

policyIQ

Policy Management Solution

Every organization has policies and procedures that guide employee behavior. Many rely on word processing to create documentation, email to send it for review, and shared network drives to make the information available to employees, while some require printed copies in order to make the materials available to remote offices.

The process is inefficient, time consuming and provides little oversight. Truly managing policies and procedures requires a process and a system for authoring, publishing, communicating, testing and continually revising that content. You need a system that automates and controls this process, enforcing the discipline you need for Effective Policy Management. policyIQ is that system!

policyIQ is a web-based content and document management system that's used to store any type of business content – not just policies and procedures, but also risks, controls, internal audit work-papers, regulatory content, contracts and other documents. This flexibility and diversity means that you can have a system that works with your process, without the cost or hassle of a custom application.

With policyIQ you can...

- Create consistency and track the critical details with custom templates and fields.
- Keep policies and procedures up-to-date with reminders based on content expiration.
- Easily govern you read, edit and approval rights with built-in group or role-based security.

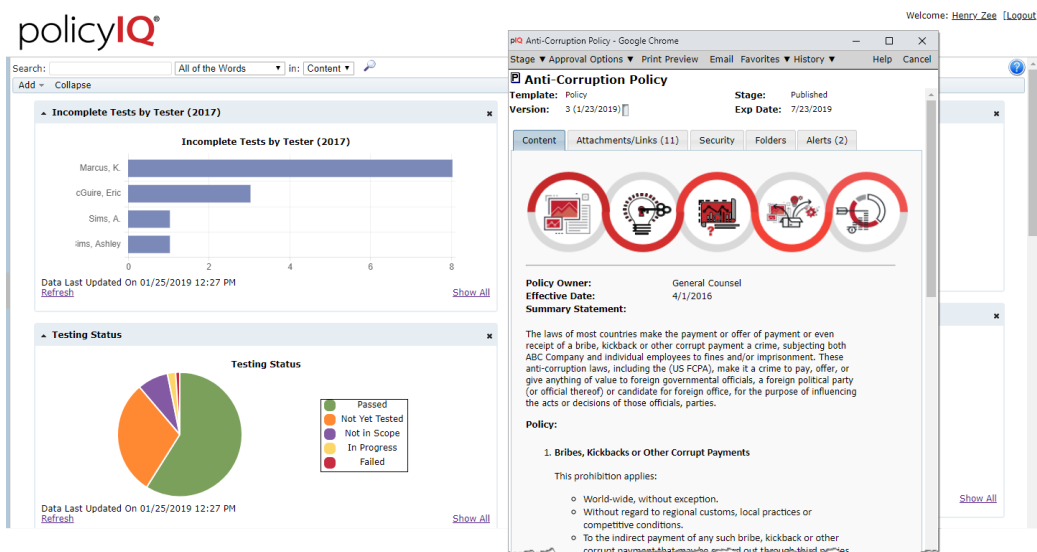


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Using policyIQ, you create Templates for each type of document to ensure consistent formatting, and use the workflow to collaborate on the creation of the content, with a final level to approve the document. If translations are available; policies, procedures and other information can be created in multiple languages. Communication tools such as email and custom dashboards allow you to alert employees when critical content is updated, and you can track if and when those employees read your updated content. Assign, collect and report on annual sign-offs for your critical organizational policies, and eliminate confusion by allowing access to only the latest version of content relevant to your audience.



Schedule a demonstration or begin your free 30-day trial site today!

Are you ready to take a look at how policyIQ can make your compliance program more efficient, more accurate and more robust? Give us a call and let us show you. We can even set up a trial site for you - with a sample of your data - for you to try.

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A GRC Platform Designed for *YOU*.

policyIQ is RGP's highly adaptable Governance, Risk and Compliance (GRC) platform that your team can leverage for multiple policy, compliance, audit, and content management initiatives. You can be up and running in days, with all of your GRC initiatives coordinated in one cost-effective platform.



policyIQ is designed with *you* in mind. Our simple configuration tools allow you to quickly customize policyIQ to support *your* process, and the application is flexible enough to meet the unique needs of your organization.

