



A Partner Solution for Cross Industry

Centrally Manage Compliance Policies, Processes, Procedures and Control Documentation

IBM **Information Management** software

The Sword Group Sword Achiever Suite for IBM FileNet P8 – Policy & Controls Management

Partner Solution

■ **Target Industry**

Compliance

Cross Industry

■ **Business Applications**

Document Management and

Training & Skills Management

■ **Products**

*IBM FileNet Business Process
Manager*

IBM FileNet Content Manager

Business Challenge

Policies, process and controls are central to effective Governance, Risk and Compliance (GRC) management because regulators and external auditors need to see how an organization has defined its adherence to regulatory, legislative and best practice requirements and how this is communicated across the enterprise. Since most regulated processes are enabled by IT, IT plays an important role in the management of policies, processes and controls.

A central integrated policy and controls management solution enables organizations to ensure the latest version of a document is always available, with integral full audit capabilities. Document management systems that support electronic workflow processes expedite deployment of new or revised documentation and eliminate the need for a paper-based, stand alone or manual system for editing and approvals. These systems also support electronic signatures, which map to a wide range of compliance requirements including 21CFR Part 11 Electronic Records and Electronic Signatures for secure signing and compliance with Food and Drug Administration requirements.

Also key is integration with training skills systems so that training requirements are created

automatically when new employees join, and/or as revisions are published, to ensure that policy and process changes invoke notification of the need for training.

Solution

Two key areas of GRC that are addressed within the Sword Achiever Plus Suite for IBM FileNet P8 - Policy & Controls Management module are: Document Management and Training & Skills Management. Together, with the other modules in the Suite, they form the foundation for a single corporate-wide unified IBM Enterprise Content Management (ECM) enabled GRC platform.

Document Management is the control system for managing documents that describe corporate policies, standard operating procedures (SOPs), or provide instruction on how to carry out business processes. Documents of this nature have legal, regulatory and/or best practice compliance requirements (e.g., forms, price lists, terms and conditions, reference documents, communication media such as website content, published articles, recruitment advertisements). The Sword solution manages the creation, review, approval and distribution of documents; offers version control so that only the most current versions are available; secures information through role-based

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access, automatically protecting documents and applying retention periods; and provides workflow and escalation processes.



Training & Skills Management is the control system for managing training requirements via the integration with Document Management. The solution offers automatic links from training requirements to associated documents, ensuring trainees can find documentation easily. The system provides an enterprise-wide matrix of skills and competencies held by personnel. Reports of “who has read what,” supports compliance with regulatory and legislative standards. Training and skills requirements can be associated with job descriptions so that new employees are automatically directed to required training. Outstanding course requirements are highlighted via the course management feature.

Value Proposition

The Sword solution addresses Document Management and Training & Skills Management requirements, ensuring organizations have a controlled and consistent approach to address regulatory, legislative and best practice requirements and that these policies are effectively communicated throughout the organization.

The solution features an intuitive interface with customer configurable document types, categorization and keywords to ensure users can easily find information. All requested reviews, approvals and notifications are sent via email notification, using existing and familiar email systems. This supports fast user acceptance and reduces training requirements.

Changing documented policies, processes, risk assessments or other compliance documentation automatically generates notification of a training need, reducing the risk of non-compliance. Electronic workflow processes expedite deployment of new or revised documentation and reduce the cost and risk of stand alone or manual systems.

The solution can be installed alone and also integrates with the three other key capability areas of the Achiever Suite offering. The Achiever Suite for IBM FileNet P8 is quickly deployed and may provide a complete return on investment in as little as 12-18 months.

The Sword Achiever Suite for IBM FileNet P8 offers a progressive approach to GRC management by enabling enterprise-wide control over GRC policies, processes and controls via a single integrated framework, for simplified management and reduced costs.

Company Description

Established in 1993, Achiever Business Solutions is part of The Sword Group (www.sword-group.com), and is the European leader in Governance Risk & Compliance management software, with more than 600 customers across the globe.

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