Solve 5 Major Pain Points in Your Compliance & Business Continuity Planning

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What Are the Top 5 Major Pain Points When Dealing With *Compliance* or *Business Continuity Planning?*

✓ No Centralized Location for Policies and Procedures (P&Ps) or Business Continuity Planning (BCP) Documents

✓ Manual Management of Documents & Version Control

✓ Audit Ready & Compliance Fears

✓ Reporting

✓ No Budget/No Resources

ComplyALIGN Pain Point #1:
No Centralized Location for Policies and Procedures

"We've used outdated policies because current versions are difficult to find or it is difficult to know where to even look for policies."

This results in major business practices risks, potential lawsuits, unhappy customers or some real major compliance issues.

How Does ComplyALIGN Solve Pain Point #1?

- ✓ It provides a **centralized platform** that can store all policies and procedures.

- ✓ Acts as a **repository for other types of documents** such as contracts, staff educational resources, by-laws etc.

- ✓ **Document hierarchy is fully customizable** and the system supports hierarchical folder structures to keep all content completely organized.

- ✓ All **documents are fully searchable** by title AND content.

- ✓ **Documents can be easily tagged with additional search keywords** that can support searching documents by regulation, standard number or other tags.

- ✓ Only the **most current and approved version of your documents are accessible** to staff. Approvers, reviewers and owners of documents can easily access full revision history.

- ✓ **System supports period snapshot of all current policies** so they can easily be restore during a major outage.

KingsBridgeBCP Pain Point #1:
No Centralized Location for BCP Content

✓Too much information to navigate through to use Word and Excel.

✓If your servers go down, so does your BCP, right when you need it most.

✓Information is constantly requiring updates in multiple places.

How Does SHIELD Solve Pain Point #1?

✓ **Hyperlink to critical documents** right from your plan to make navigation easy.

✓ **Hosted solution** so you can access your BCP when your servers aren't available.

✓ **Mobile app** gives you your entire plan in the palm of your hand.

✓ **Databases of key information** allow you to update information in one location but use it in many throughout your plan.

ComplyALIGN Pain Point #2:
Manual Management of P&Ps and Version Control

"Our P&Ps are mismanaged, not reviewed on time or proper approvals are not correctly documented, our policies are still in binders, and everything is manual."

This complaint results in a poor system for tracking approval workflow and revision history making it close to impossible to produce evidence of correct policy maintenance or compliance in the case of a lawsuit, audit or legal review.

How Does ComplyALIGN Solve Pain Point #2?

- ✓ The system will **pro-actively notify owners and reviewers** about upcoming review requirements.

- ✓ **Approvals are handled electronically** and automatically stored for each document.

- ✓ **Sequential approvals can be defined** to ensure a proper approval process is in place.

- ✓ **Approver name, date, time or approval are easily accessible** for each document.

- ✓ When a policy is revised the previous **version (and also all draft copies) are automatically preserved** and accessible to authorized staff.

- ✓ **Detailed audit logs are created** anytime a change to a document is made or a review or approval takes place.

- ✓ **Policy owners can run reports showing exact versions of policies** that were in effect on a specific date making it extremely easy to complete legal reviews.

KingsBridgeBCP Pain Point #2:
Manual Management of Plans and Approvals

✓ No idea when a document was last modified.

✓ Not sure if the plan, or associated documents were ever approved, by whom, and when.

✓ Not sure how current the overall plan is.

How Does SHIELD Solve Pain Point #2?

✓ **Last Modified dates on all content** along with who made the modification.

✓ **Last Modified table to look at** when all content was last updated.

✓ **Built in task management system** allows you to assign a plan or document for review and tells you when the task is complete. Mark tasks as urgent and send email notifications when a task is assigned.

✓ **Tasks can be linked directly to the content** that needs to be reviewed so there is no question as to what is being asked of the reviewer.

ComplyALIGN Pain Point #3:
Not Being Audit Ready

"If we were to get audited today, we would likely fail the audit because our internal P&P review and attestation processes are not in place, approvals are not correctly documented and policies are difficult to locate."

