control administrator used the **Edit in Current State** feature to make changes to a an approved document (in the pending or published status). |
| Recipients: | Document owner, proxy authors |
| Subject: | Approved version modified: "[*document title*]" |
| Body: | [*document control administrator's name*] modified the approved document, "[*document title*]". Please review the changes.<br>Here are their comments on the changes:<br>"[*comment text*]" |

Example:



From: noreply@policytech.com Sent: Fri 8/23/13 10:55 AM
To: Anne Jones
Cc:
Subject: Approved version modified: "Vacation Policy".

Susan Howard modified the approved document, "Vacation Policy". Please review the changes.

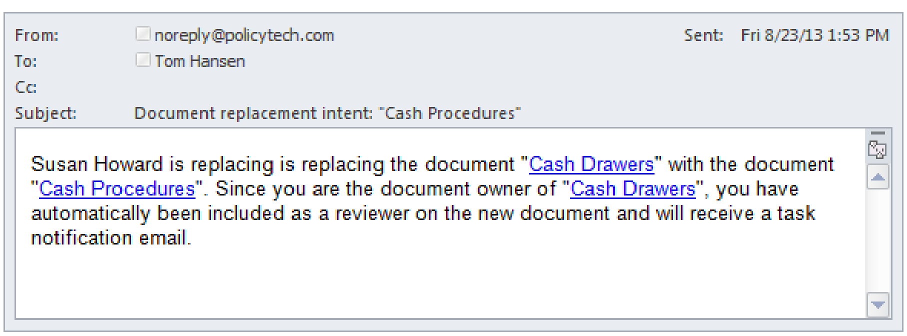
Here are their comments on the changes:
"Fixed a typo on page 2, line 5."

BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: A Document Is Designated to Be Replaced

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | When a document is created, it is set to replace one or more other documents, and then it is moved out of draft or collaboration status to the review, approval, pending, or published status. |
| Recipients: | Document owner, proxy authors |
| Subject: | Document replacement intent: "[*document title*]" |
| Body: | [*document owner's name*] is replacing the document "[*replaced document title*]" with the document "[*replacement document title*]". Since you are the document owner of "[*replaced document title*]", you have automatically been included as a reviewer on the new document and will receive a task notification email. |

Example:



From: noreply@policytech.com Sent: Fri 8/23/13 1:53 PM
To: Tom Hansen
Cc:
Subject: Document replacement intent: "Cash Procedures"

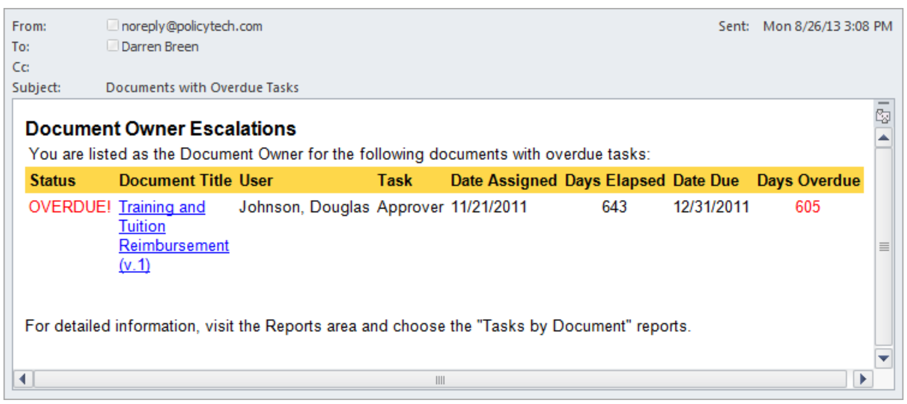
Susan Howard is replacing is replacing the document "Cash Drawers" with the document "Cash Procedures". Since you are the document owner of "Cash Drawers", you have automatically been included as a reviewer on the new document and will receive a task notification email.

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: A Writer's, Reviewer's, or Approver's Task is Overdue

| | |
|---|---|
| Applicable notification levels: | Not applicable |
| Trigger: | The due date has passed for a writer's, reviewer's, or approver's unfinished task. |
| Recipients: | Document owner, proxy authors, managers |
| Subject: | Document Owner Escalations |
| Body: | You are listed as the [document role]* for the following documents with overdue tasks:<br>[*overdue task list*]<br><br>*Possible document role text: "document owner," "proxy author." |

Example:



From: noreply@policytech.com Sent: Mon 8/26/13 3:08 PM
To: Darren Breen
Cc:
Subject: Documents with Overdue Tasks

**Document Owner Escalations**

You are listed as the Document Owner for the following documents with overdue tasks:

| Status | Document Title | User | Task | Date Assigned | Days Elapsed | Date Due | Days Overdue |
|---|---|---|---|---|---|---|---|
| OVERDUE! | Training and Tuition Reimbursement (v.1) | Johnson, Douglas | Approver | 11/21/2011 | 643 | 12/31/2011 | 605 |

For detailed information, visit the Reports area and choose the "Tasks by Document" reports.

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: A Reader's Task Is Overdue

| | |
|---|---|
| Applicable notification levels: | Not applicable |
| Trigger: | The due date has passed for a reader's unfinished task. |
| Recipients: | Document owner, proxy authors, managers |
| Subject: | Document Owner Escalations |
| Body: | You are listed as the [*document role*]* for the following approved documents with overdue reader tasks: |

| | |
|---|---|
| | ***[document list]*** <br><br> *Possible document role text: "document owner," "proxy author." |

Example:

From: noreply@policytech.com | Sent: Fri 9/27/13 1:43 PM
To: Tom Hansen
Cc:
Subject: Documents with Overdue Tasks

**Department Manager Escalations**

You are listed as the Department Manager for the following users with overdue reader tasks:

| Status | User | Document Title | Task | Date Assigned | Date Due | Days Overdue |
|---|---|---|---|---|---|---|
| OVERDUE! | Cash, Jordon | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Gifford, Tawna | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Hansen, Tom | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Hill, Maria | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Holmes, Lucille | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Packer, Mary | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Schram, Johanna | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |
| OVERDUE! | Woo, Josh | Capitilization (v.2) | Reader | 9/27/2013 | 9/23/2013 | 5 |

BACK TO INFORMATIONAL EMAIL LIST

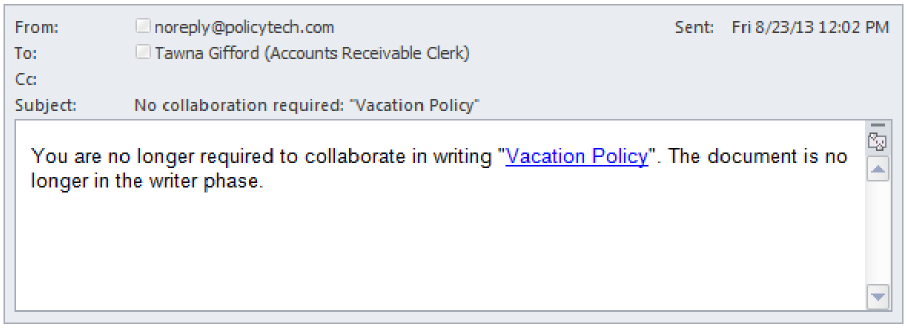
## Email Notification: A Writer's, Reviewer's, or Approver's Task Has Been Canceled

| Applicable notification levels: | Maximum |
|---|---|
| Trigger: | A document owner, proxy author, or document control administrator takes an action that removes the document from the collaboration. review, or approval status before all writers, reviewers, or approvers, respectively, have completed their tasks. Such actions include sending a document back to draft, deleting it, forcing it to review or approval, and setting it as approved. |
| Recipients: | Writers, reviewers, or approvers |
| Subject: | No [*task action*]* required: "[*document title*]" <br><br> *The task action text will be "collaboration," "review," or "approval." |
| Body: | You are no longer required to [*task action*]* "[*document title*]". The document is no longer in the [*task action*]† phase. |

*Text will be "collaborate in writing," "review," or "approve."

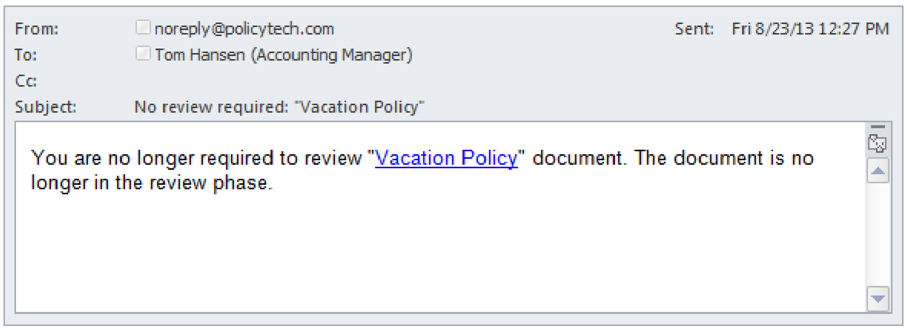
†Text will be "writing," "review," or "approval."

Examples:



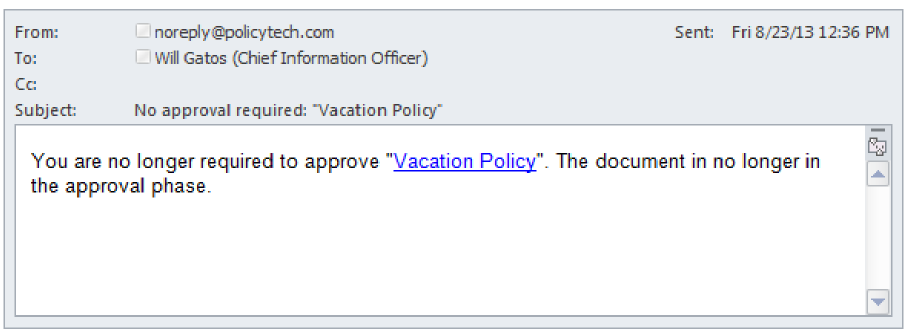
From: noreply@policytech.com Sent: Fri 8/23/13 12:02 PM
To: Tawna Gifford (Accounts Receivable Clerk)
Cc:
Subject: No collaboration required: "Vacation Policy"

You are no longer required to collaborate in writing "Vacation Policy". The document is no longer in the writer phase.



