COMPROSE's ZAVANTA®

ZAVANTA® v5.0

REVIEW & APPROVAL MANAGEMENT

Lasted Updated 8/13/2015

Table of Contents

NOTE: Automated Actions is covered in a separate document.

Intended Audience

This document is intended for Zavanta Administrators and/or advanced users. To understand the concepts in this document you should have in-depth knowledge of Zavanta's advanced features including:

- User Manager
- Gold User Permissions
- Status Codes
- Website Setup and Master Styles
- Pick Lists
- Web Master Styles

Zavanta's Review/Approval Management Features

Zavanta is best-known as the fastest, most efficient way to get operational "know how" out of heads and into user-friendly Process and Procedure systems. In Zavanta 5, the Gold Edition has many features that will automate life cycle management and streamline the review / approval process.

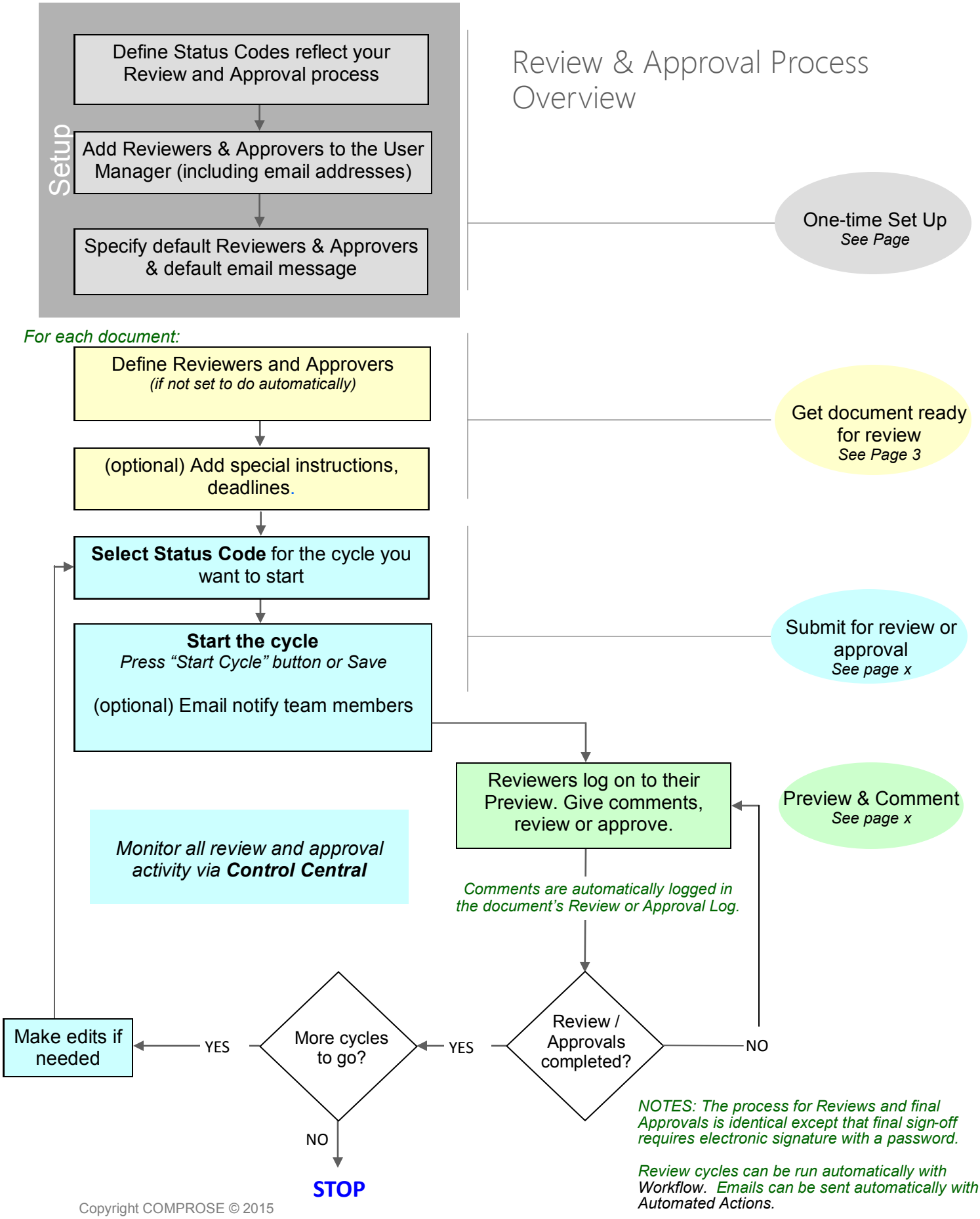
If you already have a tool to fill this need, Zavanta's web or PDF output is probably compatible with it. For example, organizations use Zavanta in conjunction with MS Sharepoint. But if you don't have a tool, the new features in this release will help you significantly streamline the management process.

