White Paper

ColumbiaSoft

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9 ways to improve policy & procedure management.

Document Control Software for Policies and Procedures



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Document Locator document control system

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Ensure certain documents are read by select groups of individuals in your organzation.

About ColumbiaSoft Document Locator



Policy and Procedure Management

Policies and procedures represent the underpinning of an orderly, efficient, and regulatorycompliant business. Although important across many areas of business, they are imperative when regulatory controls and compliance are a concern.

The complexities of managing policies and procedures have long burdened business managers. Oversight, change, communication, and the many other operational tasks involved with policy and procedure management are made even more complicated by the need to record every action, save every amendment, and inform every stakeholder and person affected. When managing this process manually using paper files, shared folders, and email, the chaos of a fluid situation can quickly swamp all efforts of maintaining control.

Electronic document control replaces manual tasks with automated actions. Everything is managed electronically in a controlled system governed by security. This simplifies program administration, and allows more time for insightful policy management while minimizing time spent on paperwork.

Electronic Document Control



Centralize policies and procedures Policies and procedures are managed in a

controlled information management system.



Correlate with objectives Associate policies and procedures with

Associate policies and procedures with regulatory requirements, polices, and corporate objectives.



Record and Communicate

Notify and record acceptance of policy and procedure actions and changes.

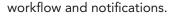


Control supporting information Manage supporting documentation including test results and certifications.



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Manage Exceptions Automate exception procedures with



Report

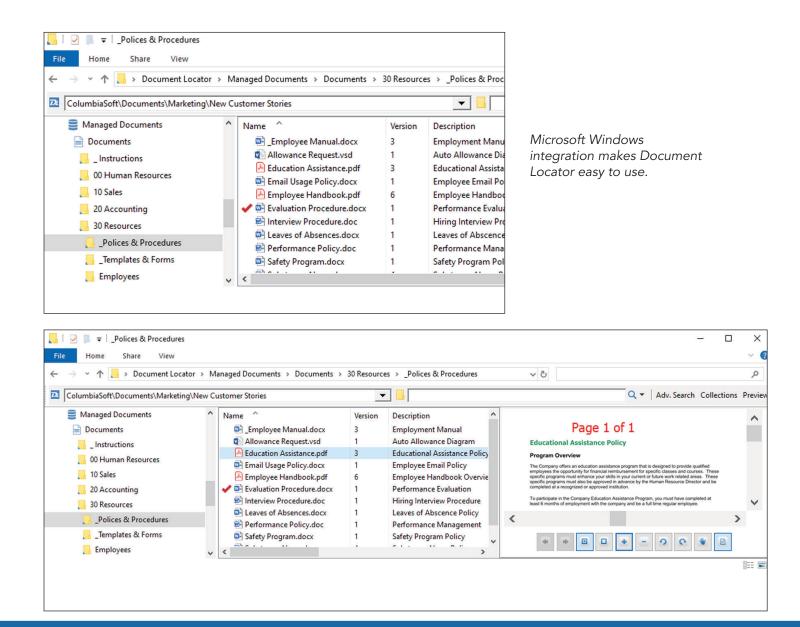
Use reporting tools to roll up oversight and ensure compliance.



ColumbiaSoft White Paper

Getting it right, from the start. Templates bring uniformity and consistency to policies and procedures.

Creating templates in Document Locator establishes consistency with policies and procedures right from the start. Existing policies and procedures are easily imported into the system as well. Document Locator provides security, version control, views, status, approvals, auditing, and overall document control throughout the entire lifecycle of policies and procedures.





A secure environment. Manage and control access with intelligent security.

Managers of policy and procedure programs use built-in security tools based on the familiar Microsoft NT security model to maintain program integrity. Fully customizable role-based security establishes privileges for each person, and limits access or ability to affect changes as necessary.

Authors and editors are granted rights to create and edit document versions through managed check-in/check-out procedures. Editors can also review, edit, compare, promote, and secure document versions from a version history view.

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All prior versions are retained in the system.



Facts about the files. Create a smart catalogue with metadata values.

Metadata are the descriptive values that define characteristics of files and make them easier to locate and correlate. Fully-customizable, these values conform to regulatory and policy needs. Free-form text, dates, numbers, drop-down lists... all property value types are possible. Even nested dynamic properties, and dynamic list values associated with external database tables are possible.

Title:	Document Co	ntrol	Doc No:	QPR-00001	
Type:	Quality System	ns Procedure	Version:	6	
Author	: Sheila Ramerr	man	Release Status:	Production	
tion 1-					
		sistent process for the creatic ality System documents.	on, review, approval, distribu	tion, revision, and	
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Profiling documents with metadata values organizes and correlates information.

