



CCUSTOMERSUCCESS STORY: Unified Grocers

Thank you to Pamela Ashley, Senior Manager, Internal Control and Compliance for sharing their success story with us. Ms. Ashley oversees the Sarbanes Oxley (SOx) efforts at Unified Grocers.

Who is Unified Grocers?

Unified Grocers is primarily a distributor in the grocery business serving all of the western United States and the South Pacific. Their annual revenue is approximately \$4 Billion. Their implementation of policyIQ for SOx started in the documentation phase and worked through the remediation phase, test plan development phase and just recently completed the control rationalization phase to better align their documentation and testing with the new AS5 guidance. Through this process Unified Grocers was able to reduce their controls by approximately 65%. Unified Grocers currently has approximately 2500 pages filed in 24 business process areas in policyIQ.

Before policyIQ ...

Like many policyIQ customers, Unified Grocers' management of their Sarbanes Oxley documentation was largely manual before they implemented policyIQ. They tracked their narratives in Word and used Excel to capture their "Risk-Control Matrices", which included the related testing of key controls. Also like other organizations, Unified Grocers found that this process provided a simplified starting place for their SOx efforts, but posed some challenges for their data integrity. Each time a change was made to the documentation, they had to try to remember any other areas in which the documentation needed to be updated. With the large volume of information and documentation they were working to manage, this could be a monumental task--especially for those who were new on the project and didn't have a good grasp of the overall structure of the documentation. In their manual process, they also faced version control challenges since it was possible for more than one person to work on a document at a time.

Improved Organization of Content

Using policyIQ, Unified Grocers is able to create relationships, or links, between content of different types. They have their control

policyIQ

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activity pages linked to their narrative pages, their control objective (commonly referred to as risk) pages and their test pages. Instead of manually tracking the documents that are related to each other, they can rely on the links in policyIQ to help ensure that any changes are properly updated on all relative documents.

In addition to linking, Unified Grocers takes advantage of the ability to upload and attach files to their policyIQ Pages. They have a test template spreadsheet, designed specifically for each test, attached to the related test page. Following testing, they also upload test results and attach them to their policyIQ test pages.

Repository for Monitoring Controls

Unified Grocers also manages and tracks information related to their monitoring controls, such as management operations meetings. In this example, they capture the items covered at the meeting and the results, as well as a role sheet listing those in attendance at the meeting. This information is attached to a designated page in the applicable process. This makes it very simple to locate and share information with auditors when they request to see a history of these meetings.

Looking Ahead to Version 6.0

With features such as Group Administration of a Page, significantly improved Forms Management functionality and the ongoing benefits of version control and built in security, Unified Grocers is looking forward to using the latest policyIQ version for their spreadsheet management in 2008.

Learn More

Contact us at information@policyIQ.com to speak with one of our team members or to schedule an online demonstration or visit our website – www.policyIQ.com – to learn more about the application, access the pricing calculator, and watch recorded demonstrations.

More than 2,500 policyIQ Pages

\$4 billion annual revenue

Process has reduced controls by 65%

Nearly 100 policyIQ users

A Fortune 1000 Company

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