Highlights

- **Manage multiple review teams/cycles**. Documents can be submitted to all Reviewers for comments. Zavanta can also handle processes that involve multiple review teams. (Team1 reviews first, then Team 2, and so on)
- Zavanta's **Automated Workflow** lets you design and run review/approval sequences automatically.
- **Reviewer and Approvers can be pre-defined** for new documents and document revisions.
- **Review and Approval Logs** show a complete audit trail of review cycles for a given revision. Zavanta date stamps the log each time the document is submitted for review or approval.
- **Email notification** to Reviewers and Approvers when they have documents to review, approve, or sign-off on. You can define a **standard email subject line and message** but **you can override email settings** at the time you send the notification.
- **Preview Window for Reviewers and Approvers**. Reviewers and Approvers can log into Zavanta and see a current list of all the documents that need their attention. They can select any document and Preview it in Read-Only mode. The Preview window displays important information such as review instructions, sent by, and deadline. Reviewers/Approvers enter their comments into a text box. They can save and work on the document later, or save and mark "finished," For Approvers, the Preview window lets them Accept or Decline and **electronically sign-off** off on a document by entering their Zavanta password.

  NOTE: If you have implemented Active Directory integration for single sign on, your users cannot use their AD password for e-sign off. You must create a Zavanta password for them in the User Manager
- Reviewers and Approvers in later cycles **can view comments made in previous reviews.**
- Preview Window **comments are automatically be logged** in the Review or Approval Log field within the document. At any given time, an authorized Owner/Author can view and print ALL comments to make reconciling comments and editing documents easier. Added in v6.X: All comments are stamped with username, date, and revision number so that it is easy to match up comments with the right revision.
- You can **Cancel a Reviewer or Approver** that is in a current cycle and the document automatically comes off their list.
- You can **Resend an email notification manually or automatically, according to a pre-defined schedule.** (*We lovingly refer to this as our "nag" feature!*)
- If Reviewers don't have access to Zavanta, the email notification can include a **PDF or RTF attachment version** of the document.
- **Zavanta's Control Central dashboard** shows all documents and Review/Approval activity. Owners/managers can initiate a Review or Approval cycle or send email notifications without having to open the document.

Review & Approval Process Overview

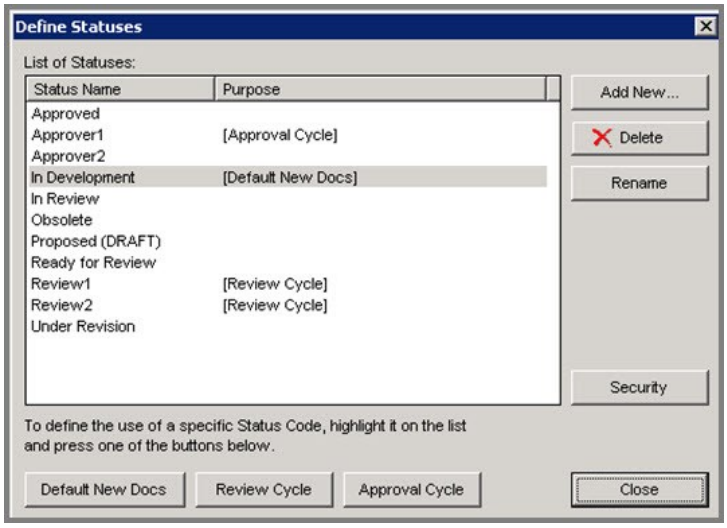


NOTES: The process for Reviews and final Approvals is identical except that final sign-off requires electronic signature with a password.

