ProcessGene™
Business Process Realization

ProcessGene™ GRC

302 Certification Survey Automation

Solution Presentation

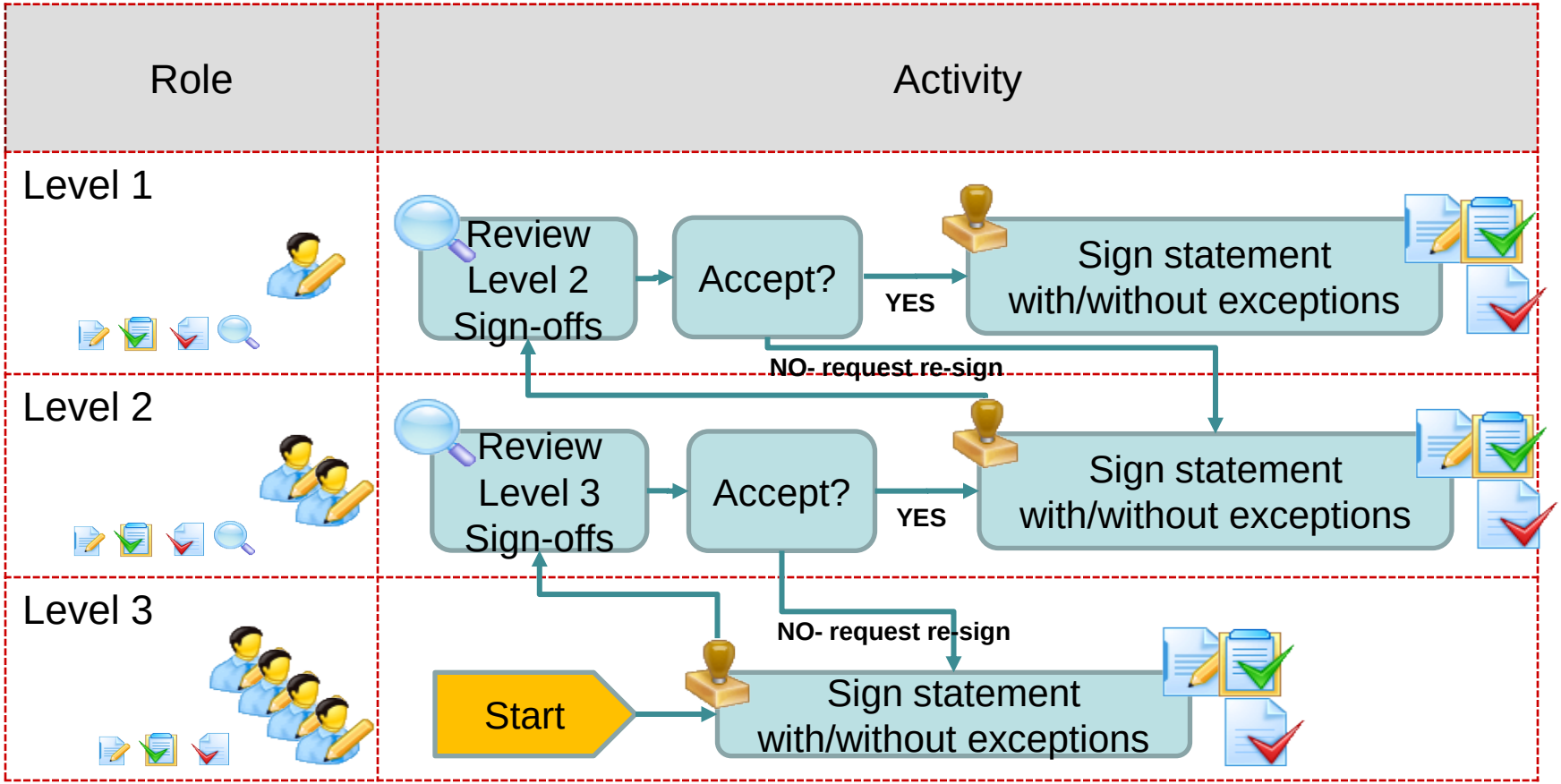
Design Processes • Supervise Realization • Control Changes • Enforce Compliance

302 Certification Process Automation

- An ongoing enterprise-wide acknowledgment process. Relatively complex:
  - Involves subsidiaries and employees in several geographical locations
  - Different sign-off statements for different org-levels
  - Can be prone to errors when managed manually
- Goals:
  - Automate the SOX 302 sign-off process
  - Simplify monitoring and enhance visibility
  - Maintain sign-off evidence with full audit trail

Copyright © 2014

Workflow


Role
Activity
Level 1
Review Level 2 Sign-offs
Accept?
YES
Sign statement with/without exceptions
NO- request re-sign
Level 2
Review Level 3 Sign-offs
Accept?
YES
Sign statement with/without exceptions
NO- request re-sign
Level 3
Start
Sign statement with/without exceptions

Solution Demonstration

Tree view

Quick Search

- Model root
  - CEO
    - VP- North America
      - Manager- USA
        - Regional Manager #1
        - Regional Manager #2
        - Regional Manager #3
      - Manager- Canada
        - Regional Manager #4
        - Regional Manager #5
        - Regional Manager #6
    - VP- Europe
    - VP- Middle East & Africa
    - VP- South America
    - VP- Asia & Australia

Tree view | Search results

No Workgroup

Model root › Diagnostics - Organizational tasks

Diagnostics - Organizational tasks

Presentation of all late user and manager emails

Organizational tasks

Data rows: 30

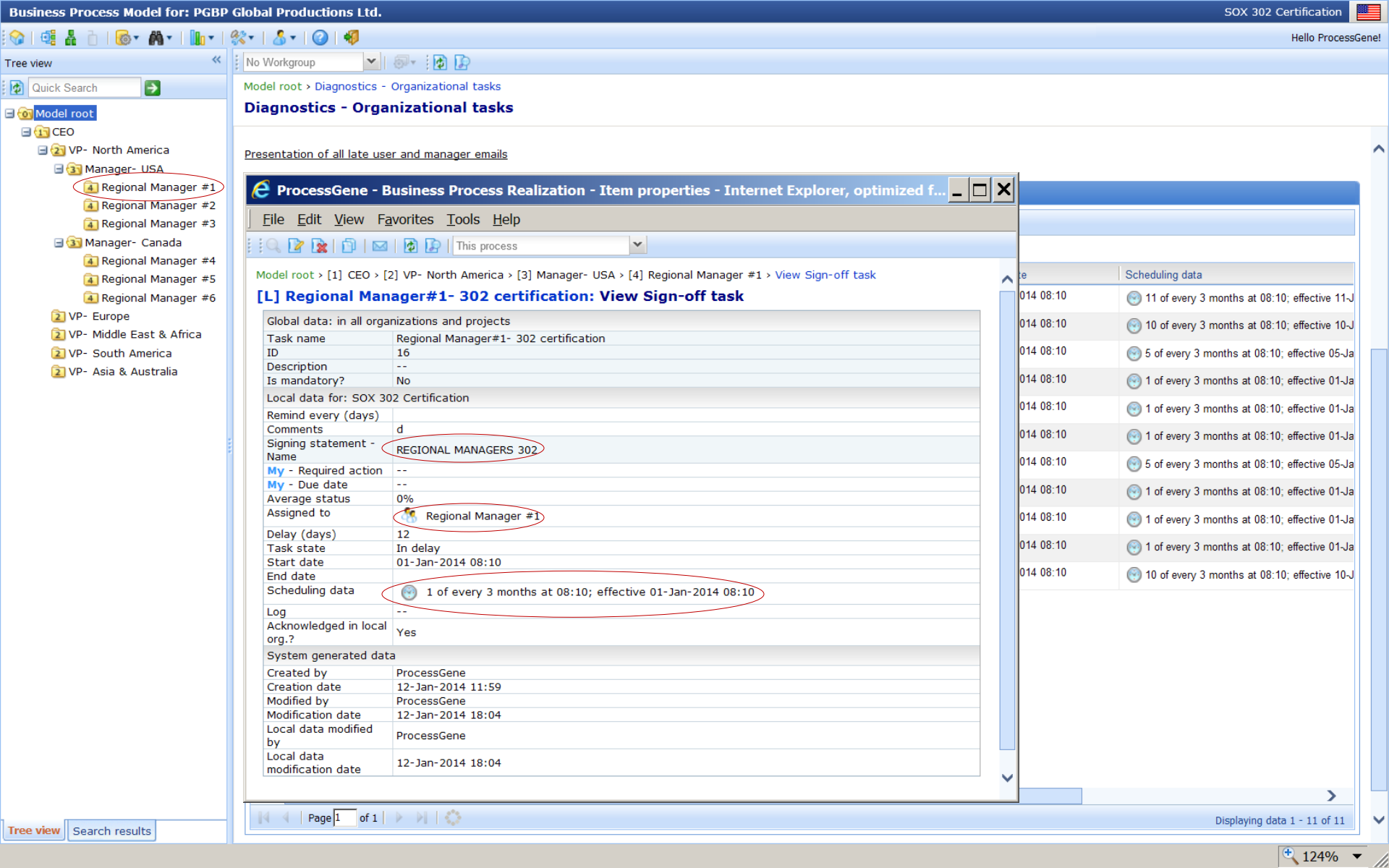
Assigned to: Please type...

#	Task name	Signing statement - Name	Assigned to	Start date	Scheduling data
1	CEO- 302 certification		CEO	11-Jan-2014 08:10	11 of every 3 months at 08:10; effective 11-J
2	VP- North America- 302 certification	REGIONAL VPs 302	VP- North America	10-Jan-2014 08:10	10 of every 3 months at 08:10; effective 10-J
3	Manager- USA- 302 certification	COUNTRY MANAGERS 302	Manager- USA	05-Jan-2014 08:10	5 of every 3 months at 08:10; effective 05-Ja
4	Regional Manager#1- 302 certification	REGIONAL MANAGERS 302	Regional Manager #1	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Ja
5	Regional Manager#2- 302 certification	REGIONAL MANAGERS 302	Regional Manager #2	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Ja
6	Regional Manager#3- 302 certification	REGIONAL MANAGERS 302	Regional Manager #3	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Ja
7	Manager- Canada- 302 certification	COUNTRY MANAGERS 302	Manager- Canada	05-Jan-2014 08:10	5 of every 3 months at 08:10; effective 05-Ja
8	Regional Manager#4- 302 certification	REGIONAL MANAGERS 302	Regional Manager #4	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Ja
9	Regional Manager#5- 302 certification	REGIONAL MANAGERS 302	Regional Manager #5	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Ja
10	Regional Manager#6- 302 certification	REGIONAL MANAGERS 302	Regional Manager #6	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Ja
11	VP- Europe- 302 certification	REGIONAL VPs 302	VP-Europe	10-Jan-2014 08:10	10 of every 3 months at 08:10; effective 10-J

Page 1 of 1

Displaying data 1 - 11 of 11

124%


Business Process Model for: PGBP Global Productions Ltd.
SOX 302 Certification
Hello ProcessGene!
Tree view
Quick Search
No Workgroup
Model root
CEO
VP- North America
Manager- USA
Regional Manager #1
Regional Manager #2
Regional Manager #3
Manager- Canada
Regional Manager #4
Regional Manager #5
Regional Manager #6
VP- Europe
VP- Middle East & Africa
VP- South America
VP- Asia & Australia
Model root › Diagnostics - Organizational tasks
Diagnostics - Organizational tasks
Presentation of all late user and manager emails
ProcessGene - Business Process Realization - Item properties - Internet Explorer, optimized f...
File Edit View Favorites Tools Help
This process
Model root › [1] CEO › [2] VP- North America › [3] Manager- USA › [4] Regional Manager #1 › View Sign-off task
[L] Regional Manager#1- 302 certification: View Sign-off task
Global data: in all organizations and projects
Task name
Regional Manager#1- 302 certification
ID
16
Description
--
Is mandatory?
No
Local data for: SOX 302 Certification
Remind every (days)
Comments
d
Signing statement - Name
REGIONAL MANAGERS 302
My - Required action
--
My - Due date
--
Average status
0%
Assigned to
Regional Manager #1
Delay (days)
12
Task state
In delay
Start date
01-Jan-2014 08:10
End date
Scheduling data
1 of every 3 months at 08:10; effective 01-Jan-2014 08:10
Log
--
Acknowledged in local org.?
Yes
System generated data
Created by
ProcessGene
Creation date
12-Jan-2014 11:59
Modified by
ProcessGene
Modification date
12-Jan-2014 18:04
Local data modified by
ProcessGene
Local data modification date
12-Jan-2014 18:04
Scheduling data
11 of every 3 months at 08:10; effective 11-J
10 of every 3 months at 08:10; effective 10-J
5 of every 3 months at 08:10; effective 05-Ja
1 of every 3 months at 08:10; effective 01-Ja
10 of every 3 months at 08:10; effective 10-J
Page 1 of 1
Displaying data 1 - 11 of 11
Tree view
Search results
124%