Whether you are a small business or a large corporate enterprise, policyIQ offers solutions that will work for you.

With policyIQ you can...

- Maintain a single source of truth with 24/7 global access
- Connect compliance programs (such as SOX, NIST, PCI, HIPAA, ISO, etc) with controls, policies, and risks across the enterprise
- Automate processes such as quarterly attestations, annual policy sign-offs, control evidence collection, surveys and more



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If your organization is still capturing documentation in various systems, managing risks and controls in spreadsheets, or using email to distribute certifications or surveys, you need policyIQ. Don't waste time tracking down documentation or updating reports - let policyIQ do that work for you. All of your data in one place, connected and aggregated for easy reporting and dashboards, and with a complete version history and audit trail of every update.

The image displays two overlapping screenshots from the policyIQ application. The background screenshot shows a dashboard with three main sections: 'Testing Status' (a pie chart with categories: Not Yet Tested, Passed, Failed, In Progress, Not in Scope), 'Risks By Severity' (a pie chart with categories: Not Yet Provided, Reviewed, Submitted), and 'Evidence Request Status' (a pie chart with categories: Not Yet Provided, Reviewed, Submitted). The foreground screenshot shows a detailed view of a control record for 'Anti-Corruption Policy'. It includes fields for 'Template: Policy', 'Version: 26 (10/23/2019)', 'Stage: Draft', and 'Exp Date: 4/1/2019'. The 'Control Description' states: 'The Staff Accountants perform Quarterly bank reconciliations for operating cash accounts which are reviewed by the Accounting Manager.' The 'Testing Status' is 'Failed'. The 'Location of Testing' is 'Japan', the 'Tester' is 'Johns, Scott', and the 'Test Year' is '2018'. The 'Test to be Completed By' is '7/18/2018'. The 'Test Steps' section lists two steps: '1. Request copies of cash reconciliation reports from accounting manager. (Evidence request can be issued directly through policyIQ)' and '2. Review every report for the following: A. - Was the account reconciled? B. - Was the account reconciled within 15 days of the month-end close? C. - Was the reconciliation evidence and paperwork provided (or referenced) within the report?'. The 'Number of Exceptions' is '3'. The 'Test Result Comments' field is empty. The 'Provide results for all samples' section shows a table with columns labeled 'Sample', 'A', 'B', 'C', 'D', 'E', 'F'.

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Contract Management Solution

With increased scrutiny on every aspect of the business, tracking compliance with the terms of all contracts is becoming a key component of successful organizations.

The largest companies in the world need robust contract management systems – systems with complex workflows, supporting hundreds of thousands of files, which come with very high price tags. If you aren't one of these companies, you probably need an easy-to-use, easy-to-implement system that can provide a basic workflow for your contracts, with the ability to organize and report on every element of a contract as well as the ability to alert relevant individuals when contract milestones are approaching.

policyIQ is a cloud-based Governance, Risk and Compliance (GRC) application that's used to store many types of business content – not just contracts, but also policies and procedures, risks, controls, internal audit work-papers, regulatory content, and other documents. This flexibility and diversity mean that you can have a system that works with your process, without the cost or hassle of a custom application.

With policyIQ you get...

- Powerful and user-friendly reporting allows you to create and export custom reports for oversight and analysis
- Custom fields – drop-downs, date, text, number, and currency fields to track and report on critical information for each of your contracts.
- Security to restrict who can view each contract, who can edit, and upload.



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Using policyIQ, you can create an efficient and effective process for managing your organization's contracts. Determine exactly which specific pieces of information (such as expiration date, type of contract, value of contract, contract owner) that you need to track and report on and create fields to capture this data. Upload scanned copies of all executed contracts into a central, web-based repository that is easily accessible, but secured to only the appropriate users. Alert contract owners, legal departments or procurement managers by email and on their policyIQ dashboard as contracts reach critical milestone dates. The policyIQ workflow features allow you to route contracts for approval before they are executed and powerful, user friendly reporting can provide oversight and analysis of contract details.