This can result in not being able to apply for certain programs/discounts/bid for projects because policies and procedures are in such a chaotic state that you will likely fail.

How Does ComplyALIGN Solve Pain Point #3?

- ✓ Documents are ALWAYS audit ready!

- ✓ **Reports** for all P&Ps in the system **can easily be created** by policy administrators.

- ✓ **Staff has access to all relevant documents in a single location** available at their fingertips, in just a few clicks.

- ✓ **Staff can even search by relevant codes or standard numbers** to easily locate policies or procedures that are relevant to a specific regulation or audit review.

- ✓ **Only current and most recently approved documents are accessible by staff**. Approval information can be viewed for each document.

- ✓ **Detailed revision reports can easily be generated** by document owners showing approval and review data.

- ✓ **Reports can be generated to clearly** demonstrate ongoing improvements initiatives and results for your P&Ps.

- ✓ **ComplyALIGN is an ongoing process.**

KingsBridgeBCP Pain Point #3:
Not Being Audit Ready

✓ Giving the auditor just what they need to see – not too much and not too little.

✓ Printing hundreds of pages of your plan and associated supporting documents just for the auditor.

✓ Pulling it all together.

How Does SHIELD Solve Pain Point #3?

✓ **Auditor level access** so auditors can see (read only) but not break anything in your plan.

✓ **Auditor logs directly into your plan** so no mad assembly of documents in preparation for their visit.

✓ **Dashboard gives auditors (and senior management) an overview** of how well your plan is doing.

ComplyALIGN Pain Point #4:
No Reporting Tools

"We don't know how many policies and procedures we deal with, who manages them or how they even get reviewed. If our policy staff left the organization, we wouldn't know where to start.

This issue results in an extremely heavy manual workload for a new hire or additional staff set to replace the previous policy administrator/owner.

How Does ComplyALIGN Solve Pain Point #4?

✓ The system reinforces a **"set it and forget it"** mindset. Once document review workflow is identified, appropriate staff automatically gets notified when their tasks are DUE.

✓ The system **reinforces accountability** and transparency. System superusers can easily run report to see policies pending action and overdue documents along with assigned staff.

✓ At any point of time system **super users can run responsibility assignment reports** to see what tasks different staff has.

✓ If staff leaves, **documents can be re-assigned across the board** to the new person and tasks notification will automatically follow new document assignments.

✓ New **staff would automatically be notified about his or her tasks**.

How Does ComplyALIGN Solve Pain Point #4? Cont'd

✓ Volume of documents, number of current draft, published documents and **archives are automatically maintained in the system** and accessible to authorized users.

✓ **Dashboards and charts help visualize status** of documents across the entire system.

✓ **Read acknowledgement/attestation can be configured** to ensure staff is notified about new document versions and changing policies.

✓ **Policy quizzes can be configured** to ensure staff understanding of policies and procedures.

KingsBridgeBCP Pain Point #4:
No Reporting Tools

✓ No way of knowing just how current your content is.

✓ No way of knowing if your users are logging in to familiarize themselves with their plan

✓ No way of knowing if requested tasks are being completed.

How Does SHIELD Solve Pain Point #4?

✓ **Dashboard shows:**
   - ✓ how current every bit of content is. Filter by age or type of content.
   - ✓ when each user last logged in.
   - ✓ how long users are spending using the tool.

✓ **Task management view shows what tasks are outstanding**, what content they relate to, who created the task and who the task is assigned to.

