



Policy Management

Compliance 360[®]

GRC Software Suite

INTRODUCTION

Policies and procedures are the underpinning of any governance, risk and compliance (GRC) program. Policies provide guidance and structure to employees and reflect the organization's stance on specific issues and processes. The establishment of policies, procedures and controls is a key element to an effective corporate ethics and compliance program as outlined in the Federal Sentencing Guidelines and UK Bribery Act.

WHAT'S THE CHALLENGE?

Most organizations have documented their policies and procedures. However, establishing a comprehensive and effective policy management framework involves much more than simply documenting policies and procedures in a written format. Some of the challenges include:

- Inability to maintain current, up-to-date policies as laws and regulations are updated.
- Lack of visibility and control needed to standardize processes among corporate entities.

- Inability to effectively collaborate on policy definition.
- Inefficient and inconsistent approval processes for new and revised policies.
- Lack of ability to identify and remediate gaps in compliance with regulations.
- Time consuming, inefficient and unreliable processes used to prepare for audits.
- Inability to reliably provide proof of compliance to regulating agencies.

HOW DOES THE COMPLIANCE 360[®] GRC SOFTWARE SUITE HELP?

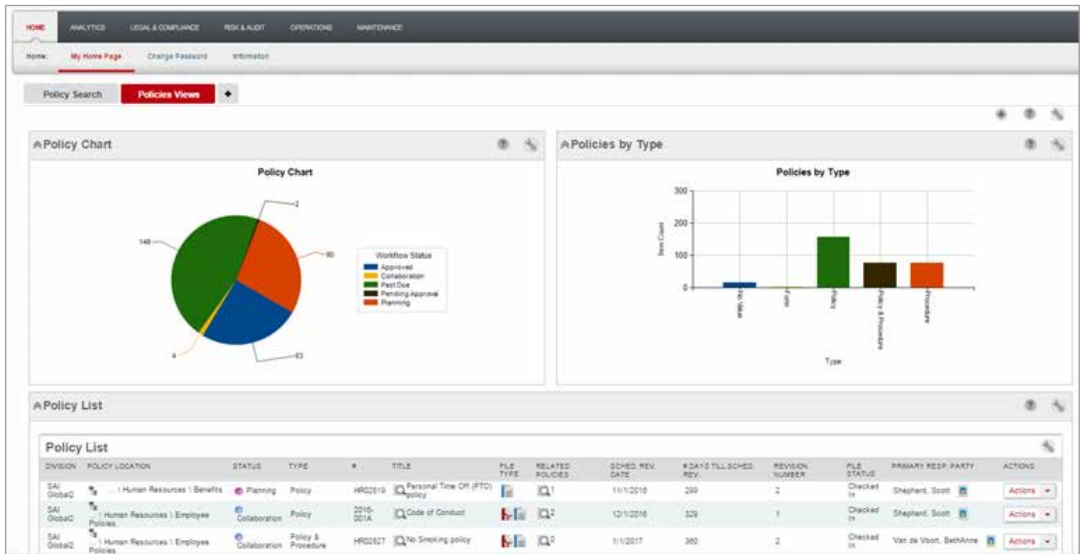
The Compliance 360 Policies application helps organizations create, organize, and manage the complete life cycle of policies and procedures.

Keep policies current – Automated alerts and task assignments trigger the review and revision cycle that your organization requires. Email messages are sent to responsible parties prior to the scheduled revision date to start

the revision process. Additionally, policies are linked to laws and regulations stored in the Compliance Workspace. Automated alerts triggered by new or updated laws and regulations are used to initiate the revision process to ensure that your policies are kept up to date with the latest requirements.

Central visibility and control – All policies are stored in a unified repository. Indexing of the policy information allows users to easily identify policies that might be duplicative. Employees may search through approved policies from the corporate web site and security can be set to limit access as necessary. For organizations with multiple divisions, policy authoring can be decentralized, with a central point of control for review, approval and distribution. This allows organizations to take advantage of best practices throughout the entire company while ensuring consistency.