From: noreply@policytech.com Sent: Fri 8/23/13 12:27 PM
To: Tom Hansen (Accounting Manager)
Cc:
Subject: No review required: "Vacation Policy"

You are no longer required to review "Vacation Policy" document. The document is no longer in the review phase.



From: noreply@policytech.com Sent: Fri 8/23/13 12:36 PM
To: Will Gatos (Chief Information Officer)
Cc:
Subject: No approval required: "Vacation Policy"

You are no longer required to approve "Vacation Policy". The document in no longer in the approval phase.

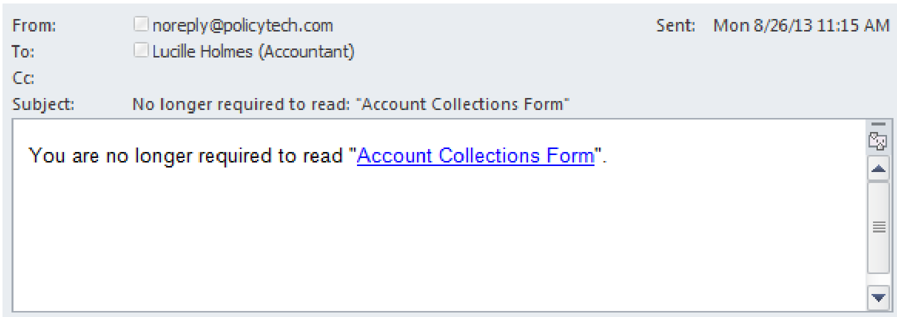
BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: A Reader's Task Has Been Canceled

| | |
|---|---|
| Applicable notification levels: | Maximum |
| Trigger: | A document owner, proxy author, or document control administrator takes an action that archives the document before all required readers have completed their tasks. Such actions include creating a new version of the document, and replacing it with a different |

| | |
|---|---|
| | document. |
| Recipients: | Readers |
| Subject: | No longer required to read: "[*document title*]" |
| Body: | You are no longer required to read "[*document title*]" |

Example:



From: noreply@policytech.com Sent: Mon 8/26/13 11:15 AM
To: Lucille Holmes (Accountant)
Cc:
Subject: No longer required to read: "Account Collections Form"

You are no longer required to read "Account Collections Form".

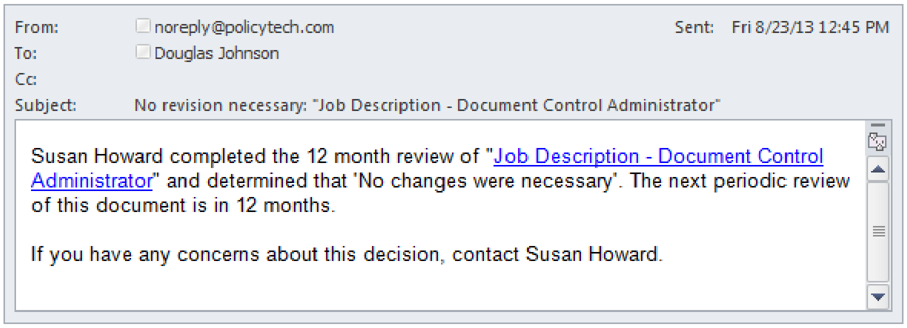
BACK TO INFORMATIONAL EMAIL LIST

### Email Notification: A Periodic Review Is Not Needed

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A document owner, proxy author, or document control administrator clicks **No Revision Required** in a published document. |
| Recipients: | Selected recipients |
| Subject: | No revision necessary: "[*document title*]" |
| Body: | [*action taker's name*]* completed the [*integer*] month review of "[*document title*]" and determined that 'No changes were necessary'.<br>The next periodic review of this document is in [*integer*] months.<br>If you have any concerns about this decision, contact [*contact's name*]†.<br><br>*If a proxy author or document control administrator (DCA) triggered this notification, the action taker text will be "[*proxy author's or DCA's name*] on behalf of [*document owner's name*]."<br>†If a proxy author or DCA triggered this |

| | |
|---|---|
| | notification, the contact name text will be "[*proxy author's name or DCA's name*] or [*document owner's name*]." Otherwise, only the document owner's name is included. |

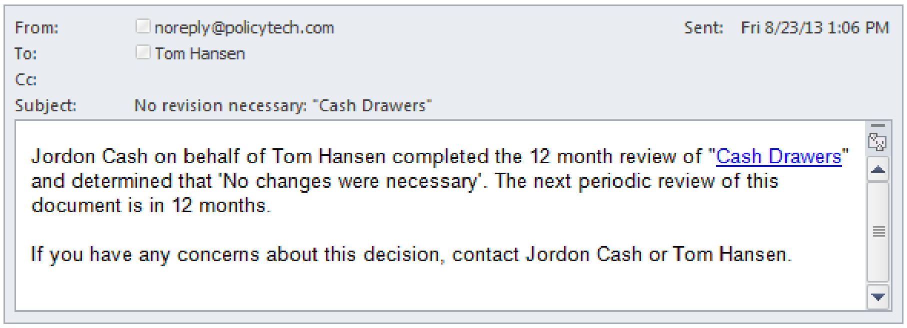
Examples:



From: noreply@policytech.com Sent: Fri 8/23/13 12:45 PM
To: Douglas Johnson
Cc:
Subject: No revision necessary: "Job Description - Document Control Administrator"

Susan Howard completed the 12 month review of "Job Description - Document Control Administrator" and determined that 'No changes were necessary'. The next periodic review of this document is in 12 months.

If you have any concerns about this decision, contact Susan Howard.



From: noreply@policytech.com Sent: Fri 8/23/13 1:06 PM
To: Tom Hansen
Cc:
Subject: No revision necessary: "Cash Drawers"

Jordon Cash on behalf of Tom Hansen completed the 12 month review of "Cash Drawers" and determined that 'No changes were necessary'. The next periodic review of this document is in 12 months.

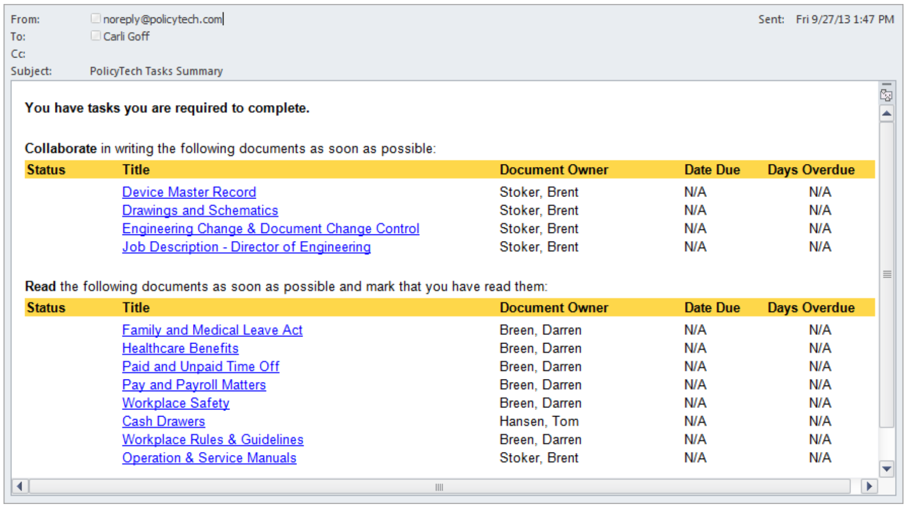
If you have any concerns about this decision, contact Jordon Cash or Tom Hansen.

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: Task Summaries

| | |
|---|---|
| Applicable notification levels: | Not applicable |
| Trigger: | The scheduled date and time set for sending out task summary notifications has arrived. |
| Recipients: | All users with currently assigned tasks |
| Subject: | PolicyTech Tasks Summary |
| Body: | You have tasks you are required to complete.<br>[*task lists organized by task*] |

Example:



From: noreply@policytech.com  Sent: Fri 9/27/13 1:47 PM
To: Carli Goff
Cc:
Subject: PolicyTech Tasks Summary

**You have tasks you are required to complete.**

**Collaborate** in writing the following documents as soon as possible:

| Status | Title | Document Owner | Date Due | Days Overdue |
|---|---|---|---|---|
| | Device Master Record | Stoker, Brent | N/A | N/A |
| | Drawings and Schematics | Stoker, Brent | N/A | N/A |
| | Engineering Change & Document Change Control | Stoker, Brent | N/A | N/A |
| | Job Description - Director of Engineering | Stoker, Brent | N/A | N/A |

**Read** the following documents as soon as possible and mark that you have read them:

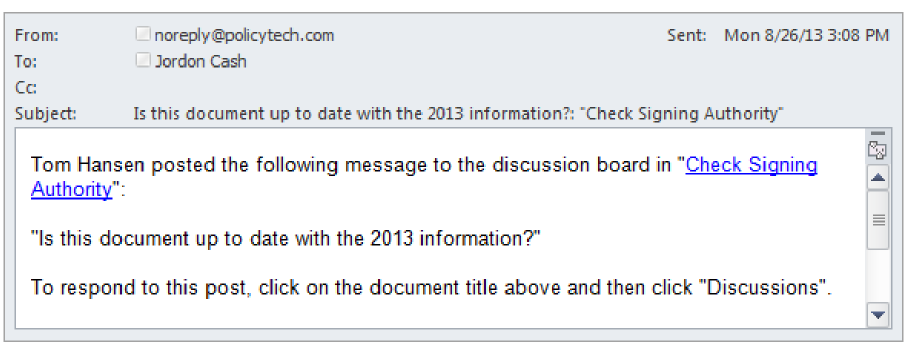
| Status | Title | Document Owner | Date Due | Days Overdue |
|---|---|---|---|---|
| | Family and Medical Leave Act | Breen, Darren | N/A | N/A |
| | Healthcare Benefits | Breen, Darren | N/A | N/A |
| | Paid and Unpaid Time Off | Breen, Darren | N/A | N/A |
| | Pay and Payroll Matters | Breen, Darren | N/A | N/A |
| | Workplace Safety | Breen, Darren | N/A | N/A |
| | Cash Drawers | Hansen, Tom | N/A | N/A |
| | Workplace Rules & Guidelines | Breen, Darren | N/A | N/A |
| | Operation & Service Manuals | Stoker, Brent | N/A | N/A |