✓ **Plan Health gives you an overall score** of how well you're doing with keeping your plan up to date.
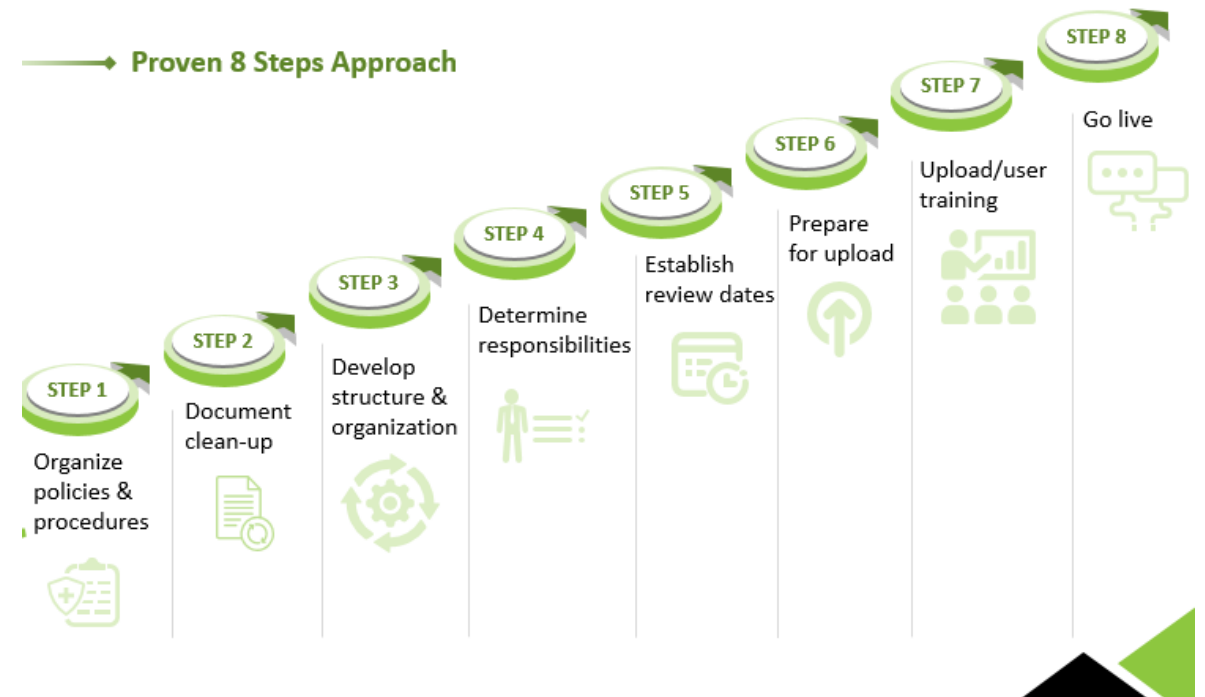
ComplyALIGN Pain Point #5:
No Budget / No Resources

"We don't have enough resources to improve our P&P situation. The systems we've looked at are over our budget, and require extensive upgrades to our servers. The effort it would take to catalog our existing policies would be extremely time consuming and taxing on our staff.

This point is why many organizations continue with their manual policy management efforts. They believe the project will be TOO daunting and will take several staff members to implement. However, with the right vendor, this project can be inexpensive and have little impact on your internal resources.

How Does ComplyALIGN Solve Pain Point #5?

✓ Subscription options are available with **little or no upfront cost** and only minimal monthly cost so the system is very affordable and budget-friendly.

✓ The system **can be delivered on-premise or via the Cloud** – thus no IT infrastructure or updates to servers are required for use.

✓ We provide a proven **8-step implementation approach** that uses lessons learned from over years of implementing P&P automation.

→ **Proven 8 Steps Approach**

STEP 8
Go live

STEP 7
Upload/user training

STEP 6
Prepare for upload

STEP 5
Establish review dates

STEP 4
Determine responsibilities

STEP 3
Develop structure & organization

STEP 2
Document clean-up

STEP 1
Organize policies & procedures

How Does ComplyALIGN Solve Pain Point #5? Cont'd

✓ **System can be implemented using a phased approach** to minimize workload on your staff.

✓ **The system itself can be used for cataloging and reviewing your P&Ps** – this in turn creates evidence of performance improvement initiatives.