Monitoring of the program – The policy management program is monitored using configurable reports and dashboards. Reporting is real-time and provides visibility into issues in the process such as extended review and approval cycles.



The Home Page is fully customizable by each user and provides a high level view of key indicators with direct drill-down access to detailed reports.

Policy List										
For Selected [New]										
STATUS	TYPE	FILE TYPE	POLICY LOCATION	TITLE	SCHED. REV. DATE	FILE STATUS	PRIMARY RESP. PARTY	REVISION NUMBER	ACTIONS	
Planning	Policy	[Icon]	... \ Human Resources \ Employee Policies	Absenteeism and Tardiness policy	5/30/2017	Checked In	Van de Voort, BethAnne	1	Actions	
Collaboration	Policy	[Icon]	... \ Human Resources \ Employee Policies	Code of Conduct	12/1/2016	Checked In	Shepherd, Scott	1	Actions	
Policy & Procedure	Policy	[Icon]	... \ Human Resources \ Employee Policies	No Smoking policy	1/1/2017	Checked In	Van de Voort, BethAnne	2	Actions	

Automated workflow delivers activities for policy authoring, collaboration and approval to the user's activity list.

Effective, efficient collaboration and approval cycles – Policy and procedure documents are managed electronically from start to finish utilizing templates to establish standard work processes. Templates are commonly used to automate the review, edit, approval and distribution process in a manner that is measurable and predictable. Automated workflow processing is used to route collaboration and approval activities to the necessary parties at the appropriate point in time. Email messages are automatically sent to assign activities and remind individuals of key milestones. Alerts are also sent automatically if due dates are in jeopardy of being missed.

Proof of compliance for audits – In conjunction with the Virtual Evidence Room®, policies can be linked back to applicable laws and regulations, to create a dynamic body of evidence of compliance and ensure a continual audit-ready state for the organization. All historical versions of policies are available which provide the ability to go back to a regulation and see the policies that were in place at a particular point in time. This is especially valuable, for example, during audits and reviews that may be focused on events that occurred months or years prior.

Identification of compliance gaps – The process of linking policies to laws, regulations, and other requirements helps to identify missing elements in your compliance program and in turn, can be used to initiate remediation tasks and projects, all managed in Compliance 360.

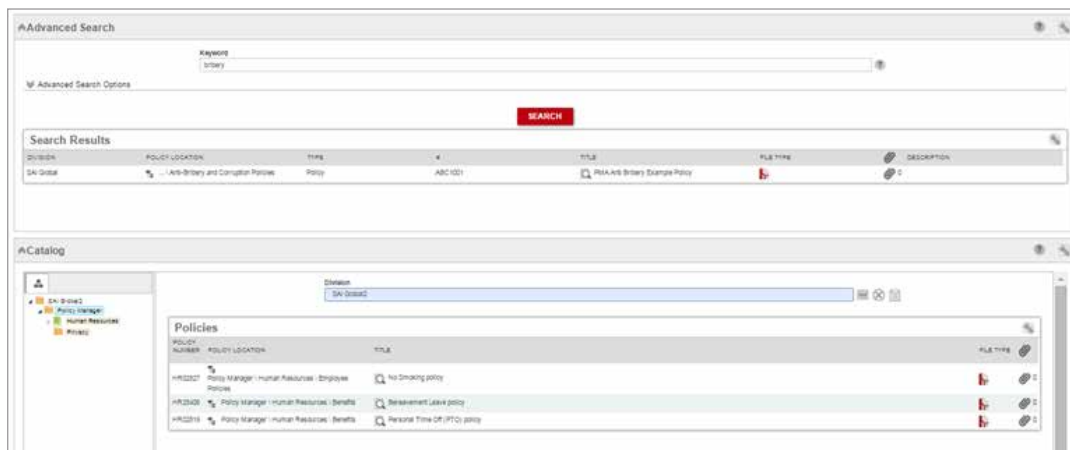
Manage policy awareness and attestations by employees – Approved policies can be communicated to employees via email notifications and attestations can be collected using the additional online survey process in Compliance 360. This information can be linked to regulations to provide additional evidence of compliance.