Regional Manager #1

Tree view

Quick Search

- Model root
  - CEO
    - VP- North America
      - Manager- USA
        - Regional Manager #1
        - Regional Manager #2
        - Regional Manager #3
      - Manager- Canada
        - Regional Manager #4
        - Regional Manager #5
        - Regional Manager #6
    - VP- Europe
    - VP- Middle East & Africa
    - VP- South America
    - VP- Asia & Australia

Tree view | Search results

No Workgroup

Model root › My Home Page

My Home Page

Project steps

GRC (Governance, Risk and Compliance management)

Document Processes, Risks & Controls | Test, Evaluate, Remediate | Signatures | Reporting & Diagnostics

My tasks

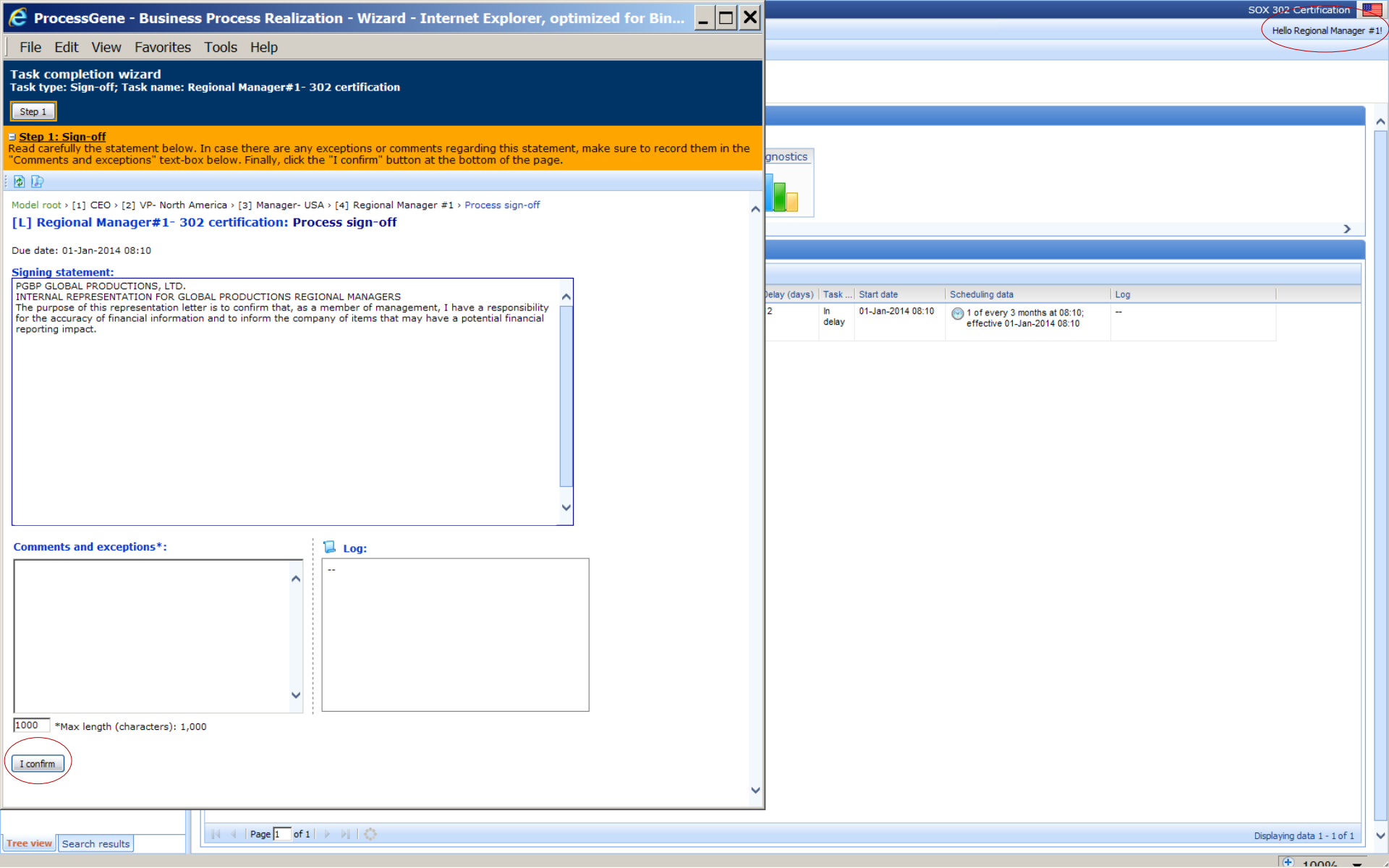
Data rows: 30

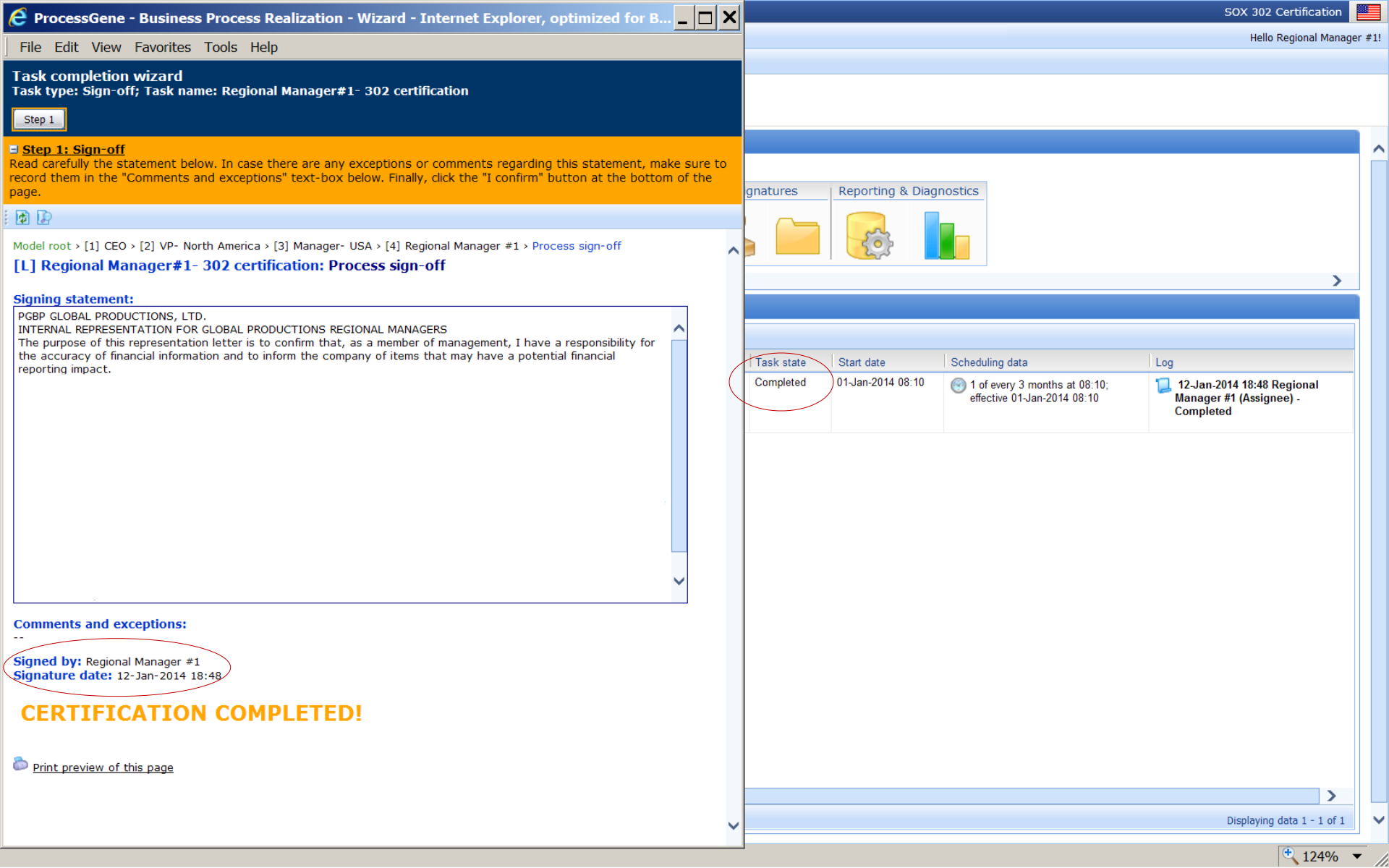
	#	Task name	Signing statement - Na...	My - Required action	My - Due date	Averag...	Assigned to	Delay (days)	Task ...	Start date	Scheduling data
	1	Regional Manager#1- 302 certification	REGIONAL MANAGERS 302	Approve now	01-Jan-2014 08:10	0%	Regional Manager #1	12	In delay	01-Jan-2014 08:10	1 of every 3 months at 08:10; effective 01-Jan-2014 08:10