✓ **We assist in project management** from start to finish.
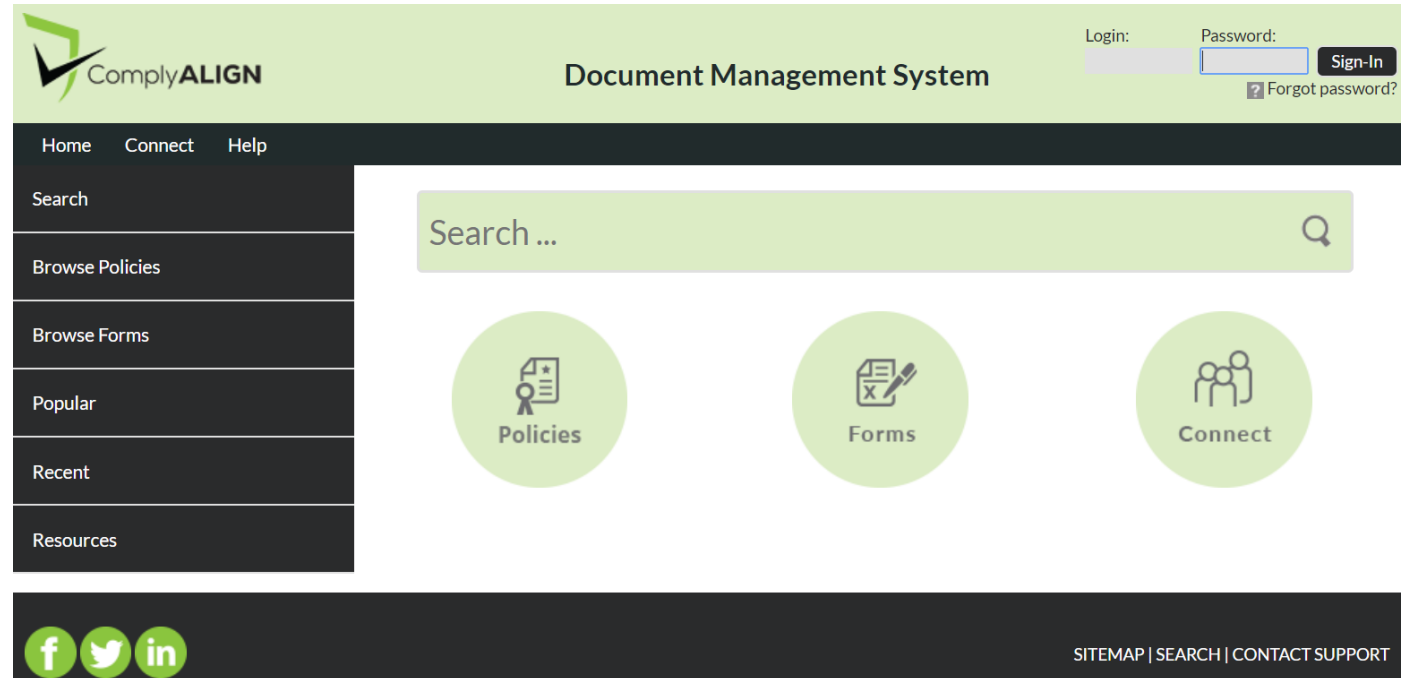
KingsBridgeBCP Pain Point #5:
No Budget / No Resources

✓ BCP is never the top priority so no money or resources are set aside.

✓ You've been assigned the task in addition to your other responsibilities.

✓ Can't afford a software solution to make the job easier.

How Does SHIELD Solve Pain Point #5?

- ✓ One of the **least expensive BCP software solutions** on the market.

- ✓ **Subscription model** means small monthly payments.

- ✓ **Multiple versions** scale to suit your needs.

- ✓ **Plan migration services available** to save you time.

- ✓ **Designed by BCP consultants**.

- ✓ **Low cost notification** available.

- ✓ **Free training** (if you need it).

Question & Answer Time

Contact Us

✓If you have any additional questions for Tam Williams from KingsBridge BCP please contact her at tamw@kingsbridgebcp.com.

✓For questions about ComplyALIGN, please reach to our Sales Department at sales@complyalign.com.