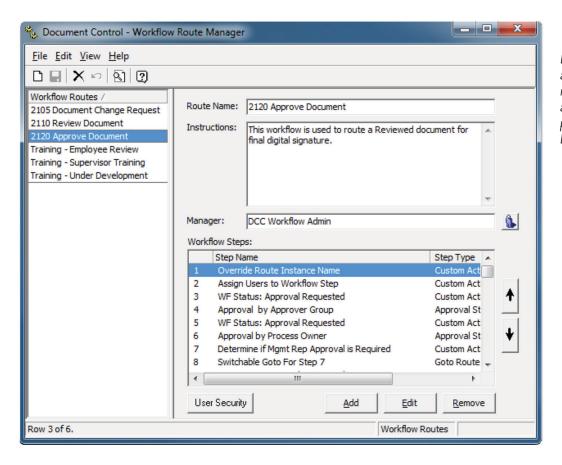


ColumbiaSoft White Paper

4.

Automate, everything. File naming is one of many ways automation reduces errors.

Automating any business procedure is a sure way to increase efficiency and reduce the risk of error. For instance, the use of document properties (metadata values discussed in #3) to determine file naming is one automation procedure that eliminates chaotic, manual naming practices. In another example, in quality, quality procedures can automatically acquire the next available QCP number and append that value to the document's name.



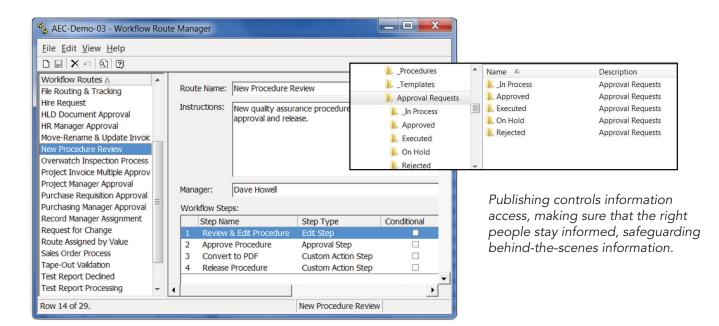
Electronic workflow automates notifications, routing, review procedures, and approval steps for policies and procedures in Document Locator.



5

Keep people informed. Publishing and notifications spread the word.

Final approved policies and procedures are secured and published for people with read-only access. Prior versions and work-in-progress remains safeguarded against unauthorized access. Final documents are locked and branded with an approved indicator. PDF conversion offers additional security options. Notifications inform people as needed, for example when new procedures are approved.





Find the document, fast. Full-text searching streamlines document retrieval.

Full-text searching on the content of documents is a significant advantage over paperbased or non-searchable electronic files. Even legacy documents originating on paper can be scanned and made full-text searchable.

Search on any selection of metadata value to narrow down results and find information even faster. Search criteria can include everything from profile property information to document version number. Document searches are fast and results are returned instantly.

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.pdf	Like	-
Words or phrase in the file:		
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Departmental Files		-
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Record Management		۲
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Advanced search features make it a breeze to find any file, instantly. Custom searches can also be saved and shared with others so they are easily re-used.



Define and manage records policies.
Enforce records management and retention policies according
to the needs of your company.

Records policy management minimizes risk in everything from regulatory compliance, to legal actions, to e-discovery. Policies enforce the necessary procedures for capture, identification, storage, and disposition of files according to business requirements.

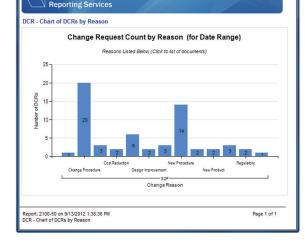
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Record Policies & A Accounting Policies & Procedures Archive Records - 10 Years Employee Records - 10 Years Investment Policies & Procedures Legal Cient Records - 15 Years Medical Records - 15 Years Medical Records - 25 Years Personnel Policies & Procedures Portfolo Records - 15 Years Project Records - 12 Years Property Records - 13 Years Property Records - 30 Years Xpired Records	Description: Accounting Category: Legal Manager: System Adn General E Record E 15 Record C 1	in xpiration Action quiration Period: Years yde Period: Yearly yde Start Date:	ures Records Policy (SO)	(Compliance) Expiration Notification Messag Accounting Policies & Procedure records have been retained for 15-years per the legal record retention policy and are now ready for review by the records manager prior to final archive.		Document Locator's records retention feature in the Records Policy manager tool protects files from accidental or unauthorized alteration or destruction.		
	Record C	User	File Name	Event	Event Date /		Version	Message
Row 1 of 13.	Lock f	cssadmin cssadmin cssadmin	Employee Handbook.do	cx Check Out	12/15/2010	0 09:44:51 AM 0 09:45:01 AM 0 09:45:02 AM	5	Final Legal Approval
		cssadmin	Employee Handbook.pd		12/15/2010	09:45:06 AM	6	PDF Rendered from version 5.0
		cssadmin	Employee Handbook.pd		12/15/2010	09:45:33 AM	6	Copied file to Managed Documents\Documents\30 Resources\Published\
		cssadmin	Employee Handbook.pd	f Record Policy Assigned	01/20/2011	02:08:15 PM	6	Retention policy was changed from to Personnel Policies & Procedures with statu Assigned
		cssadmin	Employee Handbook.pd	f View Document	03/29/2011	10:10:01 AM	6	