Page 1 of 1

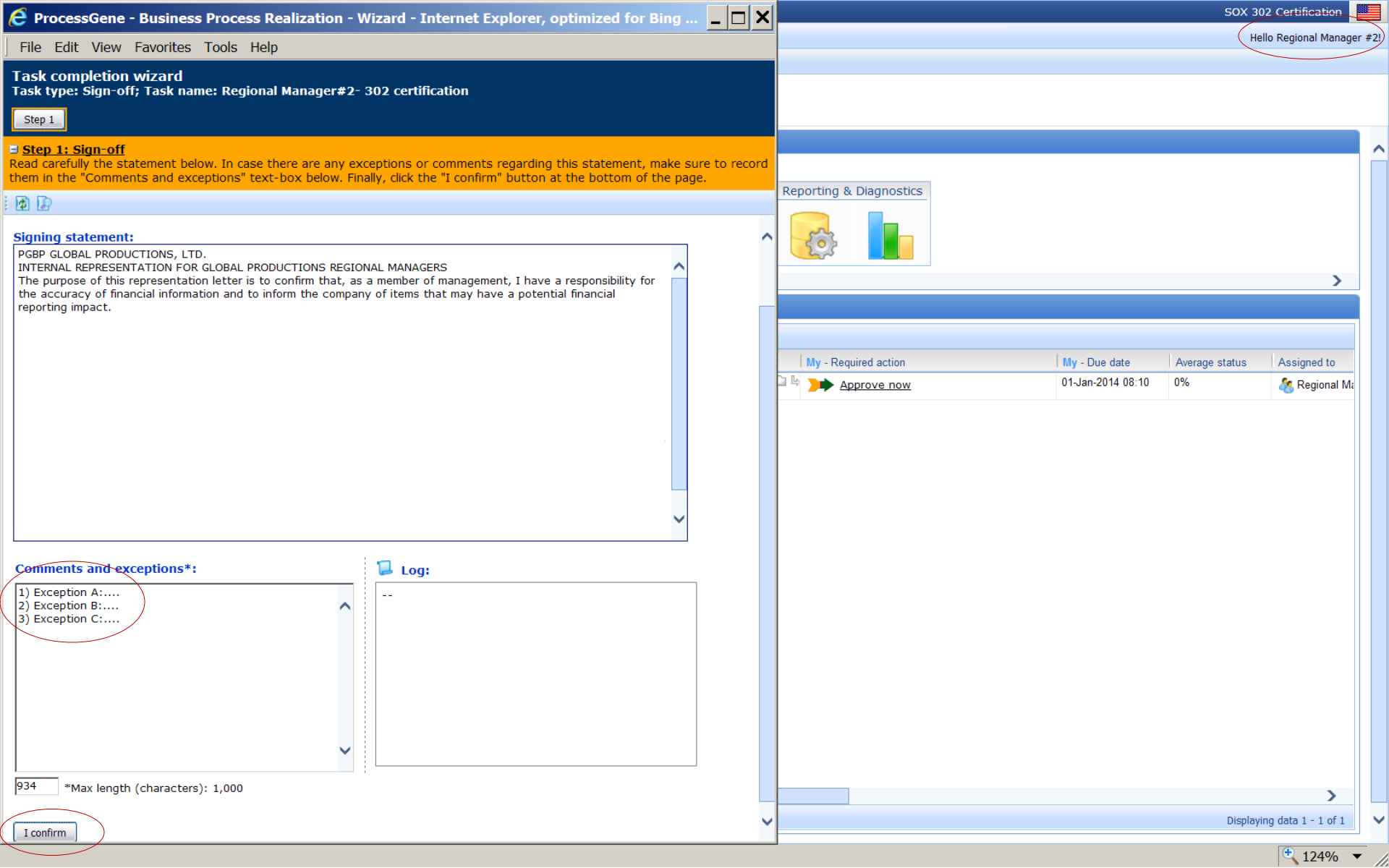
Displaying data 1 - 1 of 1

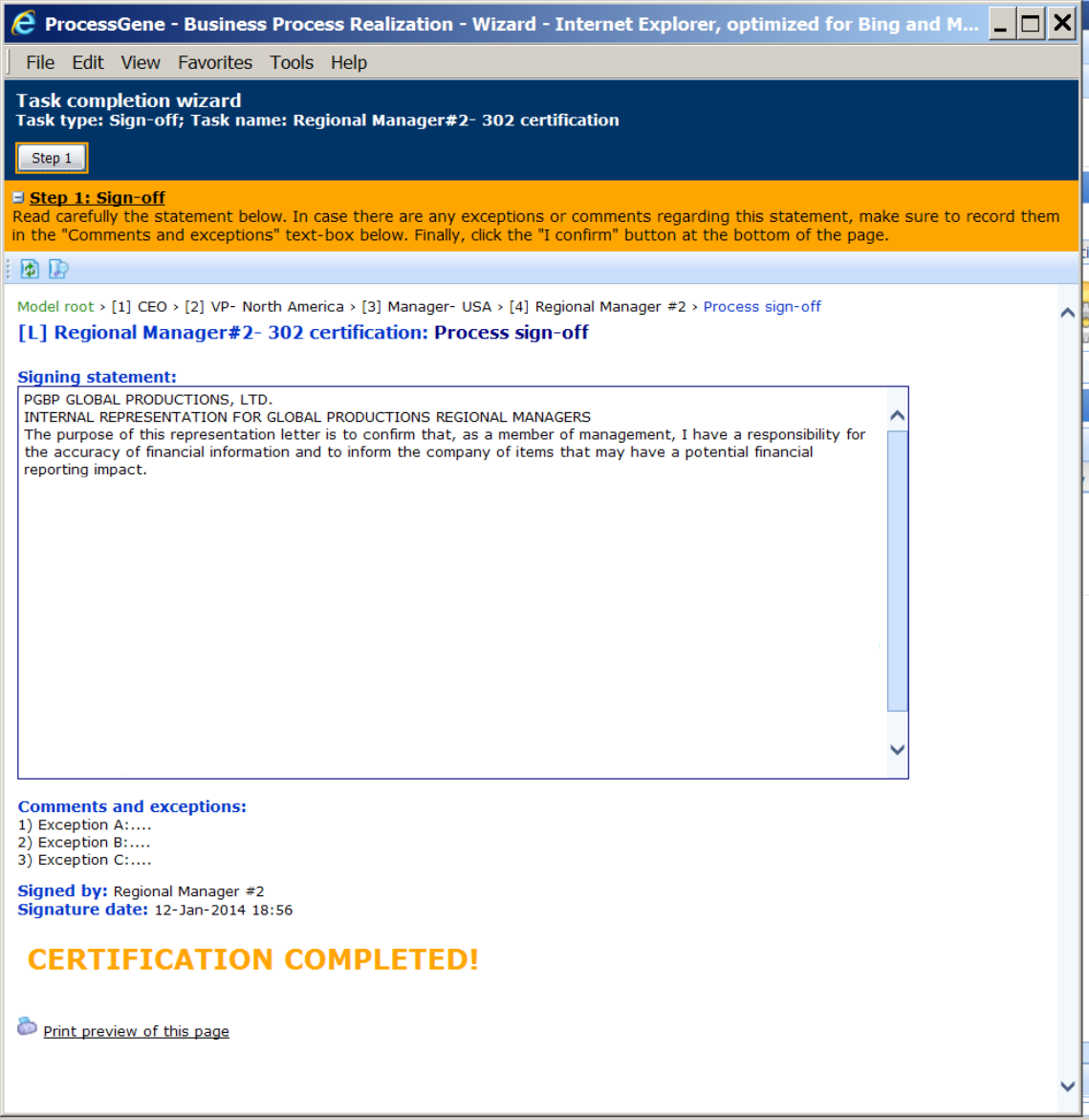
124%

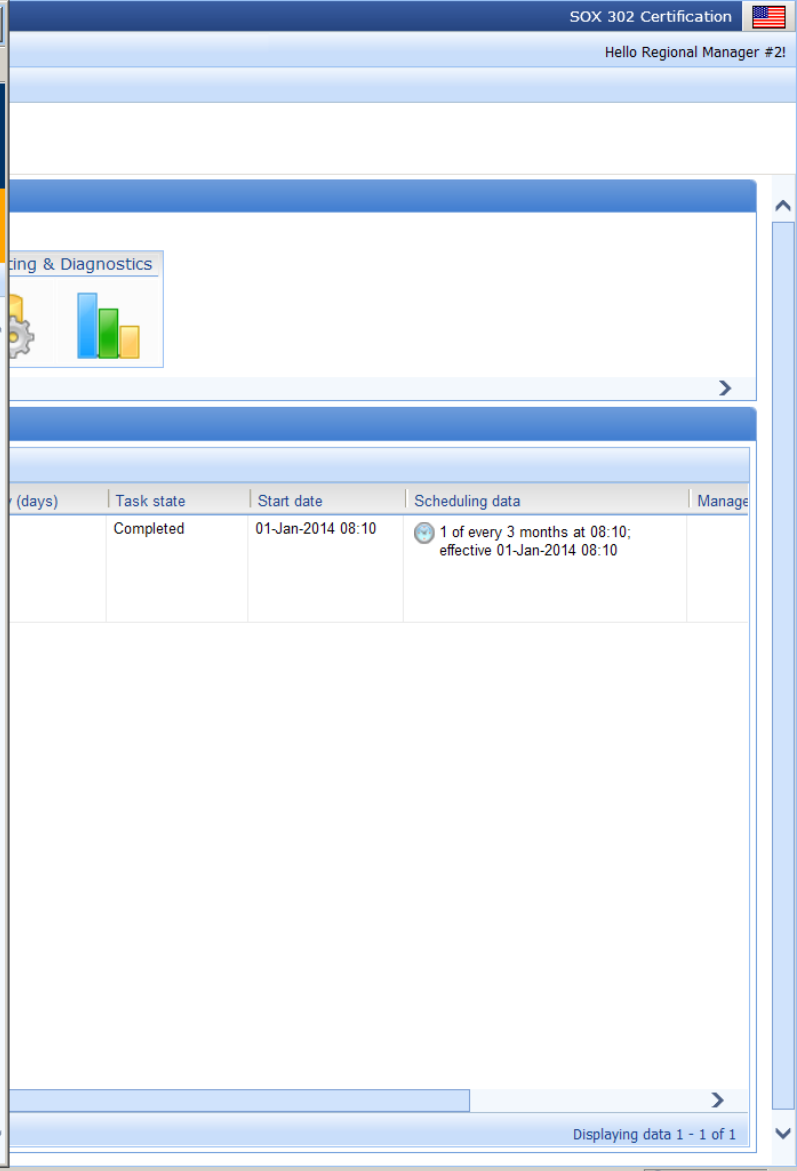

ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bin...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Regional Manager#1- 302 certification
Step 1
Step 1: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Model root › [1] CEO › [2] VP- North America › [3] Manager- USA › [4] Regional Manager #1 › Process sign-off
[L] Regional Manager#1- 302 certification: Process sign-off
Due date: 01-Jan-2014 08:10
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions*:
Log:
--
1000
*Max length (characters): 1,000
I confirm
SOX 302 Certification
Hello Regional Manager #1!
gnostics
Delay (days)
Task ...
Start date
Scheduling data
Log
2
In delay
01-Jan-2014 08:10
1 of every 3 months at 08:10; effective 01-Jan-2014 08:10
--
Tree view
Search results
Page 1 of 1
Displaying data 1 - 1 of 1


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for B...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Regional Manager#1- 302 certification
Step 1
Step 1: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Model root › [1] CEO › [2] VP- North America › [3] Manager- USA › [4] Regional Manager #1 › Process sign-off
[L] Regional Manager#1- 302 certification: Process sign-off
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions:
--
Signed by: Regional Manager #1
Signature date: 12-Jan-2014 18:48
CERTIFICATION COMPLETED!
Print preview of this page
SOX 302 Certification
Hello Regional Manager #1!
gnatures
Reporting & Diagnostics
Task state
Start date
Scheduling data
Log
Completed
01-Jan-2014 08:10
1 of every 3 months at 08:10; effective 01-Jan-2014 08:10
12-Jan-2014 18:48 Regional Manager #1 (Assignee) - Completed
Displaying data 1 - 1 of 1
124%

Regional Manager #2


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing ...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Regional Manager#2- 302 certification
Step 1
Step 1: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions*:
1) Exception A:....
2) Exception B:....
3) Exception C:....
Log:
--
934
*Max length (characters): 1,000
I confirm
SOX 302 Certification
Hello Regional Manager #2!
Reporting & Diagnostics
My - Required action
My - Due date
Average status
Assigned to
Approve now
01-Jan-2014 08:10
0%
Regional Ma
Displaying data 1 - 1 of 1
124%


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and M...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Regional Manager#2- 302 certification
Step 1
Step 1: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Model root › [1] CEO › [2] VP- North America › [3] Manager- USA › [4] Regional Manager #2 › Process sign-off
[L] Regional Manager#2- 302 certification: Process sign-off
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions:
1) Exception A:....
2) Exception B:....
3) Exception C:....
Signed by: Regional Manager #2
Signature date: 12-Jan-2014 18:56
CERTIFICATION COMPLETED!
Print preview of this page


SOX 302 Certification
Hello Regional Manager #2!
ting & Diagnostics
(days)
Task state
Start date
Scheduling data
Manage
Completed
01-Jan-2014 08:10
1 of every 3 months at 08:10; effective 01-Jan-2014 08:10
Displaying data 1 - 1 of 1
124%

USA Manager

ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and MSN

File Edit View Favorites Tools Help

Task completion wizard

Task type: Sign-off; Task name: Manager- USA- 302 certification

Step 1 Step 2

Step 1: Review sub-ordinate sign-offs

Before you sign-off your statement, please review the sign-off status of employees under your supervision.

This process + sub processes

Sign-off - Signing status distribution per assigned user (out of started tasks)

Sign-off - Signing status distribution per assigned user (out of started tasks)	Signing completed	Signing in process	Signing in delay	Total
Sign-off tasks	2	0	1	3
Sign-off tasks - %	67%	0%	33%	100%

Sign-off - Signing status distribution per assigned user (out of started tasks)

Data rows: 30

#	Task name	User full name	Comments and exceptions	Signature date	Signed statement	Status	Delay (days)	Log	Reject/Remind
3	Regional Manager#1- 302 certification	Regional Manager #1		12-Jan-2014 18:48		Signing completed			
1	Regional Manager#2- 302 certification	Regional Manager #2	1) Exception A:.... 2) Exception B:.... 3) Exception C:....	12-Jan-2014 18:56		Signing completed			
2	Regional Manager#3- 302 certification	Regional Manager #3				Signing in delay	12	--	

Page 1 of 1 Displaying data 1 - 3 of 3

SOX 302 Certification

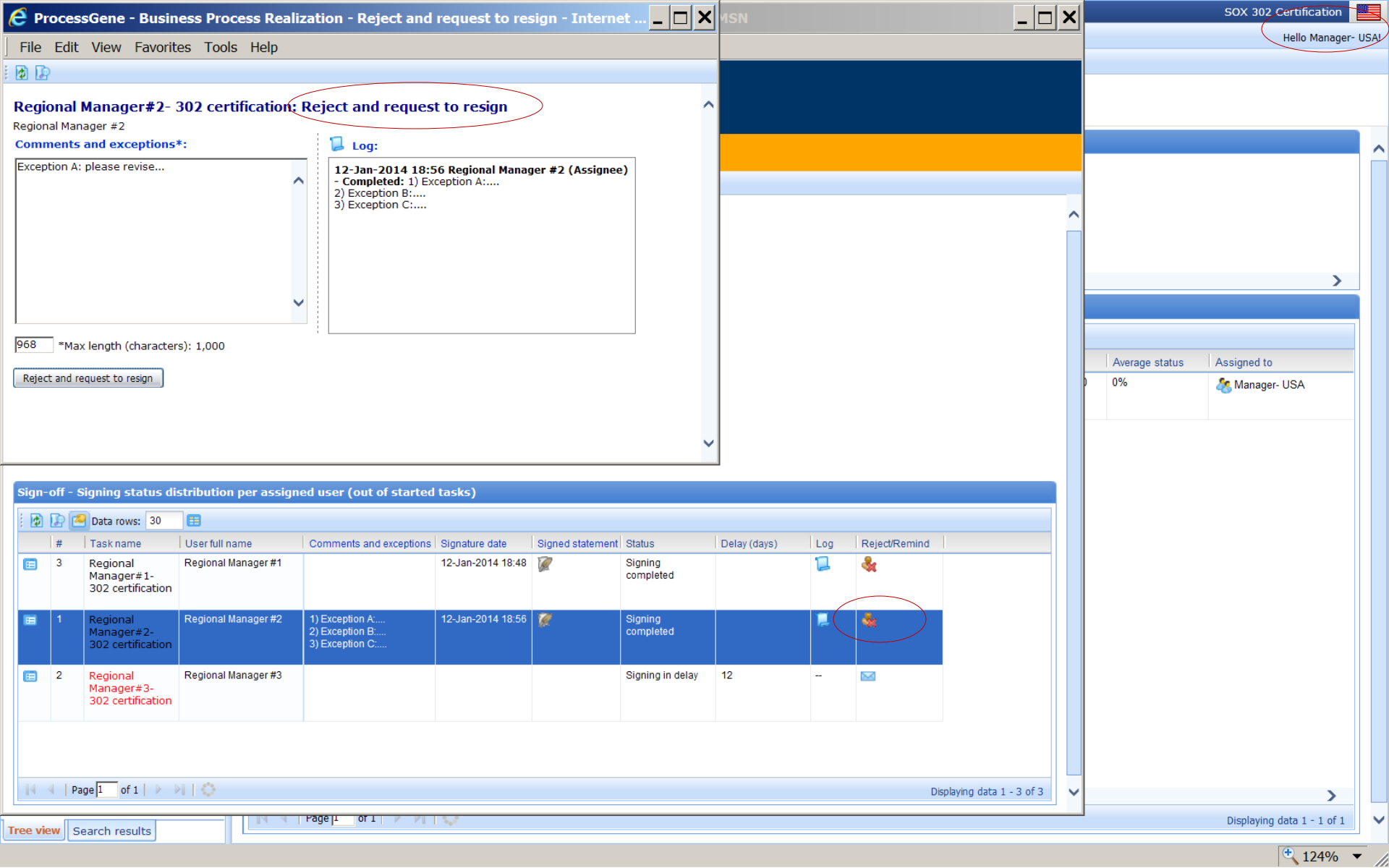
Hello Manager- USA!