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: New Discussion Started

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A user starts a new discussion in a document. |
| Recipients: | Selected recipients |
| Subject: | [*discussion title*]: "[*document title*]" |
| Body: | [*user name*] posted the following message to the discussion board in "[*document title*]":<br>"[*discussion text*]"<br>To respond to this post, click on the document title above and then click "Discussions" on the right. |

Example:



From: noreply@policytech.com  Sent: Mon 8/26/13 3:08 PM
To: Jordon Cash
Cc:
Subject: Is this document up to date with the 2013 information?: "Check Signing Authority"

Tom Hansen posted the following message to the discussion board in "Check Signing Authority":

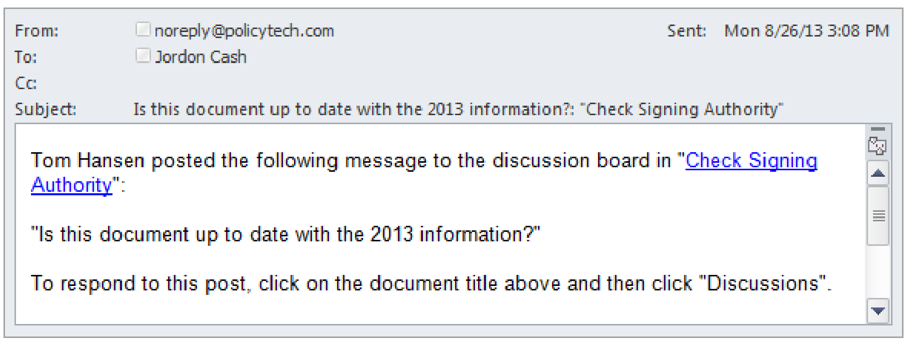
"Is this document up to date with the 2013 information?"

To respond to this post, click on the document title above and then click "Discussions".

BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: Discussion Reply Posted

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | A user replies to an existing discussion in a document. |
| Recipients: | Selected recipients |
| Subject: | [*discussion title*]: "[*document title*]" |
| Body: | [*user name*] posted the following in reply to the discussion "[*discussion titles*]" in "[*document title*]".<br>"[*reply text*]" |
| Example: | |


From: noreply@policytech.com Sent: Mon 8/26/13 3:08 PM
To: Jordon Cash
Cc:
Subject: Is this document up to date with the 2013 information?: "Check Signing Authority"

Tom Hansen posted the following message to the discussion board in "Check Signing Authority":

"Is this document up to date with the 2013 information?"

To respond to this post, click on the document title above and then click "Discussions".

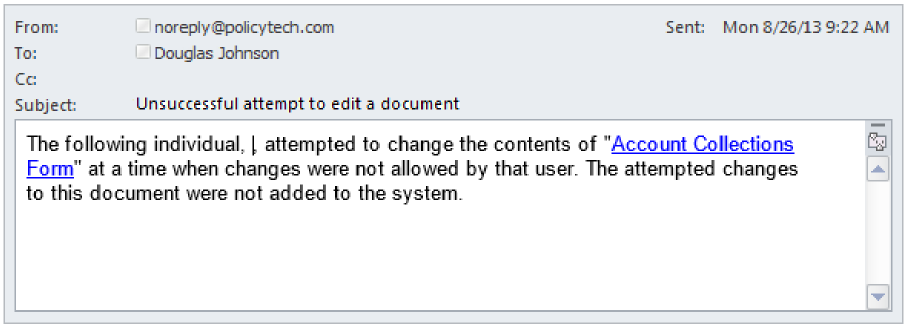
BACK TO INFORMATIONAL EMAIL LIST

## Email Notification: An Attempt to Save Document Changes Failed

| | |
|---|---|
| Applicable notification levels: | All |
| Trigger: | While in the process of editing a document, a user is unassigned the role or permission by virtue of which he or she was allowed to begin editing the document. That user then attempts to save the changed document. |
| Recipients: | DCAs, assigned document owner, assigned proxy authors, user attempting to save the document |
| Subject: | Unsuccessful attempt to edit a document |
| Body: | The following individual, [*user name*], attempted to change the contents of "[*document title*]" at a time when changes were not allowed by that user. The attempted changes to this document |

were not added to the system.

Example:


From: noreply@policytech.com
Sent: Mon 8/26/13 9:22 AM
To: Douglas Johnson
Cc:
Subject: Unsuccessful attempt to edit a document

The following individual, , attempted to change the contents of "Account Collections Form" at a time when changes were not allowed by that user. The attempted changes to this document were not added to the system.

BACK TO INFORMATIONAL EMAIL LIST

# Appendix D: Custom User Interface

There are several ways to change the appearance of the PolicyTech™ user interface. The graphics that make up the general look and feel of an application are sometimes referred to collectively as the skin, and changing these graphics is called skinning or re-skinning. You can re-skin PolicyTech in any of the following ways:

- Choose from one of four predefined themes using **Theme Manager** (see Theme Manager).
- Replace the default images in the PolicyTech header with images of your own (see Working With Custom Themes below).

## Working With Custom Themes

A PolicyTech™ theme consists of four graphic files that constitute the header. When you switch to a different built-in theme using **Theme Manager**, PolicyTech simply swaps out the current four graphic files and the Cascading Style Sheets (CSS) file for a different set of four graphic files and CSS file with the same filenames. You must do essentially the same thing to create a customized theme.

**Important:** NAVEX Global will assist with problems encountered while uploading theme graphic files using **Theme Manager**. However, the customer is solely responsible for troubleshooting image design and edited HTML and CSS files.

See the following sections for help with custom themes.

Creating or Modifying Theme Graphic Files

Uploading Theme Graphic Files

Changing or Deleting a Custom Theme

### Creating or Modifying Theme Graphic Files

The following table contains details about the four graphic files used in a PolicyTech™ theme. The thumbnails shown are for the default theme.

| File Name | Thumbnail | Actual Size (px) | Location in Header |
|---|---|---|---|
| logo.gif |  | 81 x 41 | Upper left corner (used as an image sprite) |
| btn_ button.gif |  | 300 x 54 | Top, with left edge matching left edge of main viewing pane |
| titlebar.jpg |  | 770 x 101 | Bottom left, extending 770 pixels to the right |
| titlebar_ bg.jpg |  | 142 x 101 | Bottom right, at left edge of titlebar.jpg (used to extend the title bar to the right as the browser window becomes wider; repeats if widened space exceeds 142 pixels) |

You can either modify a set of existing theme graphics or create your own. If you create your own, they must be the same size and file format and have the same file names as those listed in the table above.

Click here to go to an online Help topic containing all of the graphics for each of the themes and instructions for downloading them.

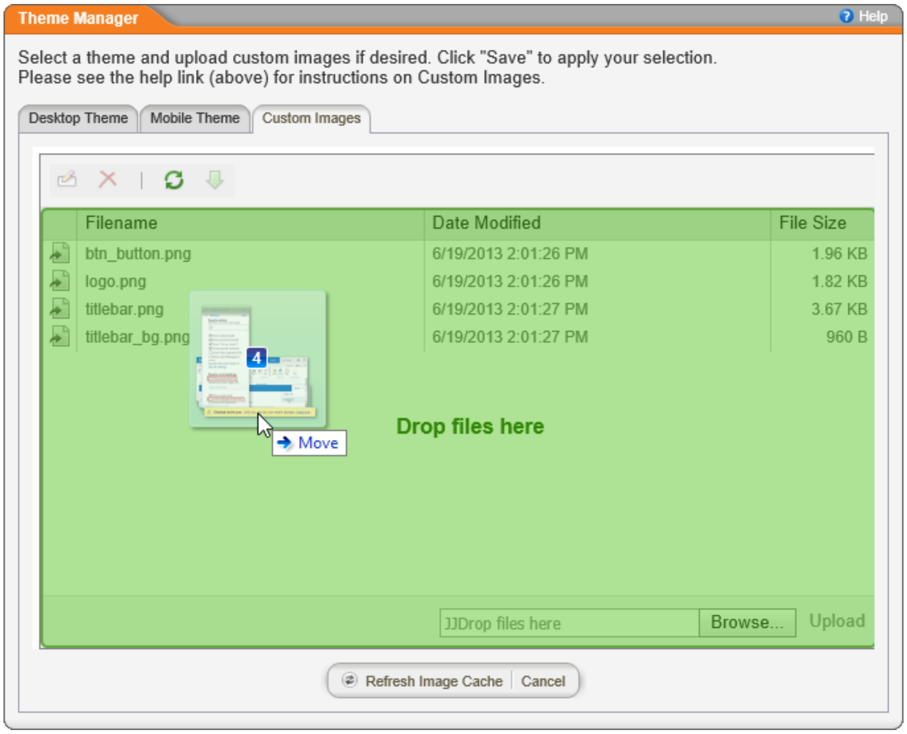
After modifying or creating theme graphics, continue with the instructions in the next section.

### Uploading Theme Graphic Files

After you have modified or created the graphic files, you need to upload them to the PolicyTech™ server.