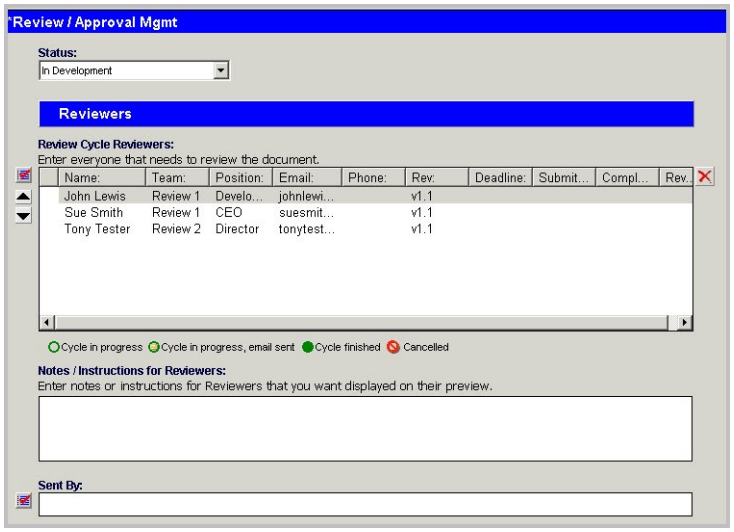
Review cycles can be run automatically with Workflow. Emails can be sent automatically with Automated Actions.

Key Concepts to Understand First

Zavanta uses specific **Status Codes** to manage the review and approval processes. You can name these statuses anything you want. We recommend including a number as part of the name if you have multiple review cycles that have to be done in a specific order such as Review1, Review2, Approval1.

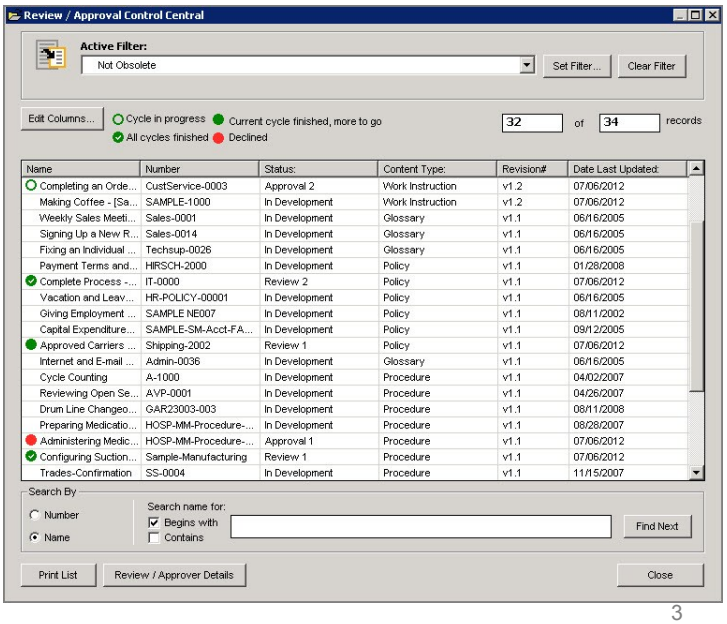


Each document has a **Review / Approval Management Screen** that contains all of the information needed to submit documents for review/approval and manage the process including Reviewer and Approver names and email addresses.



The **Control Central** dashboard lets you see "at a glance" the status of all documents including Review and Approval stages. You can initiate a review or approval cycle from Control Central instead of having to open a document to access the Review / Approval Management screen.

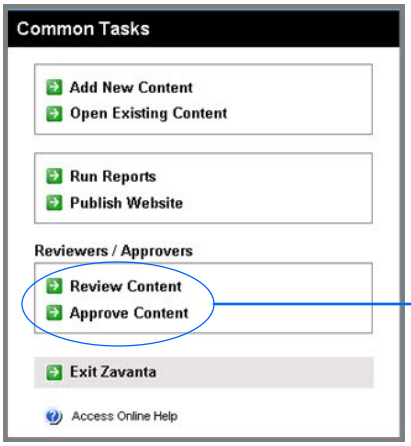
You can **email notify Reviewers and Approvers** that a new document is ready for review or sign-off, remind them about reviews, and more. You can do this manually or you can define emails to be automatically sent based on specific conditions (see Automated Actions).



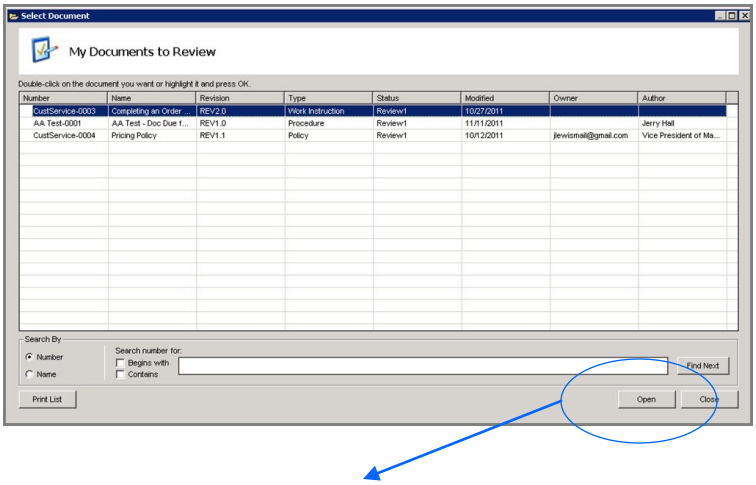
Key Concepts to Understand First, continued

Instead of "routing" documents, Reviewers and Approvers **go to one location** where they have instant access to all the documents that need their attention. From a single portal they can review, give comments, and approve documents.