Report on the facts. Accountability and proof of compliance benefit with accurate reporting

Reporting provides a worry-free way for managers to validate compliance and improve the efficiency of policy and procedure programs. For instance, by measuring policy acceptance, reports can validate compliance with standards and regulations. Reports can also track review and approval cycles for policies and procedures that are under development or in revision, simplifying the management of program administration.

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2SR-0100	6/1/2012	steve_qa_e	-	Rev Author	Look's good one small typo in sections 3.2.2	John QA_Eng1	06/01/2012		
				Rev Author	I am the author of this QSR	Steve QA_Eng2	06/01/2012		
				Step 07 - Pause to break the chain for Rev Author	Looks good Susan QA Mgr	Susan QA_Mgr	06/01/2012		
				Step 07 - Pause to break the chain for Rev Author	Looks good to me, Ann	Ann DCManager	06/01/2012		
				Step 08 - Parallel Review of Document	Review is complete, typo in section 3.2.2 has been corrected	Steve QA_Eng2	06/01/2012		
				Step 09 - Is the Review of This Document Complete?	QSR-0100 is ready to have the effective date set	Liz DCoordinator	06/01/2012		
			2110 Review Document	Step 15 - Set Revision Effective Date	Set the effective date to 6/4/2012 and updated the Revision Table accordingly	Liz DCoordinator	06/01/2012		
				Step 17 - Date Effective not set	The Notify User step completed.	System Admin	06/01/2012		
		2120 Approve Document	t Step 07 - Parallel Approval of Document	Approved and signed as John QA Eng1	John QA_Eng1	06/01/2012			
		2120 Approve Document	t Step 07 - Parallel Approval of Document	Approved and signed as Steve QA Eng2	Steve QA_Eng2	06/01/2012			
			2120 Approve Documen	t Step 07 - Parallel Approval of Document	Approved and signed as Susan QA Mgr	Susan QA_Mgr	06/01/2012		
			2120 Approve Documen	t Step 07 - Parallel Approval of Document	Approved and signed as Ann DCM	Ann DCManager	06/01/2012		
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Over 25 standard reports are included in Document Locator covering metrics, workflow details, and other program intelligence. Custom reports are also possible, and are configured using Microsoft SQL Server Reporting technology.



Track acknowledgement. Capture a record of receipt and acknowledgement

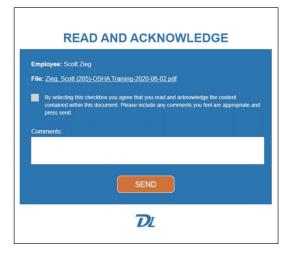
Capture a record that policies, procedures, SOPs, manuals and other important documents have been received and read by employees. Policy managers can distribute files to groups of employees or the entire organization.

Required Reading

Send policies as "required reading" for a select group of employees or the entire organization. When a new document is published, a workflow is created that sends out a notification to individuals that they are required to read the document. After reading the document they must then click a checkbox to indicate that they have completed the task. The workflow will decline the task if the user has not, at the very least, opened and viewed the document.

Read and Acknowledge

When a new policy is published, a workflow is created that sends out a notification informing individuals that they are required to read the document. After reading the document they must then click a checkbox to indicate that they have completed the task. With Read and Acknowledge, a new document is created with a signed digital signature page and stored in the employee's personal folder.







About ColumbiaSoft Document Locator

Information managers use Document Locator software to control and share paper and electronic documents, e-mail, faxes, and other electronic files with accuracy and precision. The software reduces costs, increases productivity, and automates business processes, while helping to ensure continued compliance with regulations and policies. ColumbiaSoft is a Microsoft Partner and an Adobe Solutions Network developer. Our products are fully integrated into popular applications such as Microsoft Windows, Office, Outlook, SharePoint, Adobe Acrobat, AutoCAD, and more. Founded in 1998, ColumbiaSoft is headquartered in Portland, Oregon. For more information, visit www.DocumentLocator.com.

800.298.1172 www.DocumentLocator.com