Average status	Assigned to
0%	Manager- USA

Displaying data 1 - 1 of 1

Tree view Search results

124%


ProcessGene - Business Process Realization - Reject and request to resign - Internet ...
File Edit View Favorites Tools Help
Regional Manager#2- 302 certification: Reject and request to resign
Regional Manager #2
Comments and exceptions*:
Exception A: please revise...
Log:
12-Jan-2014 18:56 Regional Manager #2 (Assignee)
- Completed: 1) Exception A:....
2) Exception B:....
3) Exception C:....
968 *Max length (characters): 1,000
Reject and request to resign
SOX 302 Certification
Hello Manager- USA!
Average status
Assigned to
0%
Manager- USA
Sign-off - Signing status distribution per assigned user (out of started tasks)
Data rows: 30
Task name User full name Comments and exceptions Signature date Signed statement Status Delay (days) Log Reject/Remind
3 Regional Manager#1- 302 certification Regional Manager #1 12-Jan-2014 18:48 Signing completed
1 Regional Manager#2- 302 certification Regional Manager #2 1) Exception A:.... 2) Exception B:.... 3) Exception C:.... 12-Jan-2014 18:56 Signing completed
2 Regional Manager#3- 302 certification Regional Manager #3 Signing in delay 12 --
Page 1 of 1
Displaying data 1 - 3 of 3
Displaying data 1 - 1 of 1
Tree view
Search results
124%

ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and MSN

File Edit View Favorites Tools Help

SOX 302 Certification

Hello Manager- USA!

Task completion wizard

Task type: Sign-off; Task name: Manager- USA- 302 certification

Step 1 Step 2

Step 1: Review sub-ordinate sign-offs

Before you sign-off your statement, please review the sign-off status of employees under your supervision.

This process + sub processes

Sign-off - Signing status distribution per assigned user (out of started tasks)

Sign-off - Signing status distribution per assigned user (out of started tasks)	Signing completed	Signing in process	Signing in delay	Total
Sign-off tasks	2	0	1	3
Sign-off tasks - %	67%	0%	33%	100%

Sign-off - Signing status distribution per assigned user (out of started tasks)

Data rows: 30

#	Task name	User full name	Comments and exceptions	Signature date	Signed statement	Status	Delay (days)	Log	Reject/Remind
3	Regional Manager#1- 302 certification	Regional Manager #1		12-Jan-2014 18:48		Signing completed			
1	Regional Manager#2- 302 certification	Regional Manager #2				Signing in delay	1		
2	Regional Manager#3- 302 certification	Regional Manager #3				Signing in delay	12	--	