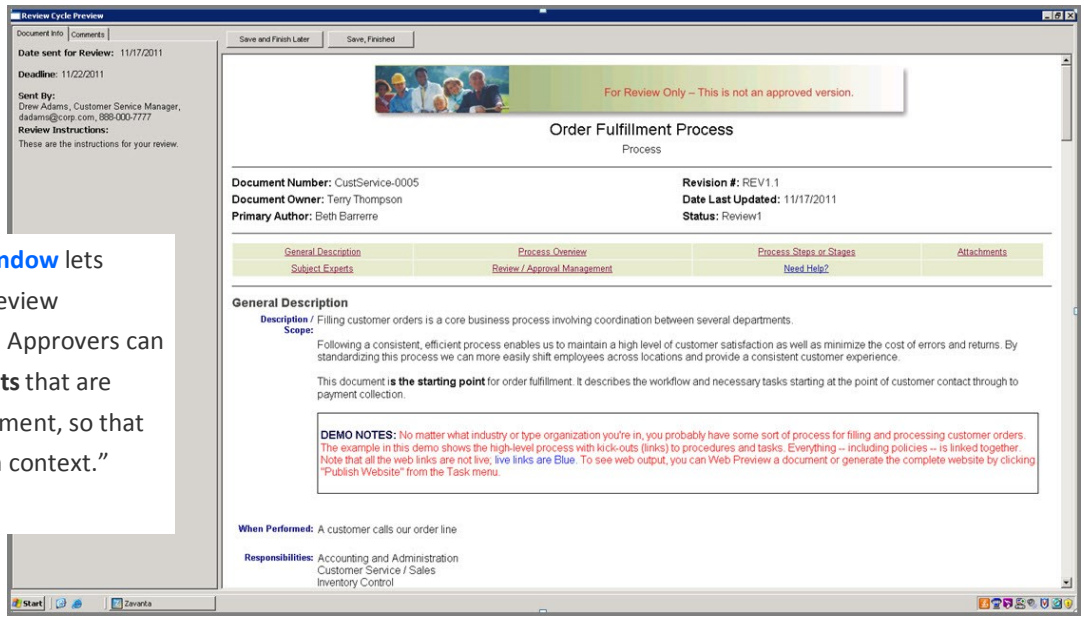
Reviewers and Approvers log on to Zavanta



Reviewers and Approvers can view a list of documents that need their attention.



Review the document and make comments



An easy-to-use **Preview Window** lets Reviewers and Approvers review documents. Reviewers and Approvers can also **view related documents** that are LINKED to the current document, so that they can review content "in context."

The Review / Approval Management Screen

In each document there is a special screen that contains all of the information needed to manage the Review and Approval Process. You can access this screen in an open document. (NOTE: You can restrict access to this screen using Gold permission settings.)

There are two tracking logs on this screen. The Reviewer Log contains a record for each Reviewer. The Approvers Log contains a record for each Approver, or person that needs to "sign off" for final approval. The two logs work the same except the Approval Log has additional features: You can print a sign-off sheet from this log. Zavanta captures approvals using an electronic signature.

You can change the names of any of the fields in this log but you cannot delete these fields or change the order of the fields. Some fields, such as the Submitted date field, are automatically filled by the program. You can add people to these logs manually or you can pre-define defaults and Zavanta will automatically populate the logs with all the default Reviewers and Approvers records whenever a new document or new revision is created.