KEY FEATURES

- No expensive hardware or software to install or deploy.
- Configuration tailored to fit your requirements.
- A single, secure online repository for all of your policies and procedures.
- Powerful browser-like search functionality that leverages keywords and document tags.
- Dynamic, flexible workflows for policy creation, review and approval.
- Edit policies on-line using a browser-based interface.
- Policies are mapped to laws and regulations using the Virtual Evidence Room.
- Automated email notifications about policy changes, auto-escalation to managers and attestation support.
- Accurate time-stamped audit trail shows all user activity related to access and changes to policies.
- Configurable, real-time reports and graphical dashboards with drill-down capability.

KEY BENEFITS

- Achieve rapid time to value with a fully integrated online SaaS solution.
- Easily adaptable to your unique compliance program.
- Makes your entire policy management lifecycle process more efficient.
- Quickly and easily access policies and procedures anytime, anywhere.
- Streamlines the management and review process across your organization.
- File version management is simplified.
- Strengthens compliance while highlighting potential risks and gaps.
- Ensures policies are relevant and holds employees accountable for their understanding.
- Ensures a continual audit-ready state for your organization.
- Enables real-time tracking of policy management tasks and metrics.



A robust and secure keyword and advanced search capability, in addition to a Catalog view, is available from the organization's corporate website.

CUSTOMER EXAMPLE

A large multi-entity organization uses Compliance 360 to consolidate policies, weed out duplicates and retire defunct policies using the system's archiving capabilities. Policies have been consolidated by more than 50 percent, from approximately 32,000 down to 14,000.

Based on policies already proven effective in individual divisions, the organization now uses Compliance 360 to promote company-wide best practices by publishing "global" policies and procedures. The policy approval process has also been standardized. Company-wide policies are centralized and managed by the Corporate Compliance group, while the ability

to tailor certain policies based upon local and state-specific regulations is easily managed within each division. Central visibility of all policies and procedures is maintained throughout the company.

AMERICAS

marketing.americas@saiglobal.com

Waltham, MA
T: +1 781 891 9700

Alpharetta, GA
T: +1 678 992 0262

Houston, TX
T: +1 713 954 4970

Paramus, NJ
T: +1 201 986 1131

Cleveland, OH
T: +1 800 247 0802

Toronto
T: +1 416 401 8700

Montreal
T: +1 514 426 3432

Mexico
info.mexico@saiglobal.com

Brazil
marketing.americas@saiglobal.com

EUROPE

info.emea@saiglobal.com

Milton Keynes, UK
T: +44 (0) 1926 523149

AUSTRALIA

info.asiapac@saiglobal.com

Sydney
T: +61 2 8206 6060

Melbourne
T: +61 3 9278 1555

Perth
T: +61 8 9444 2777

ASIA

info.asiapac@saiglobal.com

Jakarta
T: +62 21 720 6460

ABOUT SAI GLOBAL

SAI Global is the world leader in providing organizations with a wide range of governance, risk and compliance (GRC) products, services and technology that help build organizational integrity and effectively manage compliance risk. Our global staff includes professionals and subject matter specialists in advisory services; program design, management and implementation; instructional design; and software development. Our focus is to help establish and enhance compliance effectiveness.

With well over a thousand organizations as clients and tens of millions of satisfied users around the world, we work with clients to integrate a flexible suite of solutions and services specifically tailored for a business and industry. Our products include the world's largest library of compliance and ethics learning, Code of Conduct advisory services and training,

and the Compliance 360® GRC Software Suite to manage compliance, policy, incident and audit management. Our Cintellate™ EH&S Software addresses key issues in operational environmental health and safety management. For more information, please call us at the full service location nearest you or visit www.saiglobal.com/compliance

*Call 1300 727 444, email insights@saiglobal.com
or visit www.saiglobal.com to find out more.*