Page 1 of 1

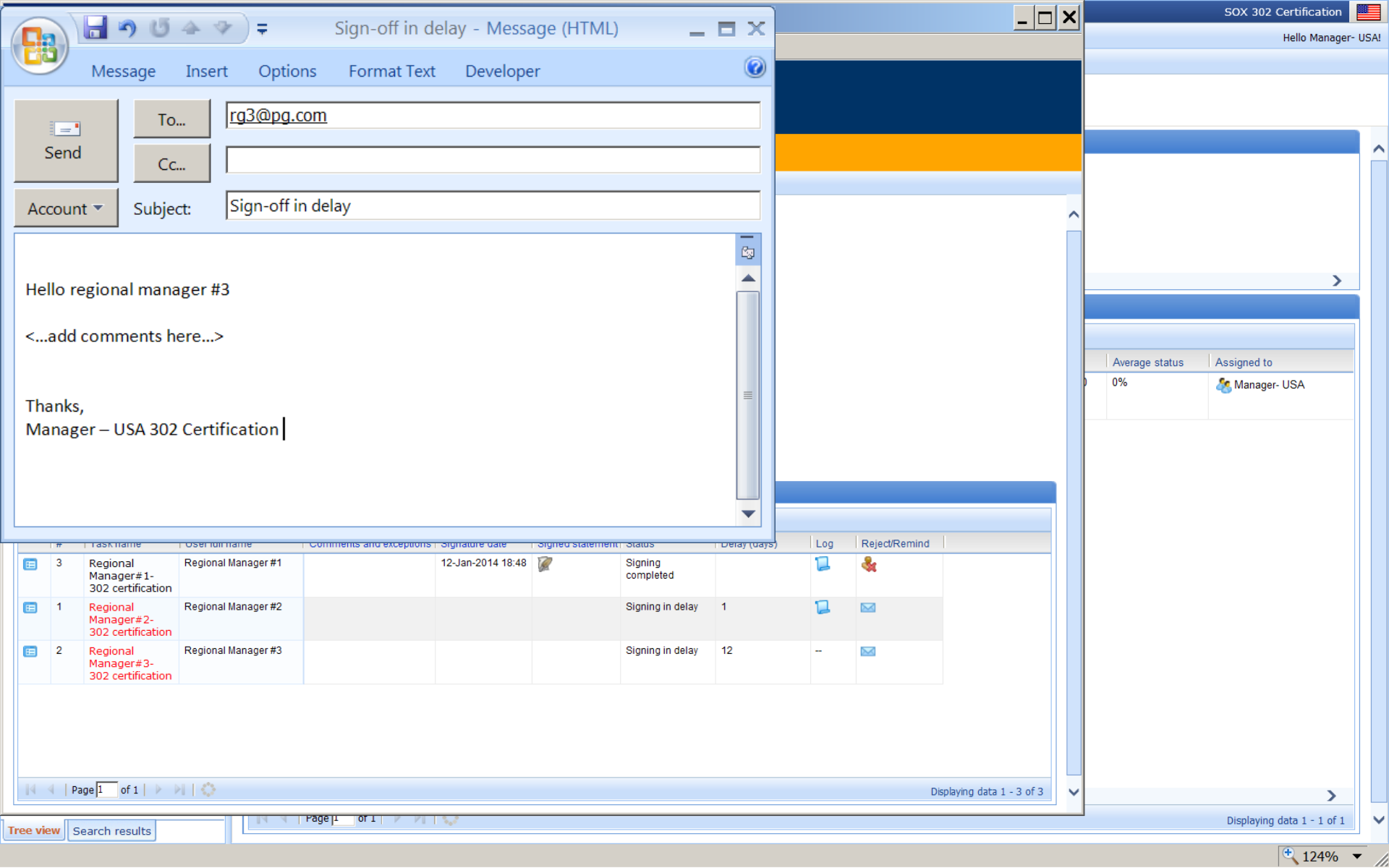
Displaying data 1 - 3 of 3

Average status	Assigned to
0%	Manager- USA

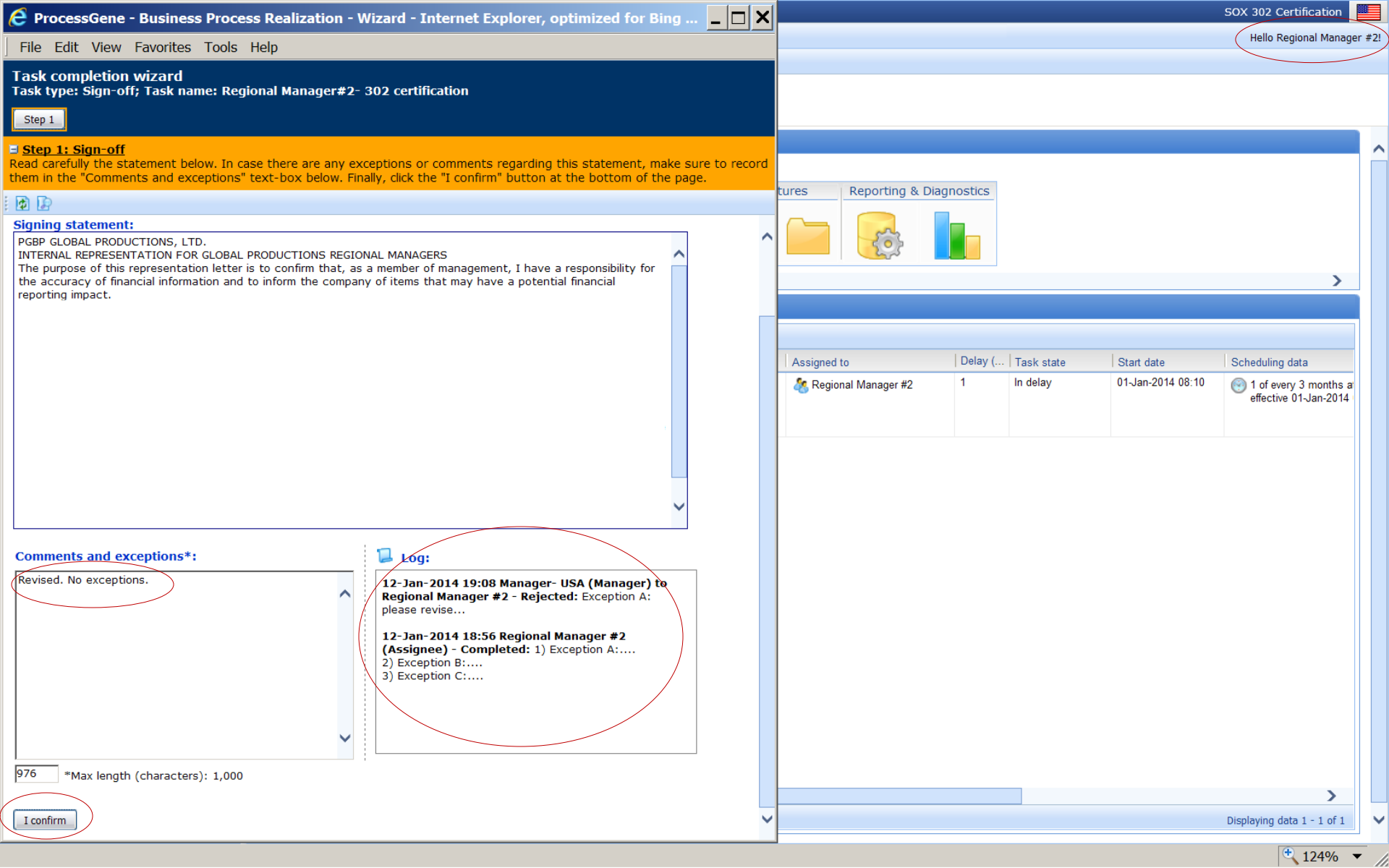
Displaying data 1 - 1 of 1

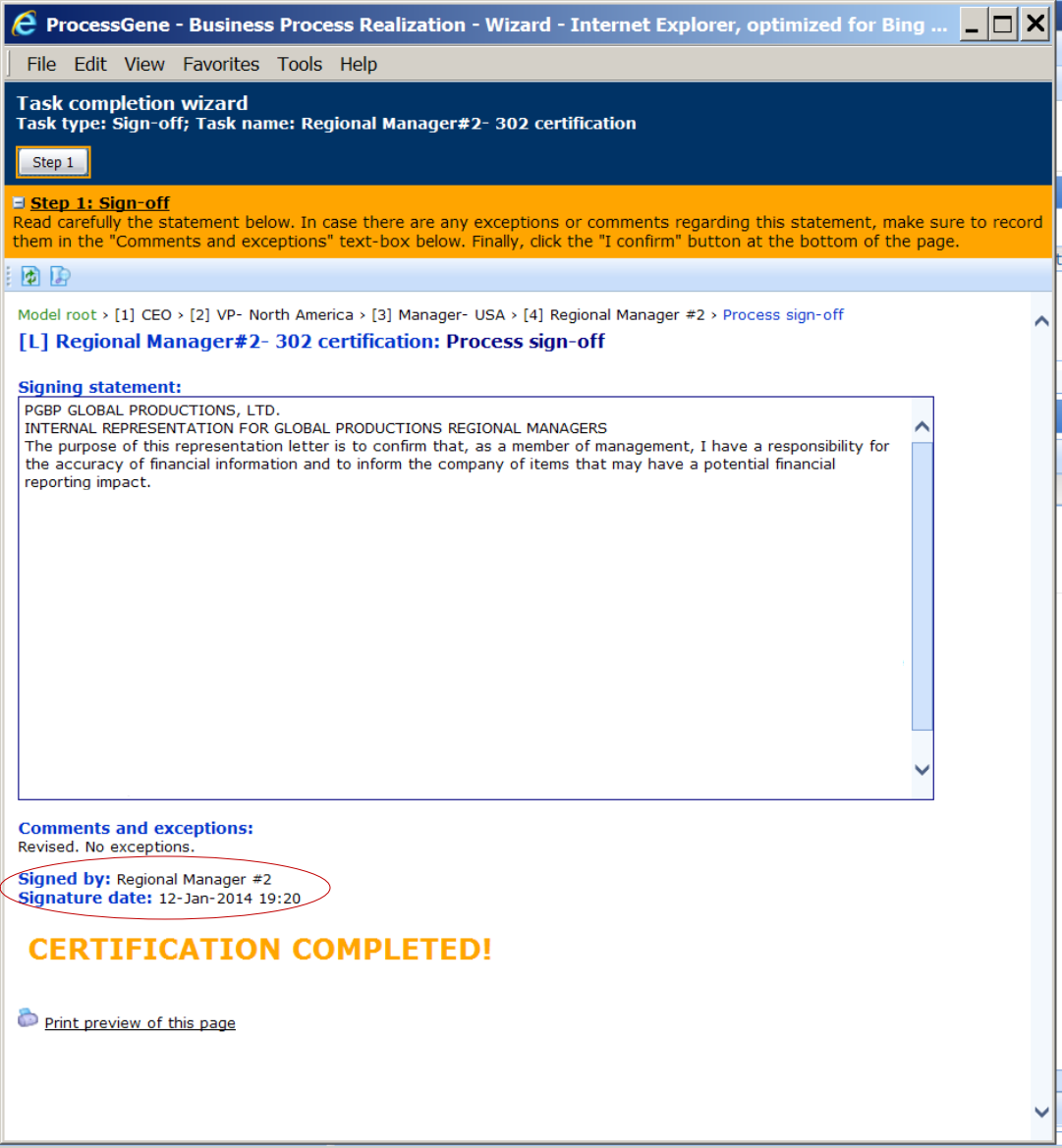
Tree view Search results

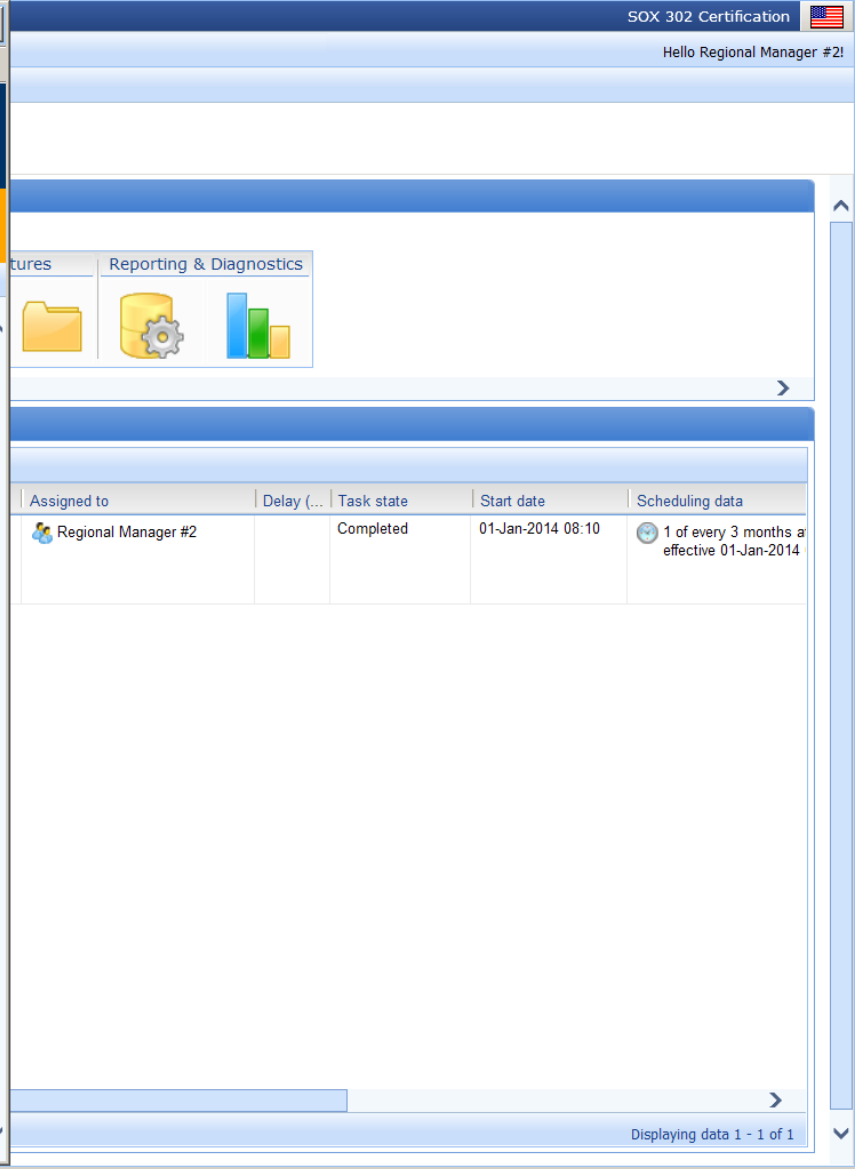
124%


Sign-off in delay - Message (HTML)
Message
Insert
Options
Format Text
Developer
Send
To...
rg3@pg.com
Cc...
Account
Subject:
Sign-off in delay
Hello regional manager #3
<...add comments here...>
Thanks,
Manager – USA 302 Certification
SOX 302 Certification
Hello Manager- USA!
Average status
Assigned to
0%
Manager- USA
Log
Reject/Remind
3
Regional Manager#1-302 certification
Regional Manager #1
12-Jan-2014 18:48
Signing completed
1
Regional Manager#2-302 certification
Regional Manager #2
Signing in delay
2
Regional Manager#3-302 certification
Regional Manager #3
12
--
Page 1 of 1
Displaying data 1 - 3 of 3
Tree view
Search results
Displaying data 1 - 1 of 1
124%

Regional Manager #2


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing ...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Regional Manager#2- 302 certification
Step 1
Step 1: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions*:
Revised. No exceptions.
976
*Max length (characters): 1,000
Log:
12-Jan-2014 19:08 Manager- USA (Manager) to Regional Manager #2 - Rejected: Exception A: please revise...
12-Jan-2014 18:56 Regional Manager #2 (Assignee) - Completed: 1) Exception A:....
2) Exception B:....
3) Exception C:....
I confirm
SOX 302 Certification
Hello Regional Manager #2!
tures
Reporting & Diagnostics
Assigned to
Delay (...
Task state
Start date
Scheduling data
Regional Manager #2
1
In delay
01-Jan-2014 08:10
1 of every 3 months a
effective 01-Jan-2014
Displaying data 1 - 1 of 1
124%


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing ...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Regional Manager#2- 302 certification
Step 1
Step 1: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Model root › [1] CEO › [2] VP- North America › [3] Manager- USA › [4] Regional Manager #2 › Process sign-off
[L] Regional Manager#2- 302 certification: Process sign-off
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions:
Revised. No exceptions.
Signed by: Regional Manager #2
Signature date: 12-Jan-2014 19:20
CERTIFICATION COMPLETED!
Print preview of this page


SOX 302 Certification
Hello Regional Manager #2!
tures
Reporting & Diagnostics
Assigned to
Delay (...
Task state
Start date
Scheduling data
Regional Manager #2
Completed
01-Jan-2014 08:10
1 of every 3 months a
effective 01-Jan-2014
Displaying data 1 - 1 of 1

USA Manager

ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and MSN

File Edit View Favorites Tools Help

SOX 302 Certification

Hello Manager- USA!

Task completion wizard

Task type: Sign-off; Task name: Manager- USA- 302 certification

Step 1 Step 2

Step 1: Review sub-ordinate sign-offs

Before you sign-off your statement, please review the sign-off status of employees under your supervision.

This process + sub processes

Sign-off - Signing status distribution per assigned user (out of started tasks)

Sign-off - Signing status distribution per assigned user (out of started tasks)	Signing completed	Signing in process	Signing in delay	Total
Sign-off tasks	3	0	0	3
Sign-off tasks - %	100%	0%	0%	100%

Sign-off - Signing status distribution per assigned user (out of started tasks)

Data rows: 30

#	Task name	User full name	Comments and exceptions	Signature date	Signed statement	Status	Log	Reject/Remind
3	Regional Manager#1-302 certification	Regional Manager #1		12-Jan-2014 18:48		Signing completed		
1	Regional Manager#2-302 certification	Regional Manager #2	Revised. No exceptions.	12-Jan-2014 19:20		Signing completed		
2	Regional Manager#3-302 certification	Regional Manager #3		12-Jan-2014 19:22		Signing completed		