Status Field

Note: this field also appears on the Status/Revision screen

Reviewer Section

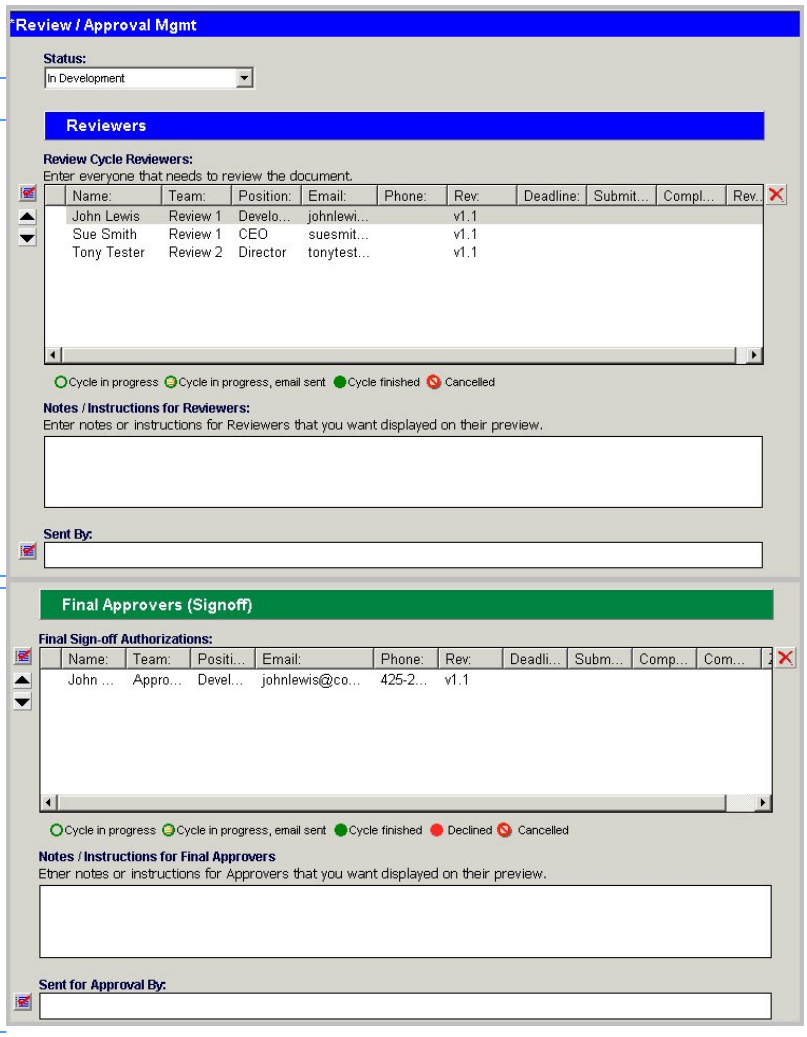
The log contains information for each person.

You can enter specific notes to reviewers in the Notes field.

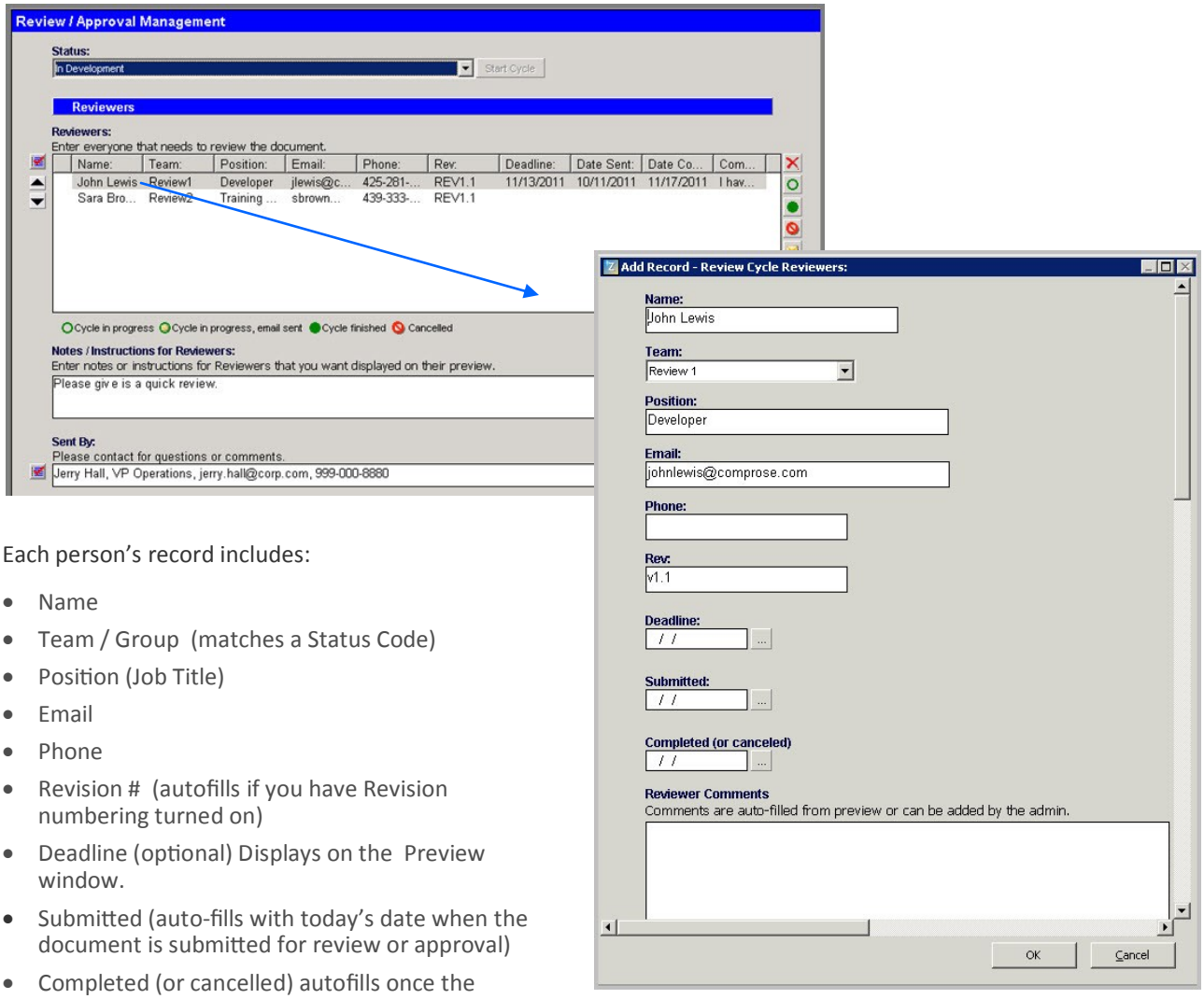
The Sent By field includes contact information for the review manager in case reviewers need to contact them.