**Important:** Uploaded graphic files always override the current built-in theme setting. The only way to use the built-in themes again is to delete all the uploaded graphic files (see Changing or Deleting a Custom Theme below).

1. In PolicyTech, click **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Theme Manager**.
3. Click the **Custom Images** tab, and then do one of the following:
   - In Windows Explorer, find and select the graphic files you want to upload, drag them over the file list area of the **Custom Images** tab in PolicyTech, and then, when you see the area highlighted in green, drop the files.




- Click **Browse**, find and select the graphic files, and then click **Open**.

4. Click **Upload**.
5. Log out from PolicyTech, and then close all browser windows.
6. Restart the browser, making sure not to open straight to PolicyTech.
7. Using your browser's Internet options or settings, delete your browser's temporary files.
8. Log in to PolicyTech to see the theme changes.

**Important:** You may need to instruct all PolicyTech users to delete their browsers' temporary files as well in order to see the theme changes.

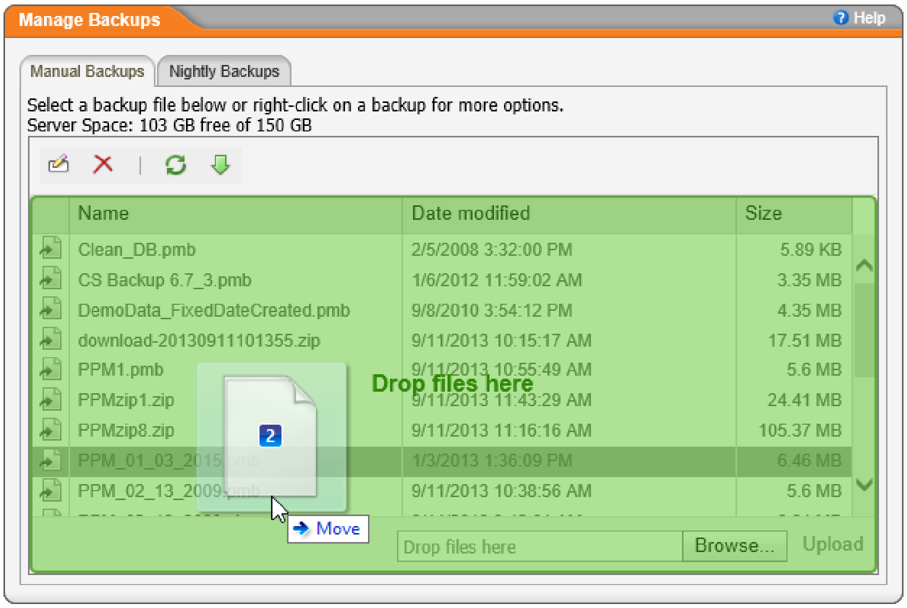
### Changing or Deleting a Custom Theme

You can use **Theme Manager** to swap out old graphic files for new ones or to delete the custom theme graphics altogether and revert to the default theme.

1. In PolicyTech™, click **PREFERENCES**.
2. Click **System / IT Settings**, and then click **Theme Manager**.
3. Click the **Custom Images** tab.
4. Select a file you want to replace or delete, click , and then click **OK**.

**Note:** If you simply want to delete the custom theme graphic and go back to using the corresponding built-in theme graphic, skip to step 7.

5. To replace a file you deleted, do one of the following:
   - In Windows Explorer, find and select the graphic file you want to upload, drag it over the file list area of the **Manual Backups** tab in PolicyTech, and then, when you see the area highlighted in green, drop the file.




   - Click **Browse**, find and select the graphic file, and then click **Open**.

6. Click **Upload**.

7. Log out from PolicyTech, and then close all browser windows.

8. Restart the browser, making sure not to open straight to PolicyTech.

9. Using your browser's Internet options or settings, delete your browser's temporary files.

10. Log in to PolicyTech to see the theme changes.

**Important:** You may need to instruct all PolicyTech users to delete their browsers' temporary files as well in order to see the theme changes.

## Appendix E: 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

### 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.

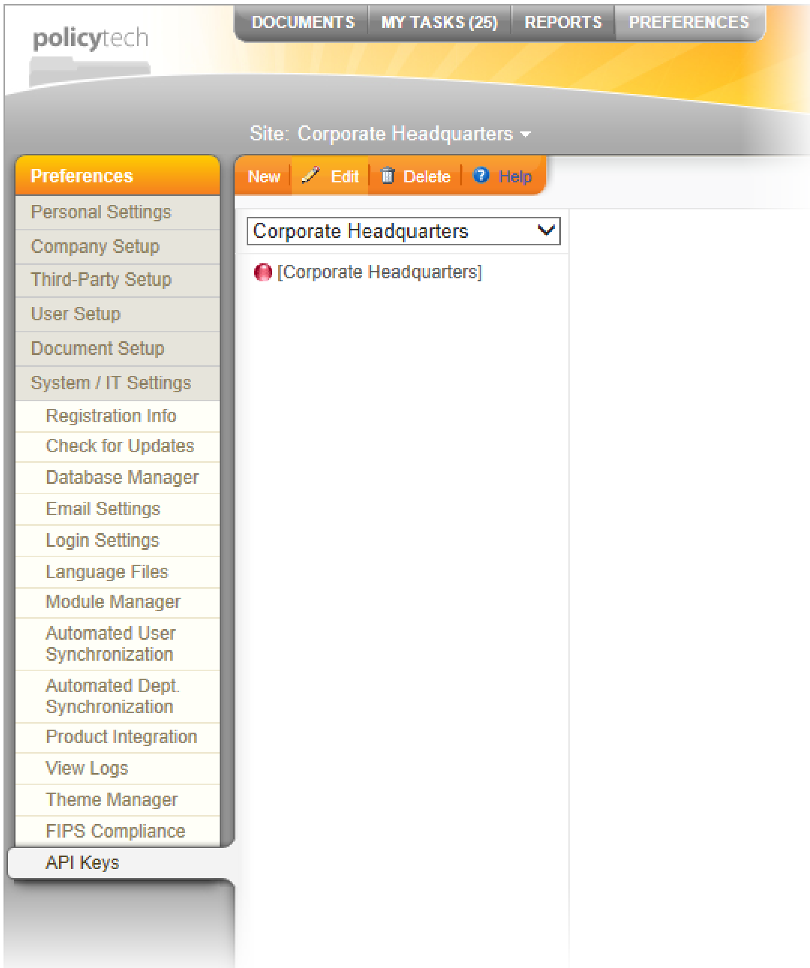
### Activating the PolicyTech API and Creating an API Key

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 **PREFERENCES**, click **System / IT Settings**, and then click **Registration Info**.

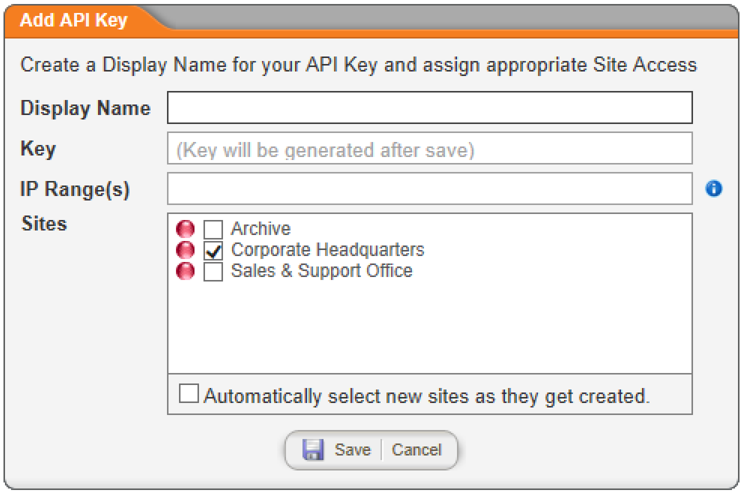
4. In the **Enter Registration Code** box, copy and paste the new registration code that Client Support emailed to you, and then click **Submit Registration Code**.

5. At the top of the PolicyTech window, click **PREFERENCES** again to reload them with new registration code.

6. Click **System / IT Settings**, and then click **API Keys**.




7. Click **New**.



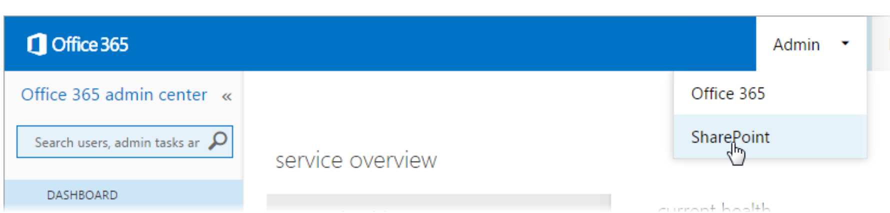

8. Type a name for the new key.
9. (Optional) If you want to limit access to PolicyTech via the API, in the **IP Range(s)** box type one or more IP ranges containing the addresses of one or more servers. Type ranges in the following format: xxx.xxx.xxx.xxx-xxx.xxx.xxx.xxx, xxx.xxx.xxx.xxx-xxx.xxx.xxx.xxx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