Page 1 of 1

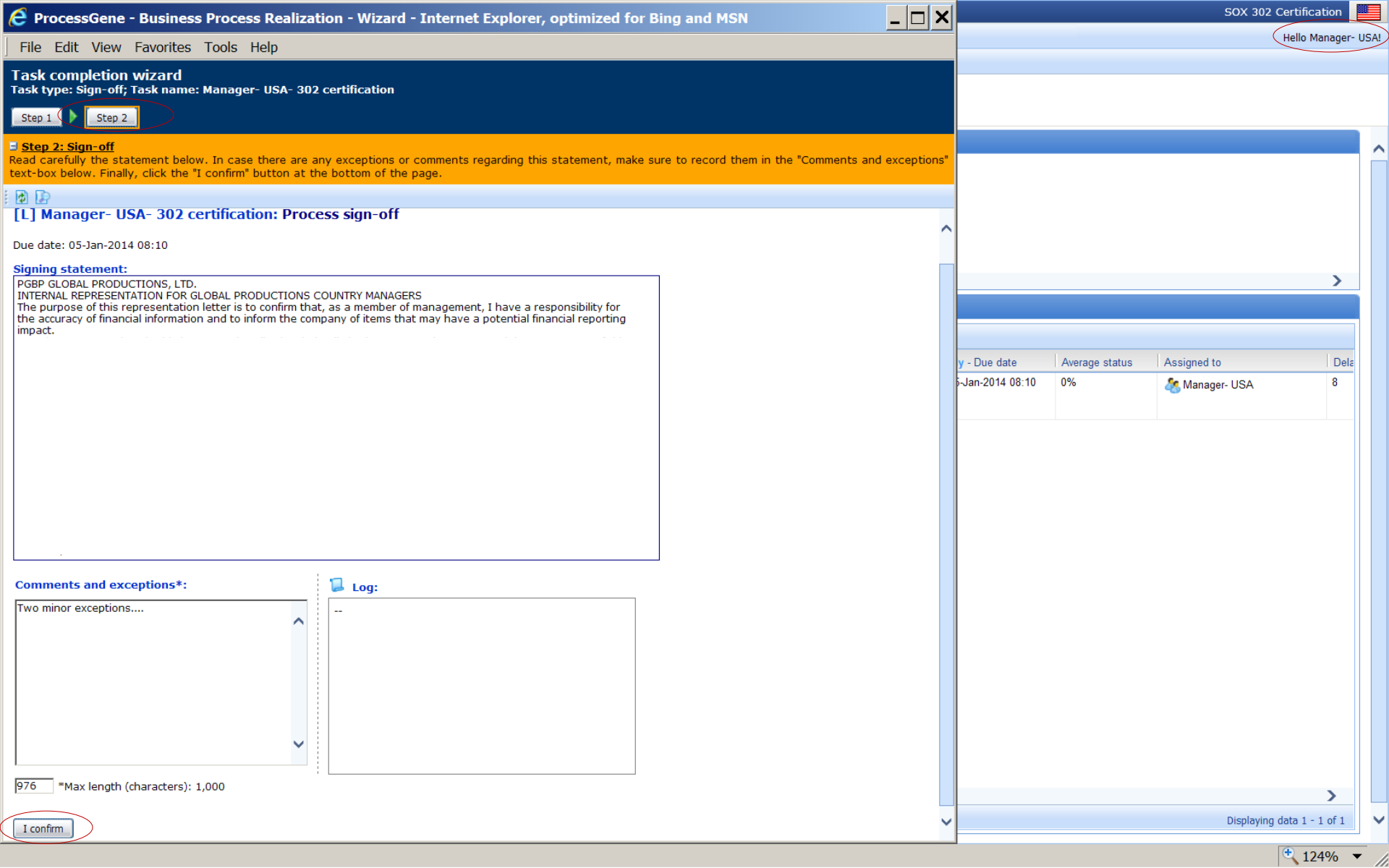
Displaying data 1 - 3 of 3

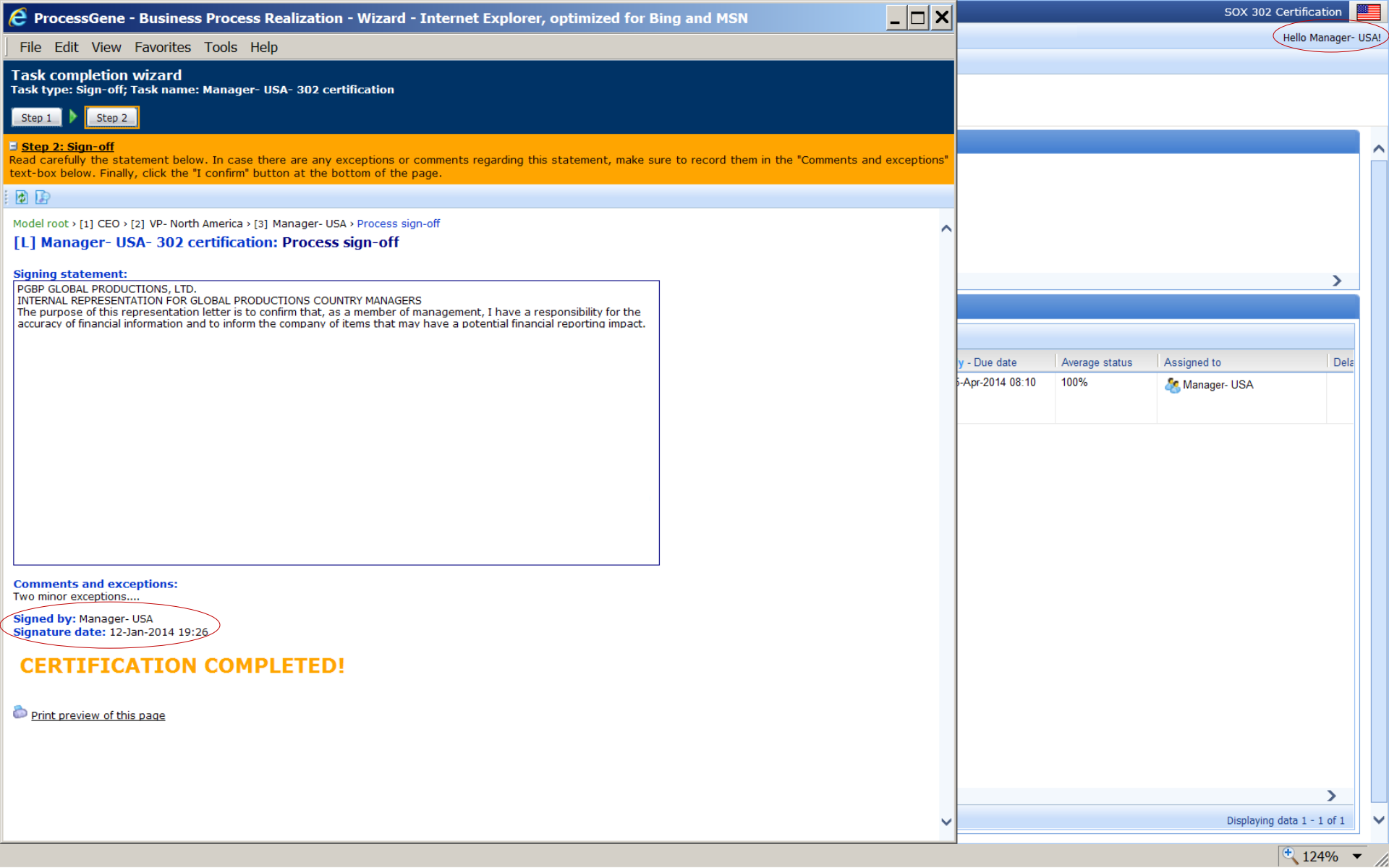
y - Due date	Average status	Assigned to	Dela
6-Jan-2014 08:10	0%	Manager- USA	8

Displaying data 1 - 1 of 1

Tree View Search results

124%


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and MSN
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Manager- USA- 302 certification
Step 1
Step 2
Step 2: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
[L] Manager- USA- 302 certification: Process sign-off
Due date: 05-Jan-2014 08:10
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS COUNTRY MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions*:
Two minor exceptions....
Log:
--
976
*Max length (characters): 1,000
I confirm
SOX 302 Certification
Hello Manager- USA!
y - Due date
Average status
Assigned to
Dela
-Jan-2014 08:10
0%
Manager- USA
8
Displaying data 1 - 1 of 1
124%


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and MSN
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: Manager- USA- 302 certification
Step 1
Step 2
Step 2: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Model root › [1] CEO › [2] VP- North America › [3] Manager- USA › Process sign-off
[L] Manager- USA- 302 certification: Process sign-off
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS COUNTRY MANAGERS
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the
accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions:
Two minor exceptions....
Signed by: Manager- USA
Signature date: 12-Jan-2014 19:26
CERTIFICATION COMPLETED!
Print preview of this page
SOX 302 Certification
Hello Manager- USA!
y - Due date
Average status
Assigned to
-Apr-2014 08:10
100%
Manager- USA
Displaying data 1 - 1 of 1
124%

VP North America

ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and MSN

SOX 302 Certification

Hello VP- North America!

File Edit View Favorites Tools Help

Task completion wizard

Task type: Sign-off; Task name: VP- North America- 302 certification

Step 1 Step 2

Step 1: Review sub-ordinate sign-offs

Before you sign-off your statement, please review the sign-off status of employees under your supervision.

This process + sub processes

Sign-off - Signing status distribution per assigned user (out of started tasks)

Sign-off - Signing status distribution per assigned user (out of started tasks)	Signing completed	Signing in process	Signing in delay	Total
Sign-off tasks	4	0	4	8
Sign-off tasks - %	50%	0%	50%	100%

Sign-off - Signing status distribution per assigned user (out of started tasks)

Data rows: 30

#	Task name	User full name	Comments and exceptions	Signature date	Signed statement	Due date	Status	Log	Reject/Remind
3	Manager- USA- 302 certification	Manager- USA	Two minor exceptions....	12-Jan-2014 19:26		05-Apr-2014 08:10	Signing completed		
4	Regional Manager#1- 302 certification	Regional Manager #1		12-Jan-2014 18:48		01-Apr-2014 08:10	Signing completed		
1	Regional Manager#2- 302 certification	Regional Manager #2	Revised. No exceptions.	12-Jan-2014 19:20		01-Apr-2014 08:10	Signing completed		
2	Regional Manager#3- 302 certification	Regional Manager #3		12-Jan-2014 19:22		01-Apr-2014 08:10	Signing completed		
8	Manager- Canada- 302 certification	Manager- Canada				05-Jan-2014 08:10	Signing in delay	--	
5	Regional Manager#4- 302 certification	Regional Manager #4				01-Jan-2014 08:10	Signing in delay	--	
6	Regional Manager#5- 302 certification	Regional Manager #5				01-Jan-2014 08:10	Signing in delay	--	
7	Regional Manager#6- 302 certification	Regional Manager #6				01-Jan-2014 08:10	Signing in delay	--	

Page 1 of 1

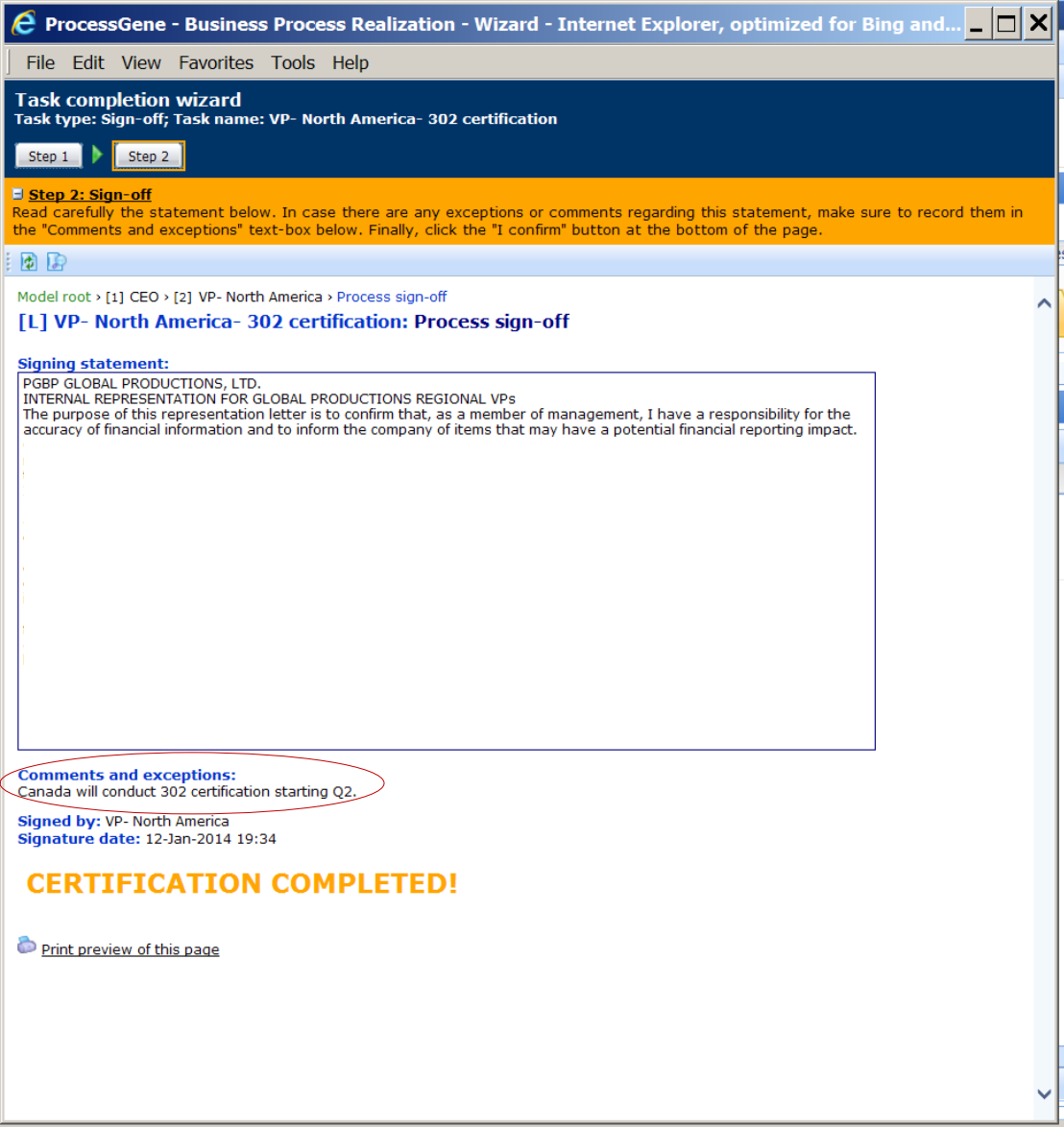
Displaying data 1 - 8 of 8

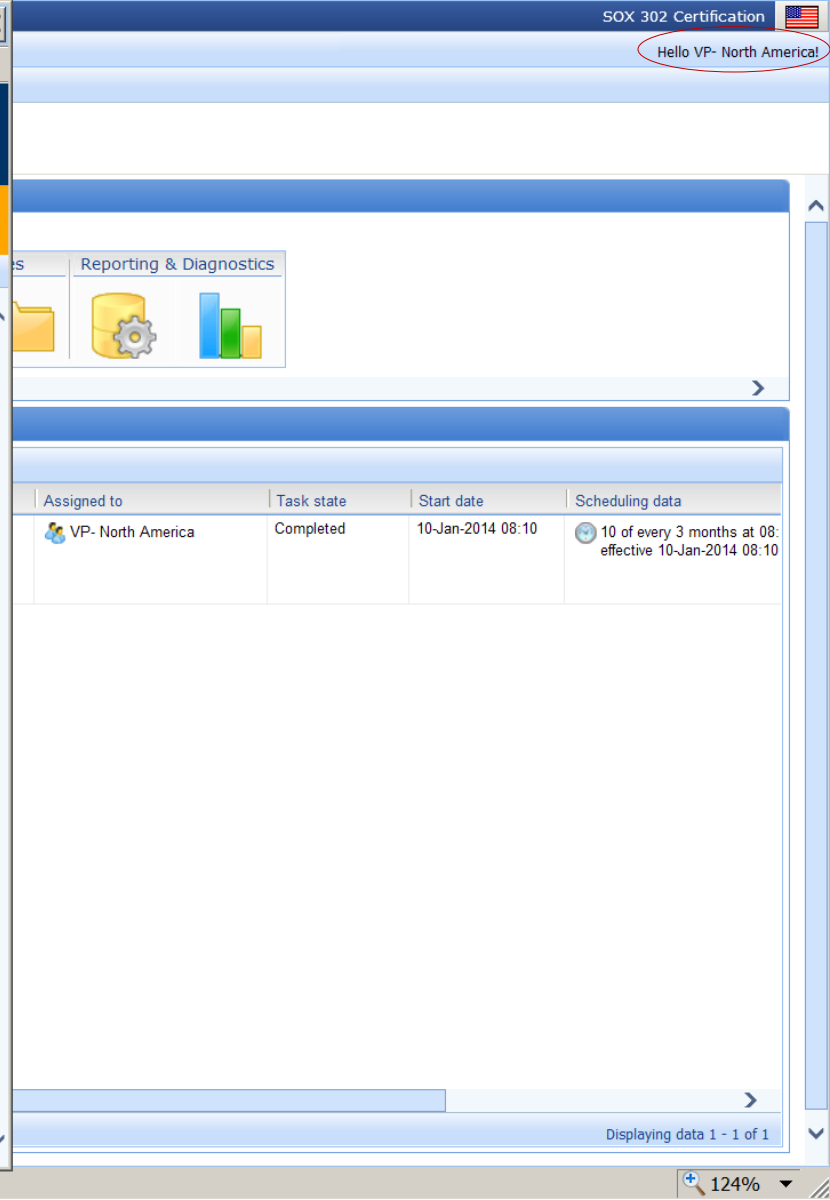
Average status	Assigned to
0%	VP- North America