Approval Section

This section is set up just like the Reviewer section with the exception of accept/decline using electronic signature.



The Review / Approval Screen: Reviewer & Approver Logs

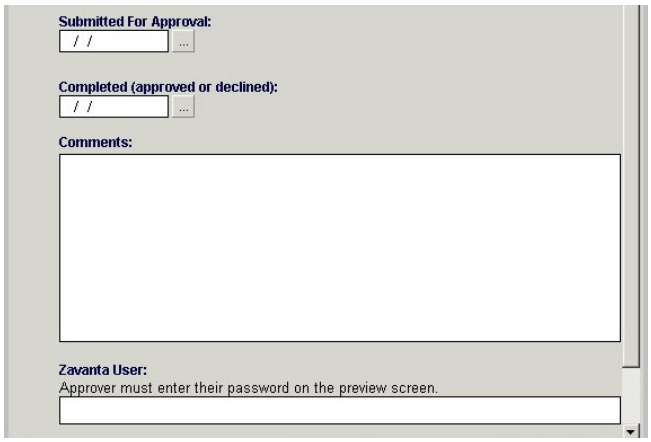


Each person's record includes:

- Name
- Team / Group (matches a Status Code)
- Position (Job Title)
- Email
- Phone
- Revision # (autofills if you have Revision numbering turned on)
- Deadline (optional) Displays on the Preview window.
- Submitted (auto-fills with today's date when the document is submitted for review or approval)
- Completed (or cancelled) autofills once the Reviewer completes their review, or an Administrator cancels their review or approves for them.
- Reviewer Comments is a text field that autofills as the Reviewer enters and saves comments in their Preview window.