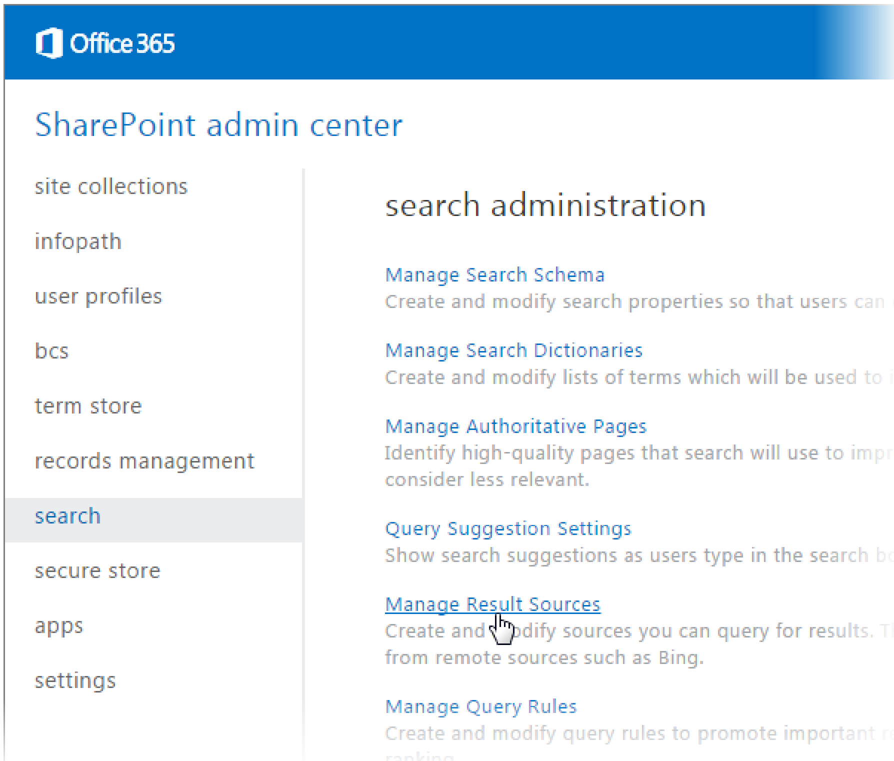
### Create and Test a Search Result Source in SharePoint

**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.

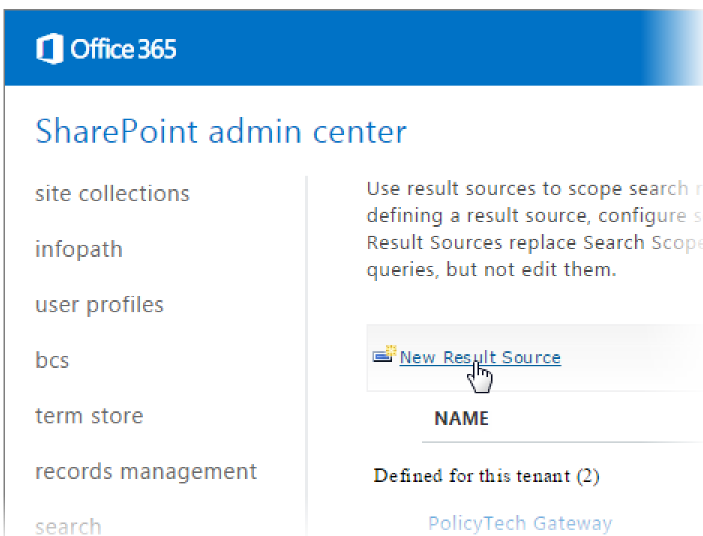
1. Log in to Office 365 as an administrator.
2. Click **Admin**, and then click **SharePoint**.




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:

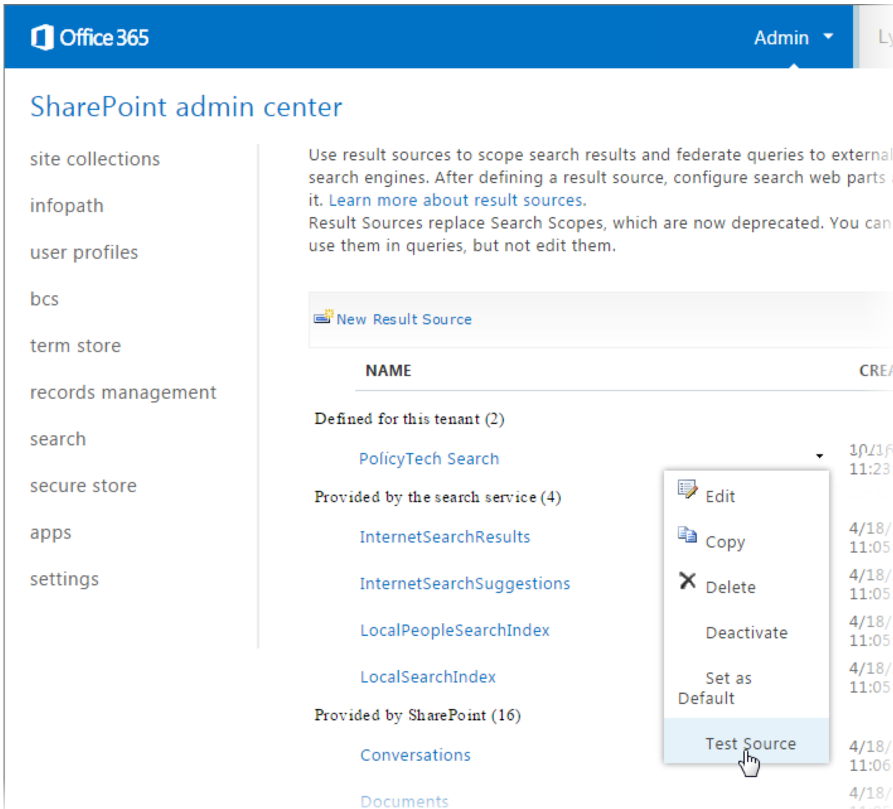
     **https://samplecompany.policytech.com/api/opensearch/2014/06/?MethodName=GetDocuments&APIKey=e3b24f256c7c4dacbbea3f2205d9c6ee&SearchField=ALL&itemsPerPage={itemsPerPage}&startIndex={startIndex}&SearchTerms={searchTerms}**

**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**.

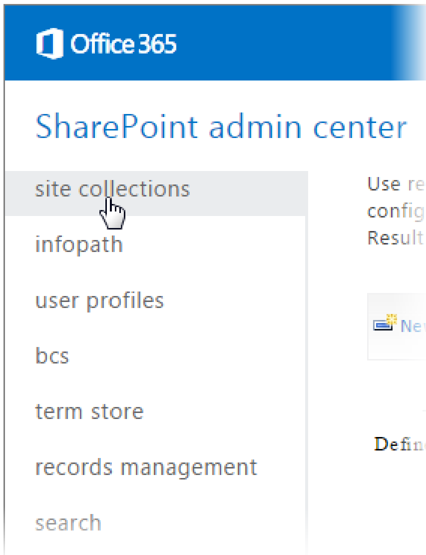



9. When the test finishes, you should see a **Succeeded** message. Click **OK**.

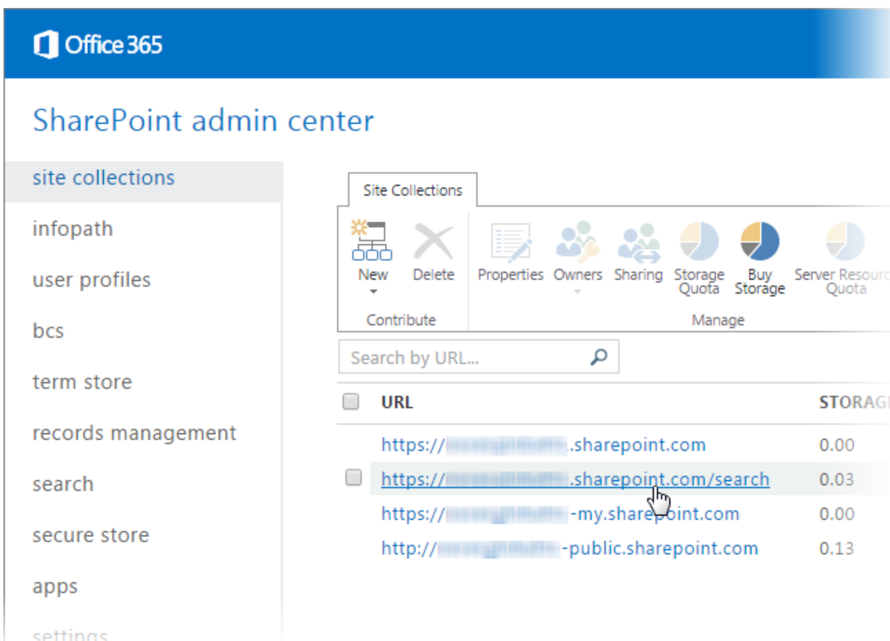
**Important:** If the test fails, try executing it again. If it continues to fail, there is a configuration issue. Check the Result Source settings, especially the source URL. Also check the PolicyTech logs (see View Logs).

## Adding and Configuring a Web Part

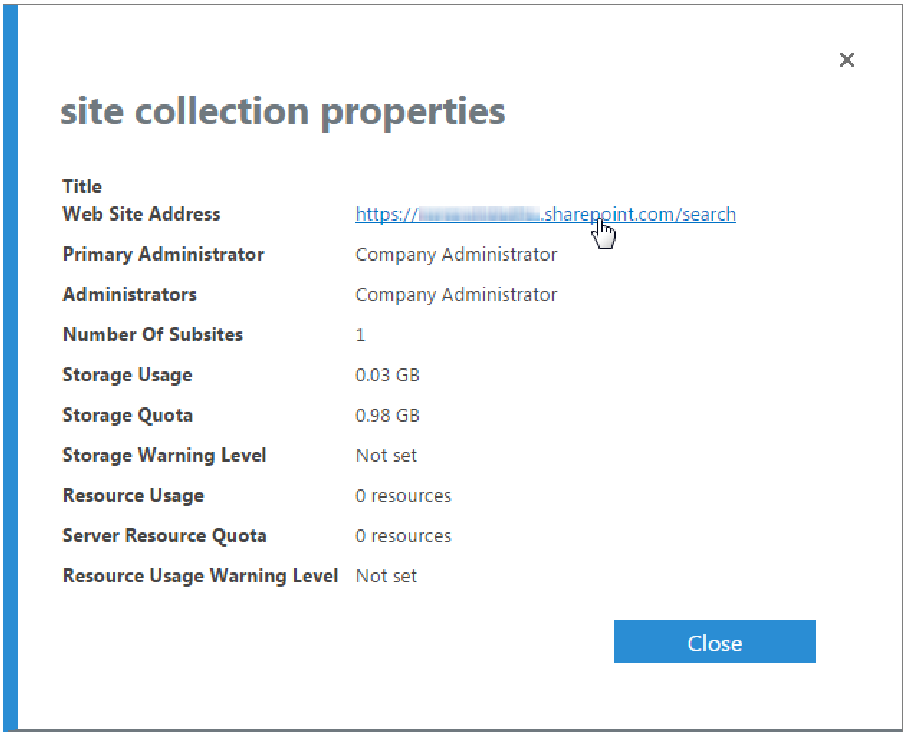
1. In the **SharePoint admin center**, click **site collections**.