Displaying data 1 - 1 of 1

Tree view Search results

124%


ProcessGene - Business Process Realization - Wizard - Internet Explorer, optimized for Bing and...
File Edit View Favorites Tools Help
Task completion wizard
Task type: Sign-off; Task name: VP- North America- 302 certification
Step 1
Step 2
Step 2: Sign-off
Read carefully the statement below. In case there are any exceptions or comments regarding this statement, make sure to record them in the "Comments and exceptions" text-box below. Finally, click the "I confirm" button at the bottom of the page.
Model root › [1] CEO › [2] VP- North America › Process sign-off
[L] VP- North America- 302 certification: Process sign-off
Signing statement:
PGBP GLOBAL PRODUCTIONS, LTD.
INTERNAL REPRESENTATION FOR GLOBAL PRODUCTIONS REGIONAL VPs
The purpose of this representation letter is to confirm that, as a member of management, I have a responsibility for the accuracy of financial information and to inform the company of items that may have a potential financial reporting impact.
Comments and exceptions:
Canada will conduct 302 certification starting Q2.
Signed by: VP- North America
Signature date: 12-Jan-2014 19:34
CERTIFICATION COMPLETED!
Print preview of this page


SOX 302 Certification
Hello VP- North America!
Reporting & Diagnostics
Assigned to
Task state
Start date
Scheduling data
VP- North America
Completed
10-Jan-2014 08:10
10 of every 3 months at 08:
effective 10-Jan-2014 08:10
Displaying data 1 - 1 of 1
124%

Reports and Diagnostics

- Sign-off Log
- Sign-off Reports
- Sign-off Diagnostics

Sign-off Log

- Sign-off log, containing all sign-off statements

Tree view

Quick Search

- Model root
  - CEO
    - VP- North America
      - Manager- USA
        - Regional Manager #1
        - Regional Manager #2
        - Regional Manager #3
      - Manager- Canada
        - Regional Manager #4
        - Regional Manager #5
        - Regional Manager #6
    - VP- Europe
    - VP- Middle East & Africa
    - VP- South America
    - VP- Asia & Australia

Tree view | Search results

No Workgroup

Model root › [1] CEO › Sign-off log

[L] CEO: Sign-off log

Properties | Diagram (0) | GRC (0/1) | Sign-off (1) | ERP (0) | Change requests (0) | Audit (1) | Tasks (0) | Documents and Policies (0) | Major Pr

Data rows: 30 | This process + sub processes

User full name: Please type...

#	User full name	Process name	Comments and exceptions	Signature date	Signed statement	Active/Historical user
1	VP- North America	VP- North America	Canada will conduct 302 certification starting Q2.	12-Jan-2014 19:34		Active
2	Manager- USA	Manager- USA	Two minor exceptions....	12-Jan-2014 19:26		Active
3	Regional Manager #3	Regional Manager #3		12-Jan-2014 19:22		Active
4	Regional Manager #2	Regional Manager #2	Revised. No exceptions.	12-Jan-2014 19:20		Active
5	Regional Manager #2	Regional Manager #2	1) Exception A:.... 2) Exception B:.... 3) Exception C:....	12-Jan-2014 18:56		Active
6	Regional Manager #1	Regional Manager #1		12-Jan-2014 18:48		Active
7	Manager- USA	Manager- USA	The issues ... 1. ... 2...	14-Nov-2013 17:04		Active
8	Regional Manager #1	Regional Manager #1	Last month there was a problem...	14-Nov-2013 16:58		Active

Page 1 of 1

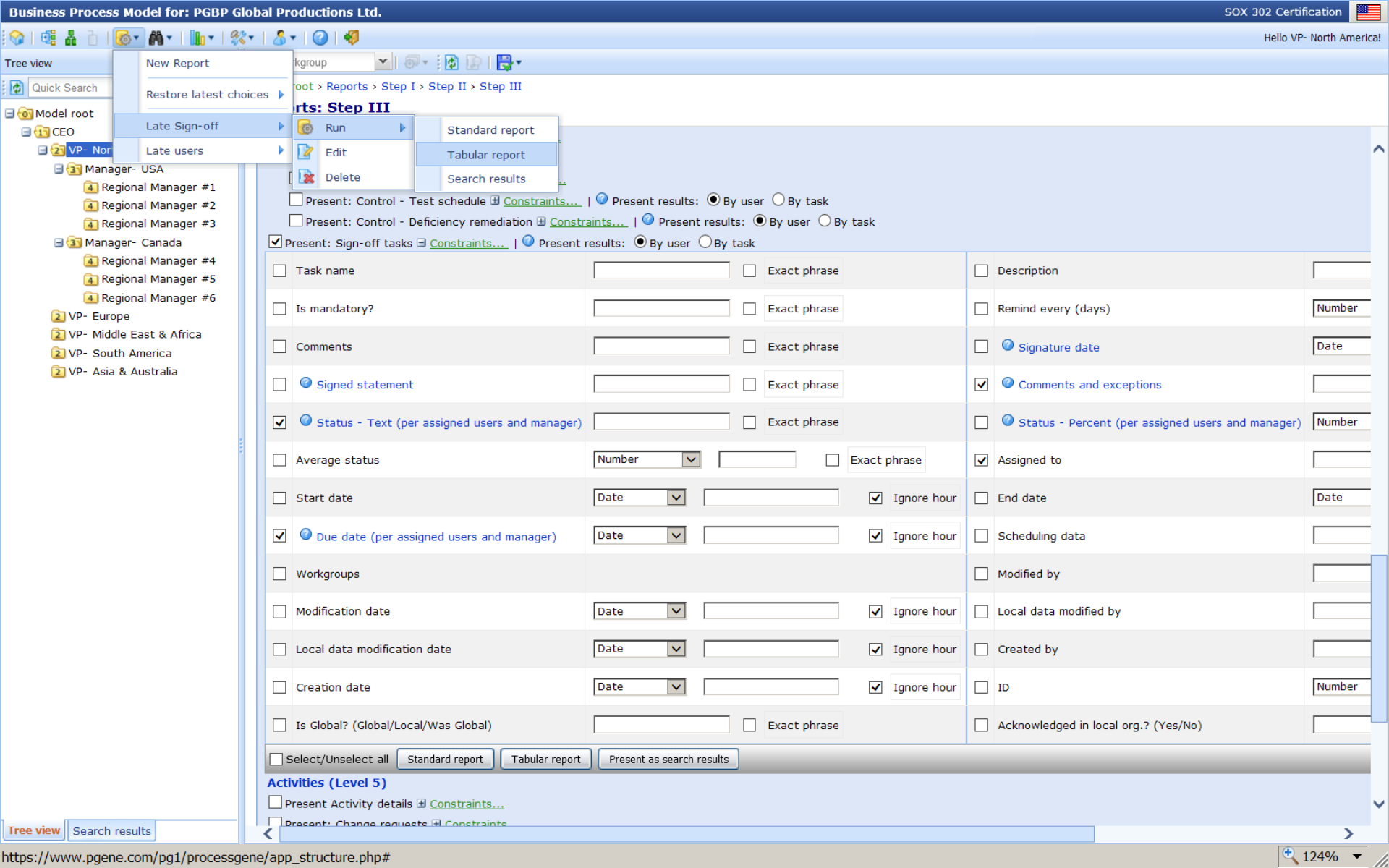
Displaying data 1 - 8 of 8

Sign-off tasks (1) | Sign-off log | Diagnostics

124%

Sign-off Reports

- Configurable reports, that can be generated on the fly and distributed to stakeholders. For example:
  - Late sign-offs
  - Sign-offs with exceptions/comments
  - Sign-off status per hierarchy-level
  - …


Business Process Model for: PGBP Global Productions Ltd.
SOX 302 Certification
Hello VP- North America!
New Report
Restore latest choices
Late Sign-off
Late users
Run
Edit
Delete
Standard report
Tabular report
Search results
Tree view
Quick Search
Model root
CEO
VP- Nor
Manager- USA
Regional Manager #1
Regional Manager #2
Regional Manager #3
Manager- Canada
Regional Manager #4
Regional Manager #5
Regional Manager #6
VP- Europe
VP- Middle East & Africa
VP- South America
VP- Asia & Australia
oot › Reports › Step I › Step II › Step III
rts: Step III
Present: Control - Test schedule Constraints... | Present results: By user By task
Present: Control - Deficiency remediation Constraints... | Present results: By user By task
Present: Sign-off tasks Constraints... | Present results: By user By task
Task name
Exact phrase
Description
Is mandatory?
Remind every (days)
Comments
Signature date
Signed statement
Comments and exceptions
Status - Text (per assigned users and manager)
Status - Percent (per assigned users and manager)
Average status
Assigned to
Start date
End date
Due date (per assigned users and manager)
Scheduling data
Workgroups
Modified by
Modification date
Local data modified by
Local data modification date
Created by
Creation date
ID
Is Global? (Global/Local/Was Global)
Acknowledged in local org.? (Yes/No)
Number
Date
Ignore hour
Select/Unselect all
Standard report
Tabular report
Present as search results
Activities (Level 5)
Present Activity details Constraints...
Tree view
Search results
https://www.pgene.com/pg1/processgene/app_structure.php#
124%

Tree view

Quick Search

- Model root
  - CEO
    - VP- North America
      - Manager- USA
        - Regional Manager #1
        - Regional Manager #2
        - Regional Manager #3
      - Manager- Canada
        - Regional Manager #4
        - Regional Manager #5
        - Regional Manager #6
    - VP- Europe
    - VP- Middle East & Africa
    - VP- South America
    - VP- Asia & Australia

Tree view | Search results

No Workgroup

Model root › Reports › Step I › Step II › Step III

Reports: Step III

Present: Control - Documents Constraints...
Present: Test p
Present: Contrc
Present: Contrc
Present: Contrc
Present: Sign-off t

Task name
Is mandatory?
Comments
Signed stater
Status - Text
Average status
Start date
Due date (per
Workgroups
Modification date
Local data modifi
Creation date
Is Global? (Global/Local/Was Global)

Exact phrase
Acknowledged in local org.? (Yes/No)

Number
Date
Number
Date
Number

Select/Unselect all | Standard report | Tabular report | Present as search results

Activities (Level 5)

Present Activity details Constraints...