The screenshot displays the policyIQ web application. On the left is a navigation menu with categories like 'Dashboard', 'Favorite Folders', 'Contract Compliance', 'Dealer', 'Employee Handbook', 'Policies and Procedures', 'Risk, Compliance & Audit', 'Reports', 'Page Management', 'Form Management', 'Advanced Search', 'Global List Field Management', 'Approval Workflow Management', 'Deleted Content', 'Time & Expense', 'Users', and 'Tools & Settings'. The main area shows a table titled 'Active Vendor Contracts' with columns for 'Summary', 'Name of Vendor', 'Annual Value of C', and 'Expected Monthly'. A summary row shows a total annual value of 111,220,883.00 and an average of 621,349.72. Below the table is a detailed view for 'Brooks Distributing', including fields for Contract Type (Service), Name of Vendor, Status (Active), Supplier Category (Consulting or Services), Department Responsible (IT), Contract Start Date (1/15/2010), Contract Expiration Date (2/15/2019), Annual Value of Contract (\$872,431.00), Expected Monthly Expenditure (\$72,702.58), and Contract Owner (Kevin Jones). A 'Please note' section lists various provisions like Termination for Cause, Automatic Renewal Clause, Conflict Minerals, and Anti-Corruption Provision.

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SOX Solution

Managing any compliance project can be a challenge. If you're involved in such an effort, chances are you're either using an expensive, complex, network-installed system, or you're managing the work using an inefficient combination of spreadsheets, documents, email and file directories.

You need a system that provides a flexible, easy-to-use platform for all your compliance documentation needs, from risks and controls, through testing and issue tracking. Whether you are required to be compliant with SOX, MAR, PCI DSS, or monitoring some other internal control environment, you need a system with version history, customized templates and fields, unlimited linking and organizing, workflow with approval and security to restrict access to appropriate users.

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With policyIQ you get...

- Easily roll-forward your work to your new compliance year with just a few clicks.
- Create powerful reports that pull the related content together into a cohesive, big picture
- Secure your content with read, edit and approval rights using built-in group or role-based security

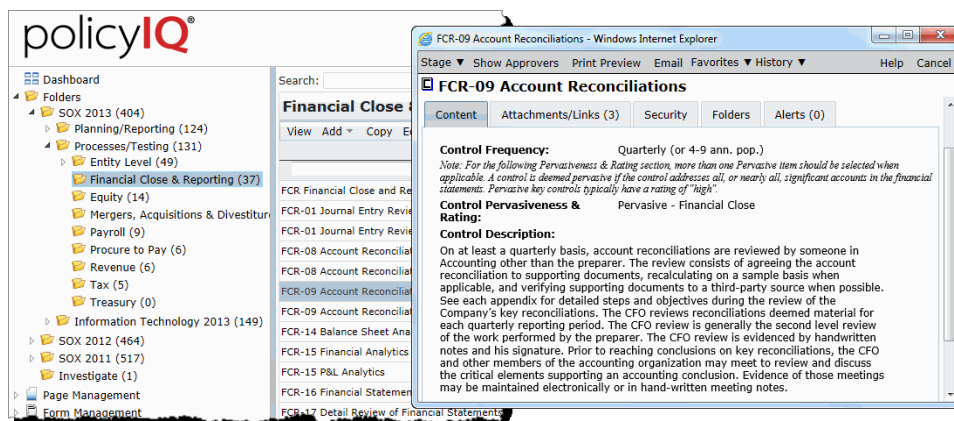


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Using policyIQ, you can simplify your internal controls and compliance process by creating standard templates for your documents, such as risks, controls, tests and issues – capturing the information that’s most critical for you to track and report on. Link pages together to create relationships, and organize them in a flexible, customizable structure. policyIQ’s powerful reporting capability lets you create custom reports to maintain an accurate picture of testing status and summaries, as well as providing insight into your control structure. policyIQ features also help you to ensure that your compliance documentation and testing are continually reviewed and updated. If you are managing your internal controls and compliance efforts manually or with an inflexible system, it can be inefficient or prone to data errors. Get started with policyIQ today to improve your efficiency and accuracy!