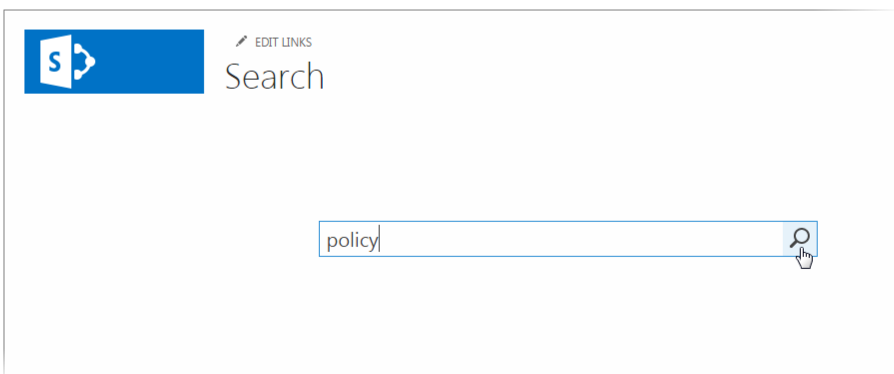

2. Click the search site.



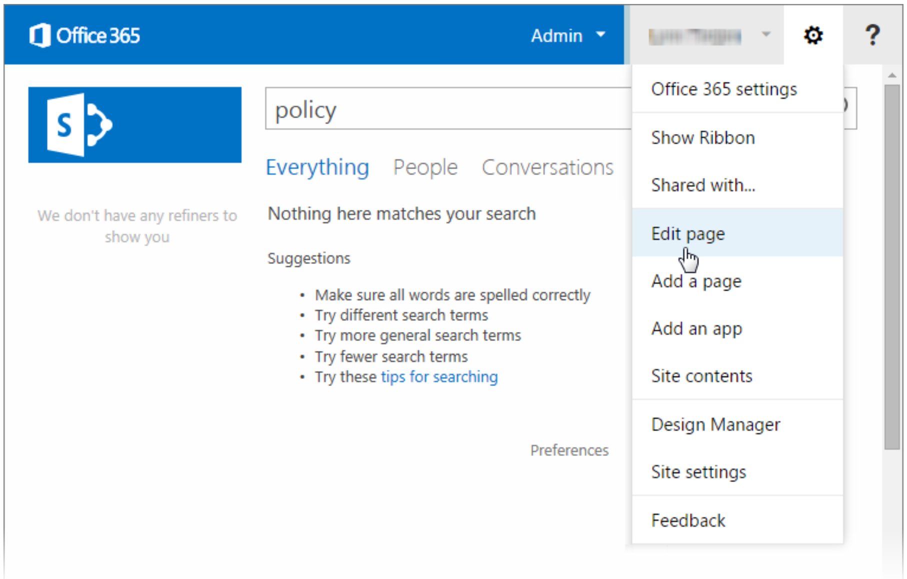

3. In the **site collection properties** window, click the **Web Site Address** link.



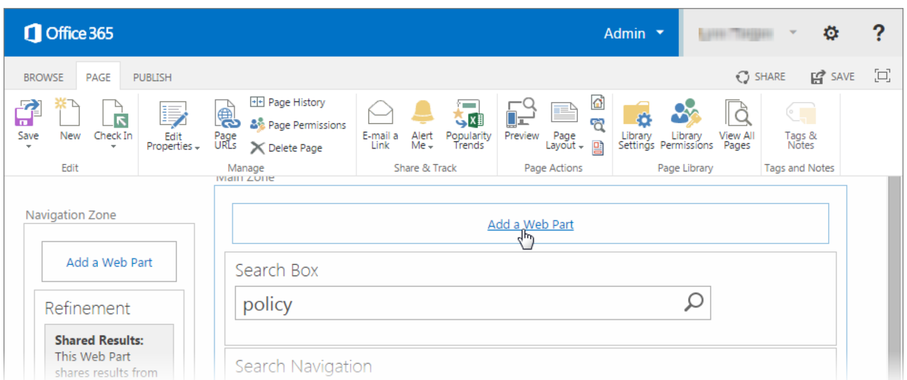

4. Type any keyword, and then click .




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

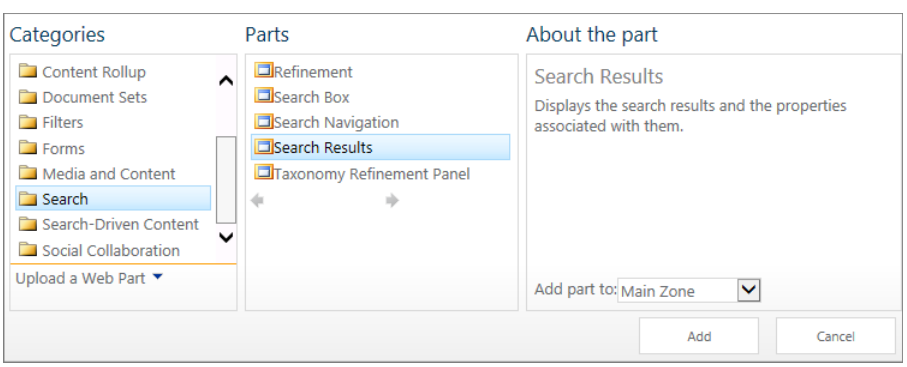



6. Click **Add a Web Part**.



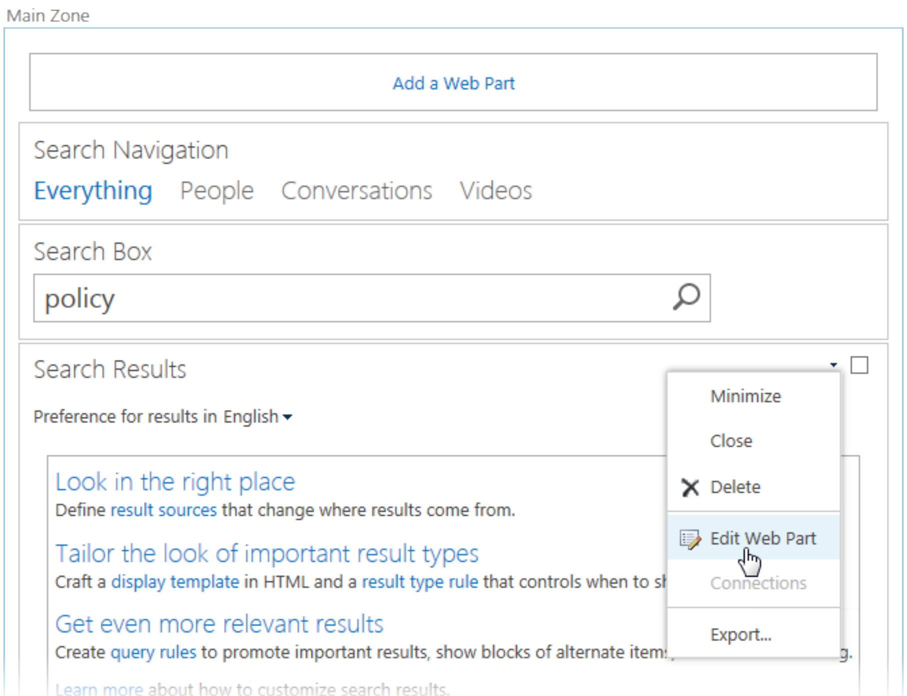

7. In **Categories**, click **Search**; in **Parts**, click **Search Results**; for **Add part to**, click **Main Zone**; and then click **Add**.

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

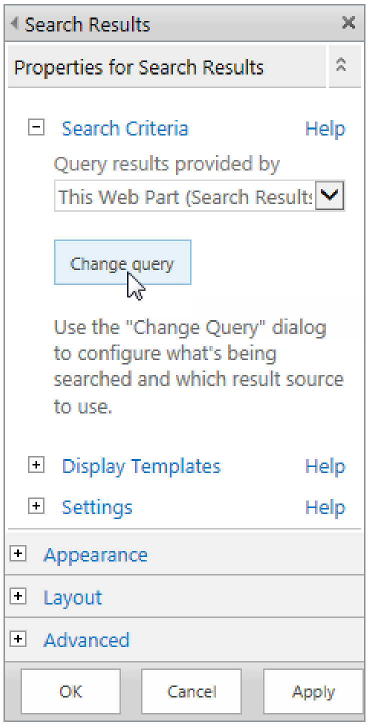


8. The newly added web part is displayed at the top of the **Main Zone**. Click and drag the new web part below the **Search Navigation** part (or below another Search Result part) so that **Search Box** and **Search Navigation** are the first and second parts at the top.