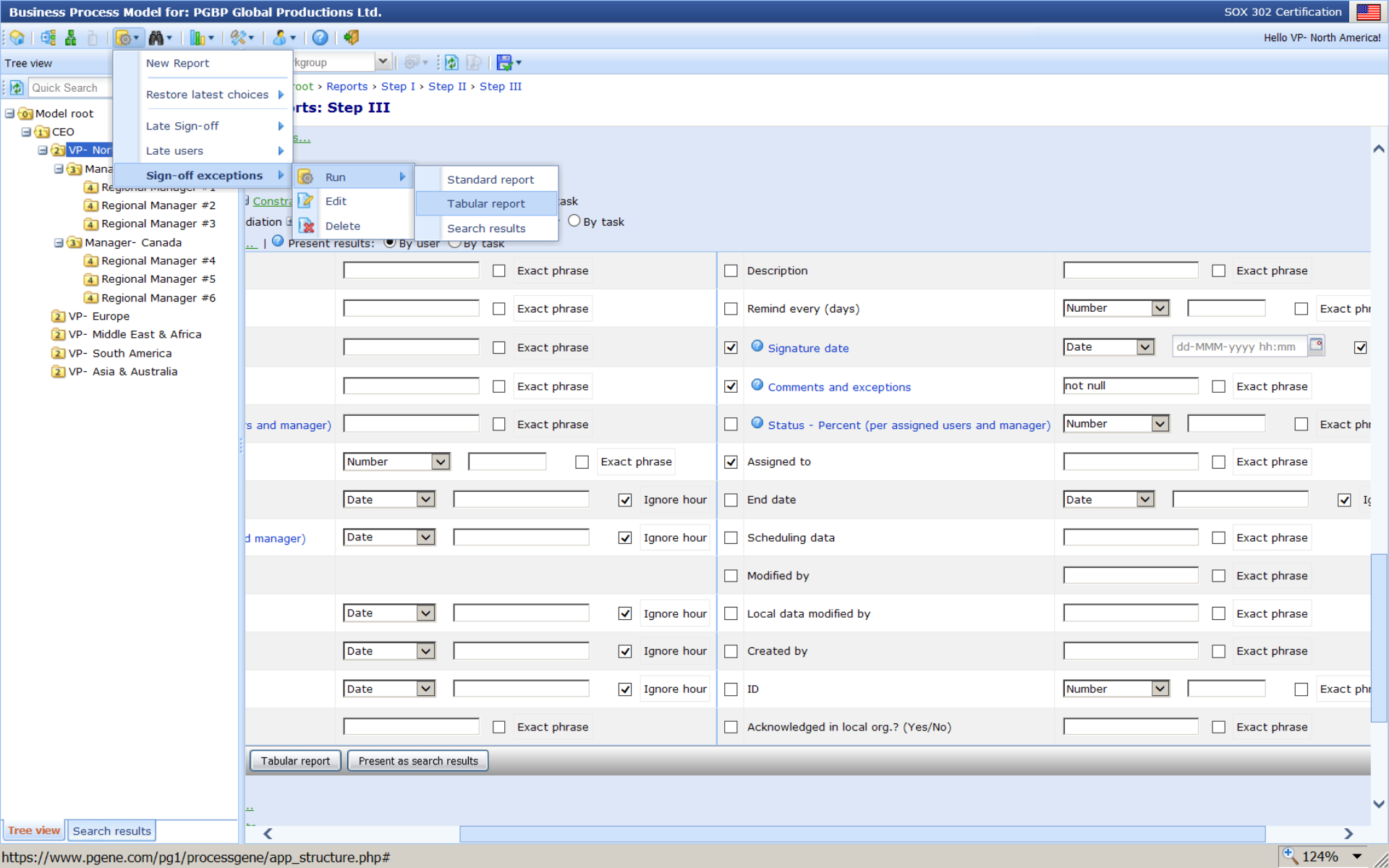
ProcessGene report - ProcessGeneReport - Internet Explorer, optimized for Bing and MSN

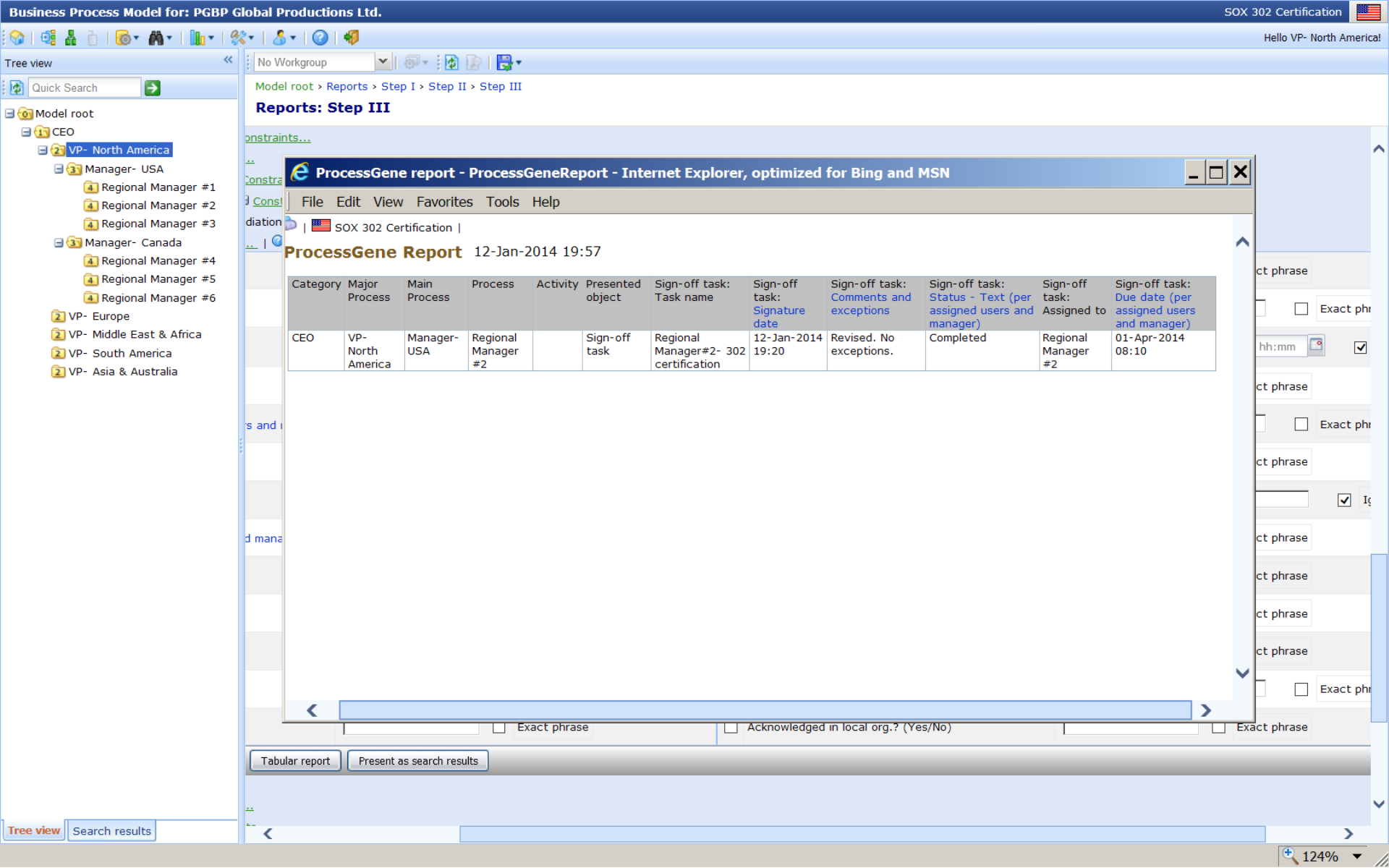
File Edit View Favorites Tools Help

SOX 302 Certification |

ProcessGene Report 12-Jan-2014 19:52

Category	Major Process	Main Process	Process	Activity	Presented object	Sign-off task: Task name	Sign-off task: Comments and exceptions	Sign-off task: Status - Text (per assigned users and manager)	Sign-off task: Assigned to	Sign-off task: Due date (per assigned users and manager)
CEO	VP-North America	Manager-Canada	Regional Manager #4		Sign-off task	Regional Manager#4-302 certification		Not started	Regional Manager #4	01-Jan-2014 08:10
CEO	VP-North America	Manager-Canada	Regional Manager #5		Sign-off task	Regional Manager#5-302 certification		Not started	Regional Manager #5	01-Jan-2014 08:10
CEO	VP-North America	Manager-Canada	Regional Manager #6		Sign-off task	Regional Manager#6-302 certification		Not started	Regional Manager #6	01-Jan-2014 08:10


Business Process Model for: PGBP Global Productions Ltd.
SOX 302 Certification
Hello VP- North America!
New Report
Restore latest choices
Late Sign-off
Late users
Sign-off exceptions
Run
Edit
Delete
Standard report
Tabular report
Search results
Tree view
Quick Search
Model root
CEO
VP- Nor
Mana
Regional Manager #2
Regional Manager #3
Manager- Canada
Regional Manager #4
Regional Manager #5
Regional Manager #6
VP- Europe
VP- Middle East & Africa
VP- South America
VP- Asia & Australia
Reports > Step I > Step II > Step III
rts: Step III
By task
Present results: By user By task
Exact phrase
Description
Remind every (days)
Number
Signature date
Date
dd-MMM-yyyy hh:mm
Comments and exceptions
not null
Status - Percent (per assigned users and manager)
Assigned to
End date
Scheduling data
Modified by
Local data modified by
Created by
ID
Acknowledged in local org.? (Yes/No)
Ignore hour
Tabular report
Present as search results
Tree view
Search results
https://www.pgene.com/pg1/processgene/app_structure.php#
124%


Business Process Model for: PGBP Global Productions Ltd.
SOX 302 Certification
Hello VP- North America!
Tree view
No Workgroup
Quick Search
Model root
CEO
VP- North America
Manager- USA
Regional Manager #1
Regional Manager #2
Regional Manager #3
Manager- Canada
Regional Manager #4
Regional Manager #5
Regional Manager #6
VP- Europe
VP- Middle East & Africa
VP- South America
VP- Asia & Australia
Model root › Reports › Step I › Step II › Step III
Reports: Step III
ProcessGene report - ProcessGeneReport - Internet Explorer, optimized for Bing and MSN
File Edit View Favorites Tools Help
SOX 302 Certification |
ProcessGene Report 12-Jan-2014 19:57
Category | Major Process | Main Process | Process | Activity | Presented object | Sign-off task: Task name | Sign-off task: Signature date | Sign-off task: Comments and exceptions | Sign-off task: Status - Text (per assigned users and manager) | Sign-off task: Assigned to | Sign-off task: Due date (per assigned users and manager)
CEO | VP-North America | Manager-USA | Regional Manager #2 | | Sign-off task | Regional Manager#2- 302 certification | 12-Jan-2014 19:20 | Revised. No exceptions. | Completed | Regional Manager #2 | 01-Apr-2014 08:10
Exact phrase
Acknowledged in local org.? (Yes/No)
Tabular report
Present as search results
Tree view
Search results
124%

Sign-off Diagnostics

- For any hierarchy level
  - Entire organization
  - Country / State
  - Region
  - …
- With “one click” reminder option

Tree view

Quick Search

- Model root
  - CEO
    - VP- North America
      - Manager- USA
        - Regional Manager #1
        - Regional Manager #2
        - Regional Manager #3
      - Manager- Canada
        - Regional Manager #4
        - Regional Manager #5
        - Regional Manager #6
    - VP- Europe
    - VP- Middle East & Africa
    - VP- South America
    - VP- Asia & Australia

Tree view | Search results

No Workgroup

Model root › Diagnostics - GRC

Diagnostics - GRC

Date: 12-Jan-2014 19:38

Sign-off - Signing status distribution per assigned user (out of started tasks)

Sign-off - Signing status distribution per assigned user (out of started tasks)

Sign-off - Signing status distribution per assigned user (out of started tasks)	Signing completed	Signing in process	Signing in delay	Total
Sign-off tasks	5	0	6	11
Sign-off tasks - %	45%	0%	55%	100%

Presentation of all late user and manager emails

Sign-off - Signing status distribution per assigned user (out of started tasks)

Data rows: 30

#	Task name	User full name	Comments and exceptions	Signature date	Signed statement	Due date	Status	Log
1	CEO- 302 certification	CEO				11-Jan-2014 08:10	Signing in delay	--
2	VP- North America- 302 certification	VP- North America	Canada will conduct 302 ce...	12-Jan-2014 19:34		10-Apr-2014 08:10	Signing completed	
3	Manager- USA- 302 certification	Manager- USA	Two minor exceptions....	12-Jan-2014 19:26		05-Apr-2014 08:10	Signing completed	
4	Regional Manager#1- 302 certification	Regional Manager #1		12-Jan-2014 18:48		01-Apr-2014 08:10	Signing completed	
5	Regional Manager#2- 302 certification	Regional Manager #2	Revised. No exceptions.	12-Jan-2014 19:20		01-Apr-2014 08:10	Signing completed	
6	Regional Manager#3- 302 certification	Regional Manager #3		12-Jan-2014 19:22		01-Apr-2014 08:10	Signing completed	
7	Manager- Canada- 302 certification	Manager- Canada				05-Jan-2014 08:10	Signing in delay	--
8	Regional Manager#4- 302 certification	Regional Manager #4				01-Jan-2014 08:10	Signing in delay	--
9	Regional Manager#5- 302 certification	Regional Manager #5				01-Jan-2014 08:10	Signing in delay	--

Page 1 of 1

Displaying data 1 - 11 of 11

124%

Thank You!

ProcessGene Ltd.

For additional information:

www.processgene.com