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Audit Solution

The process of preparing audit working papers is an important part of the responsibility of an internal audit team; they provide the principal support for an auditor's report. Work-papers enable auditors to stay organized while tracking and documenting the audit process; they increase accuracy and offer assurance that the audit was performed within the specific auditing standards.

Work-papers tracked in shared network drives or in paper binders are cumbersome and inefficient. You need a system to capture your work-papers electronically. You need an easy-to-use, easy-to-implement system that can allow you to organize your data how you want it, one that gives you the ability to report on your data and has built-in workflow for approvals and the ability to track sign-offs.

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With policyIQ you can...

- Analyze results with robust reporting tools, allowing you to easily create and export custom reports
- Customize templates to reflect your language and process for test plans, findings, remediation plans and more
- Perform audits more efficiently with 24/7 global access via any web browser



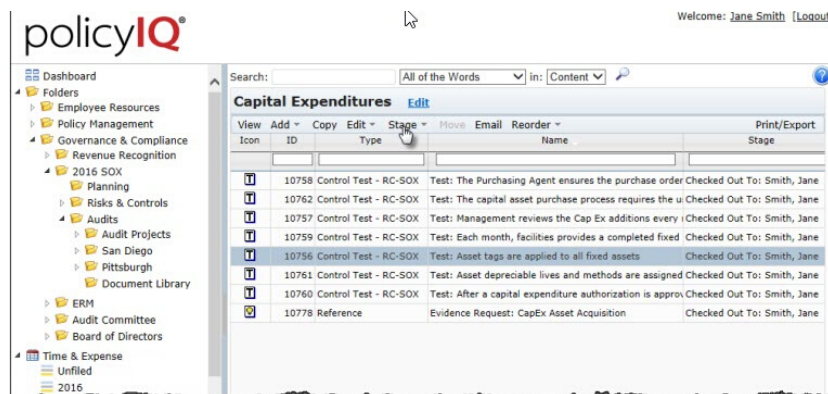
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Using policyIQ, you can easily organize all of your audit plans, test results, findings and management responses into electronic folders. policyIQ is customizable allowing you to capture the information that is most critical for you to track and review or retrieve. Upload supporting documentation directly to the test pages for easy access, and assign action plans to the business owners for follow-up. policyIQ allows you to restrict access to only the information that that each specific user should be able to see or edit, route documentation through the workflow for collaboration and approval, and link your audits to the established policies or procedures. Powerful reporting allows you to easily create custom reports for oversight and analysis of your results.

If you're still using shared directories for your internal audit department, then it's time to investigate how policyIQ will help you to realize significant gains in efficiency!



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Account Reconciliation

Reconciling accounts is one of the most common yet important controls within your accounting process. But with hundreds – or even thousands – of accounts, many organizations struggle under the effort. There are lots of specialized tools that can help, but if you need a simple solution that can help you to keep track of reconciliations, report on results, and keep the process running smoothly, policyIQ is that system.

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Accounting managers have their hands full trying to stay on top of the reconciliation process. Are reconciliations being done on time? Are they reviewed by the right individuals? Is the documentation being stored appropriately? With no automated way to keep track, these are not easy questions to answer.

Bring in policyIQ! Using a customizable template that captures the data you need, such as the account name and number, the total account balance, and the amount of any unreconciled balance, your team will know exactly what needs to be reconciled and when it is due. Prepopulate data each month or quarter to start the process, and assign accounts to the individuals who will be responsible.

The workflow brings the completed reconciliations to the right reviewers immediately and provides management oversight into what has been completed, what is overdue, and where unreconciled balances may persist period over period. Auditors are typically given access to policyIQ, with the ability to drill into any month and view the complete reconciliations and all attached supporting documentation.

There's no question whether the work was done or done on time. You know in real time what is complete when it was done, and by whom.

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The logo for RGP, consisting of the letters 'RGP' in a bold, red, sans-serif font.