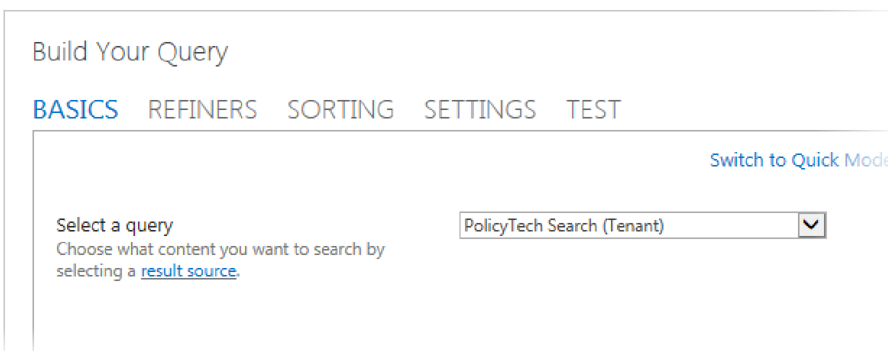
9. In the new web part, click the down arrow near the upper right corner, and then click **Edit Web Part**.



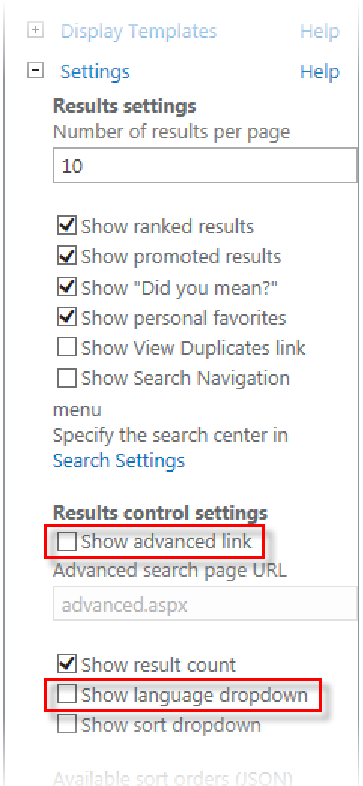

10. In the settings pane displayed on the right, click **Change Query**.



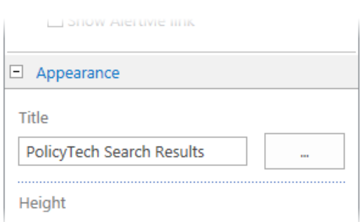

11. For **Select a query**, click the name of the result source you created earlier, and then click **OK**.



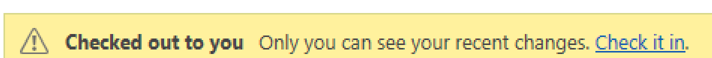

12. Back in the settings pane, expand **Settings**, and then, under **Results control settings**, click to clear the **Show advanced link** and **Show language dropdown** check boxes, as these features are not compatible with the PolicyTech API.




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

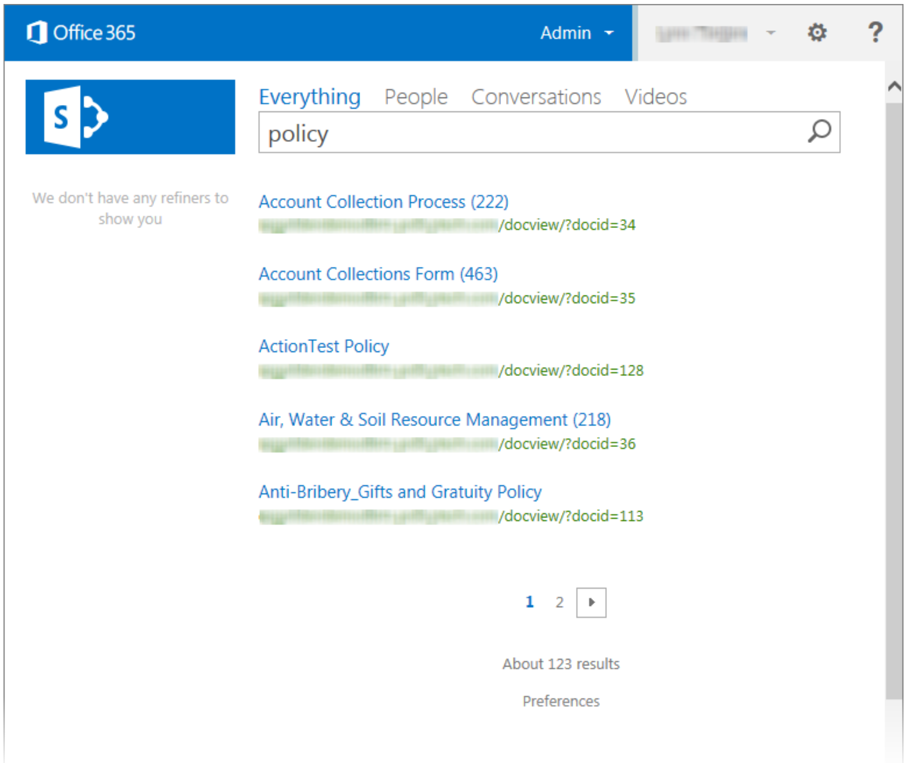



14. At the bottom of the settings pane, click **OK**.
15. In the alert near the top of the page, click **Check it in**.




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 .

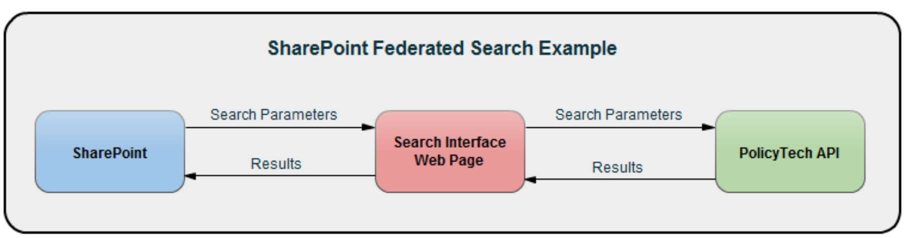
    You should see a list of PolicyTech documents containing the keyword.




## 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]

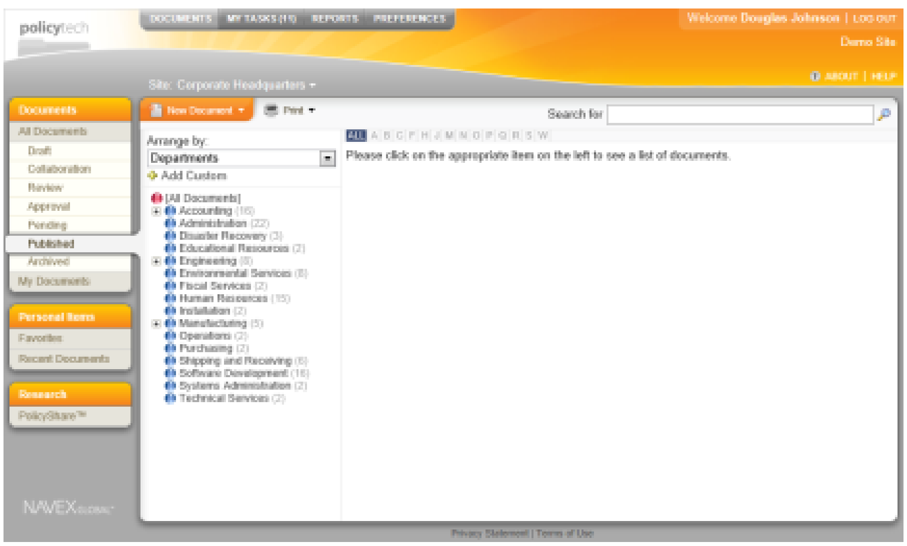
## SharePoint Integration via Page Viewer Web Part

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

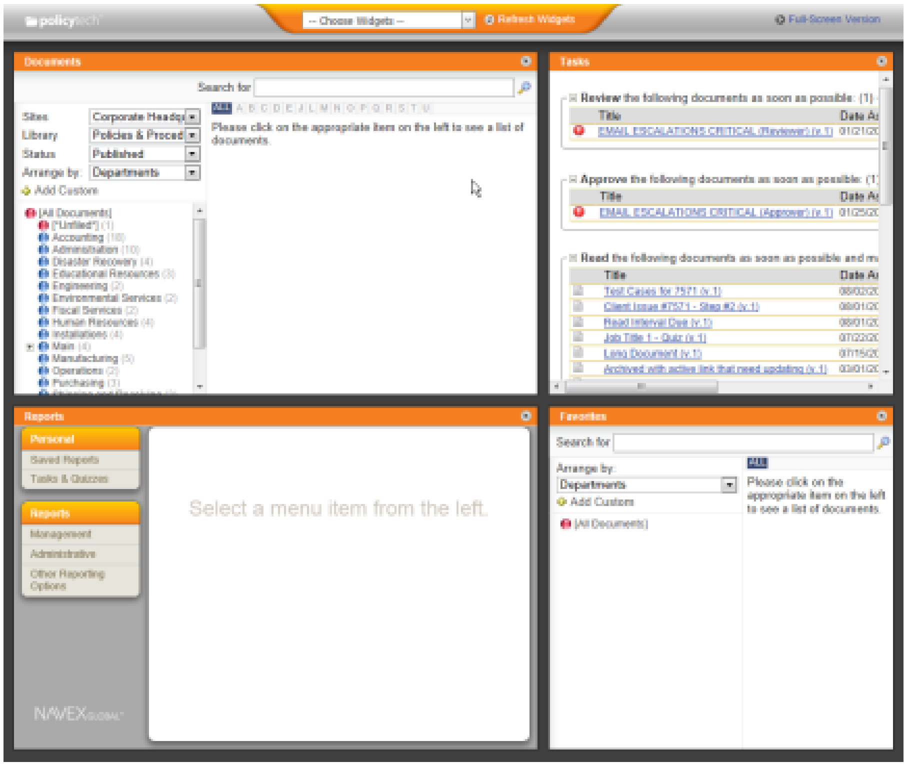
Below is a list of the PolicyTech Web Parts that can be integrated into SharePoint.

**Main PPM Screen.** The complete PolicyTech website can be included as a web part for users who need full functionality.



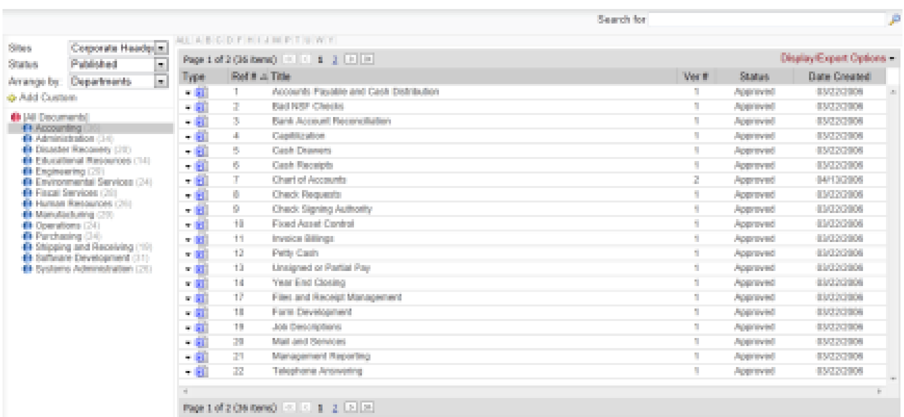

URL: http://{your-ppm-server}/

**Widget Manager.** Users can drag around the four widgets below and position or re-size them to fit the user's desired preference. The main PolicyTech interface can also be accessed via link in the upper right corner of the **Widget Manager** page.



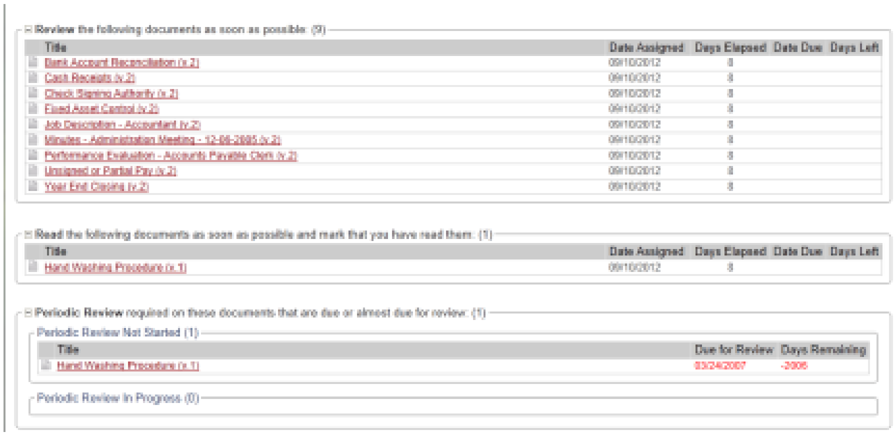

URL: http://{your-ppm-server}/sharepoint/widgets/

**Document List.** A lighter version of the main page allows users to look up documents by category arrangements and use the search functionality.



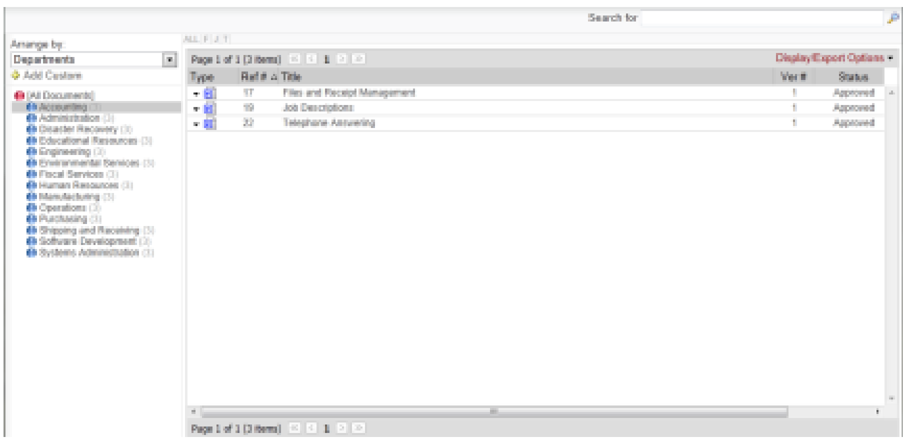
URL: http://{your-ppm-server}/sharepoint/documentlist/

**Task List.** A task list can be displayed in conjunction with the document list or alone.



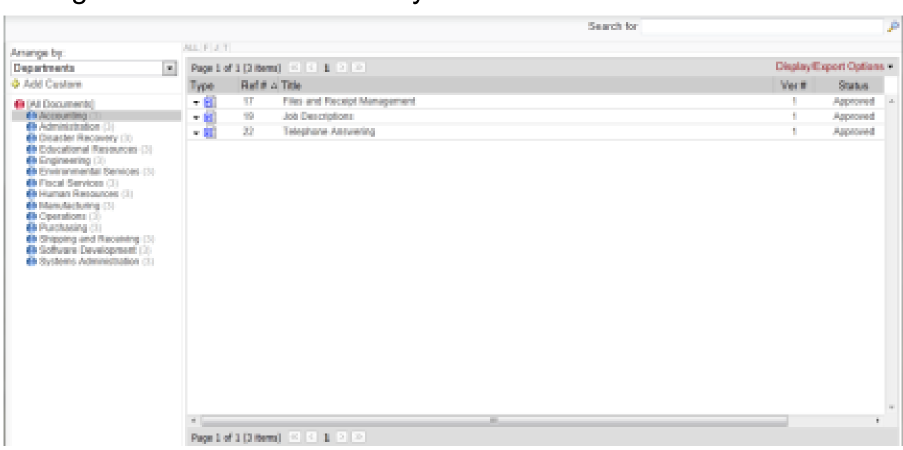
URL: http://{your-ppm-server}/sharepoint/tasklist/

**Favorite Documents.** The documents that users have added to their **Favorites** can be displayed alone or on the same page as other web parts.



URL: http://{your-ppm-server}/sharepoint/documentlist_favorites/

**Report List.** Managers can access reports directly through the widget without having to first load the main PolicyTech home screen.



URL: http://{your-ppm-server}/sharepoint/reports/

### 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 (The links can be found in the table of 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.

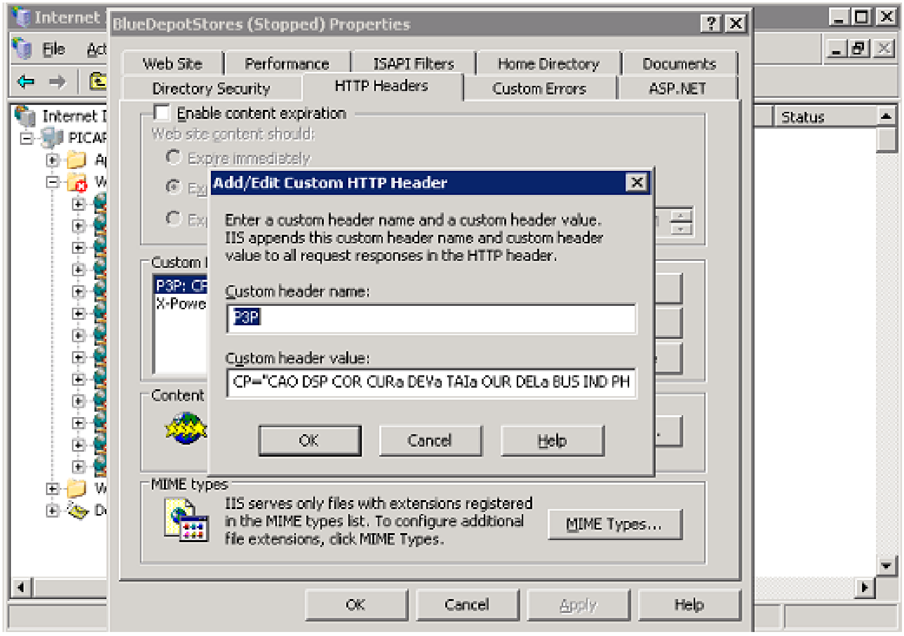
### Prerequisites for SharePoint Integration via Web Part

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

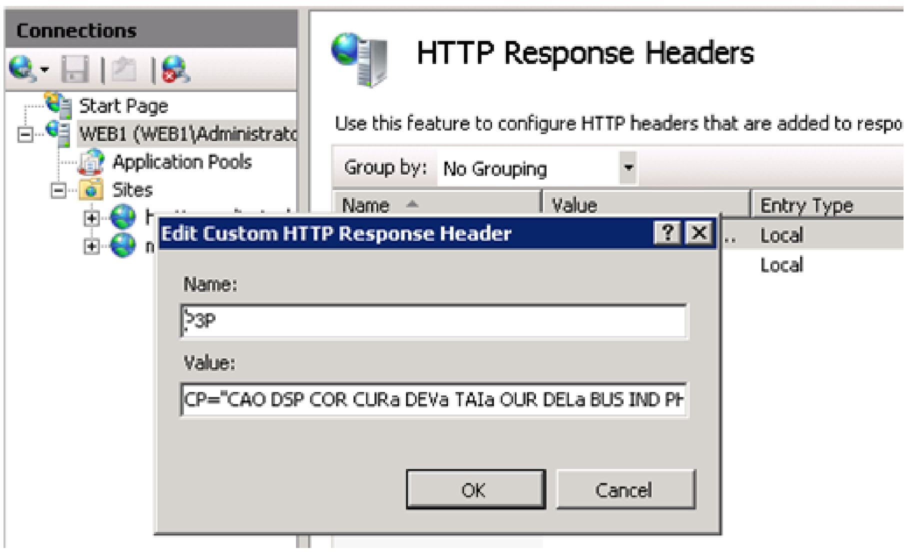
**Note:** This may not be required if PolicyTech is configured to use Active Directory authentication.

- 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 PPM 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.