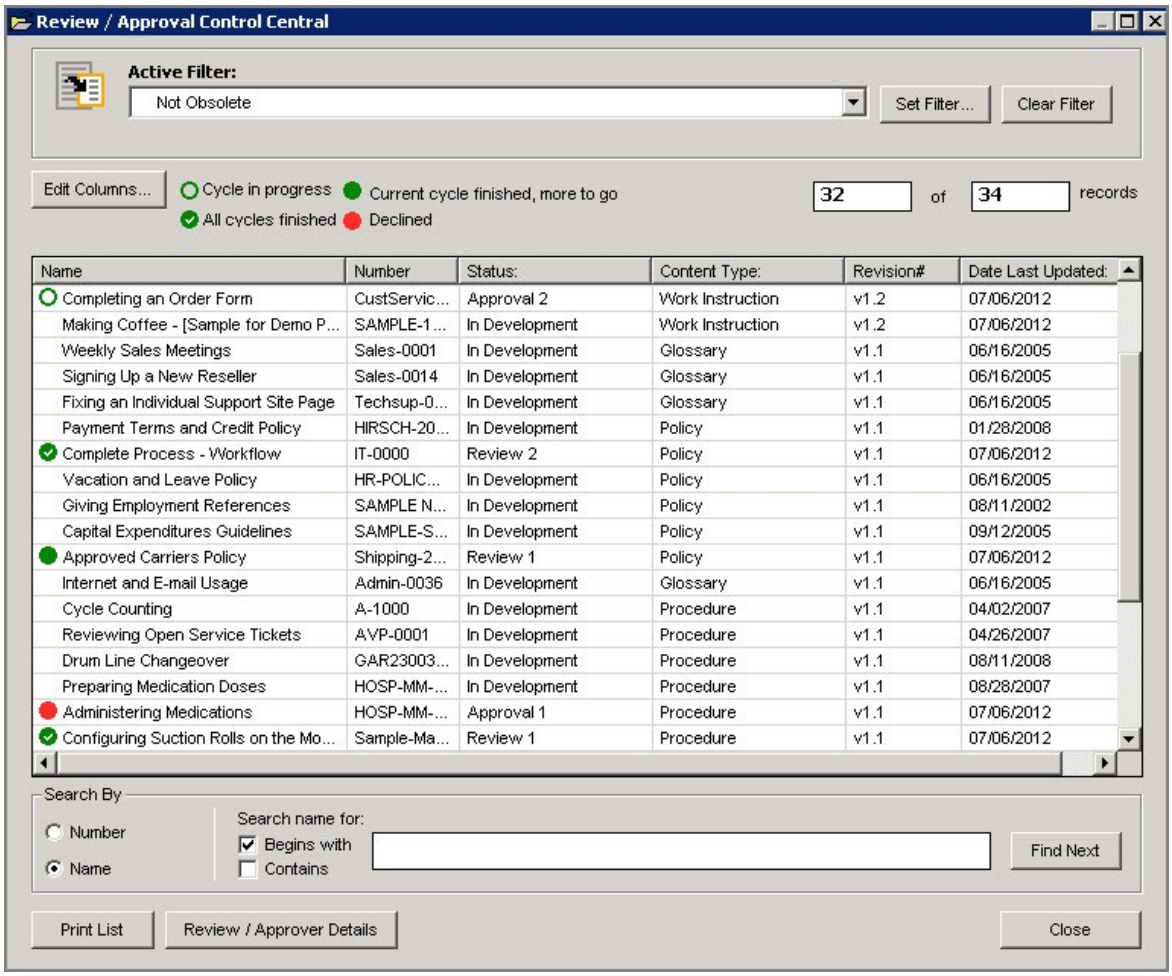
The Approval Log contains the same fields Name through Date Sent and Comments. The fields that are different are:

- Completed (approved or declined) is the date the Approver gives final approval or declines the document.
- Zavanta User field has a green fill if the Approver has entered their Zavanta password, meaning they have approved the document.



Control Central (Dashboard)

You can manage the entire review and approval process from a single dashboard. The Control Central screen shows activity for all docs in real time — *the icons will change before your eyes based on updates!*
(NOTE: *Just like any "Select Documents" screen in Zavanta, you can filter the list, so you can "zero in" to see only a subset of documents such as documents pertaining to a business process, department, regulation, job title, etc.)*



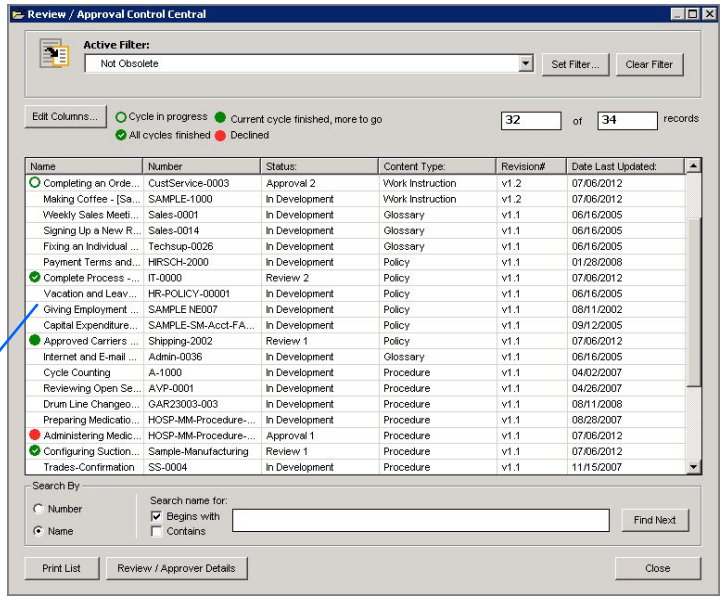
What the icons on the Control Central Dashboard mean:

- Cycle in progress (not all have people in the current cycle have completed their review)
- Current cycle finished, more to go
- Declined (at least one Approver has declined it)
- All finished (all Review and Approval cycles are completed)

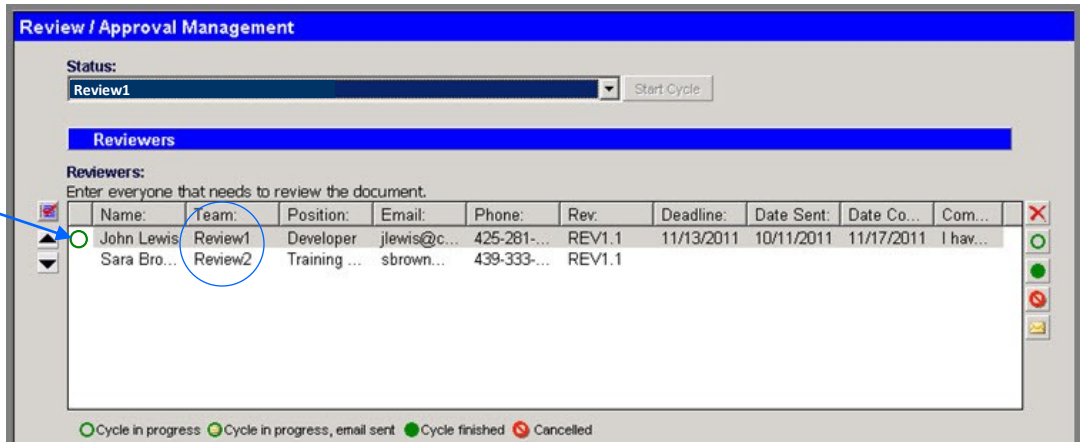
Control Central (Dashboard): Managing a Document's Review/Approval Details

You can access the Review / Approval Management details for any document from **Control Central** without having to open the document.

To access the Review/Approval Screen double-click on a document or highlight the document and press the "Reviewer / Approver Details" button.



This document has been submitted to John on the Review1 team. The open circle icon appears next to John's name. Once John completes his review, the icon will change to a filled green circle.



What the icons next to a Reviewer or Approver record mean:

- Cycle in progress (the document is available on their Preview window)
- Current cycle finished (the person has either completed their review or approved the document)
- Declined (Approvers only)
- Current cycle cancelled
- An email has been sent to this person (either manually or automatically via Automated Actions)

About Zavanta's Workflow (Concept Overview)

If you want to automatically run a series of review/approval cycles back-to-back, Zavanta provides automated workflow. You set workflow preferences in Review / Approval Preferences (see the next section "Setup" for details).

To understand the difference between starting each cycle manually vs. using workflow, see the example below.

Scenario: You have two review levels / teams (Review1 and Review2) and one approval team (Approval1).

Without Workflow

Start Review1 manually (either in the document or from Control Central) or have it kicked off with an Automated Action.

All members of the Review1 team are email notified and submit their comments.

After all Review1 team members have completed their review, manually start Review2. (*Members of Review2 team can see comments made from previous reviewers.*)

After all Review2 team members have completed their review, manually start the next cycle, Approval1.

After all approvers sign off on the document (no declines) you manually change Status code to Approved. The document is then published to the website upon the next maintenance export.

NOTE: You can send email notifications manually or automatically using Automated Actions.

With Workflow

Start Review1 manually (either in the document or from Control Central) or have it kicked off with an Automated Action.

All members of the Review1 team are email notified and submit their comments.

After all Review1 team members have completed their review, the next cycle in the workflow (Review2) is automatically started. (*Members of Review2 team can see comments made from previous reviewers.*)

After all Review2 team members complete their review, the final Approval cycle automatically starts.

After all approvers sign off on the document (no declines) the Status is automatically changed to Approved and the document is published to the website upon the next maintenance export.

NOTES:

If you have email notifications defined, those will be sent automatically as the documents move through the various workflow stages.

You can also combine an automated workflow and a manual process. For example, you may want to run Review1, Review2 cycles back to back, but STOP to put in edits before the document is submitted to Final Approvers.

One-Time Setup Steps

Setup: Define Status Codes that Reflect Your Organization's Review and Approval Process

You can use Zavanta's Review and Approval features for simple processes or complex, multi-team processes. The first step is to define a Status Code for each stage.

Typically you will have Status Codes such as "Proposed," "In Development" and "Approved." You will also define special Status Codes for your review process and for your approval process. You can name these statuses anything you want.

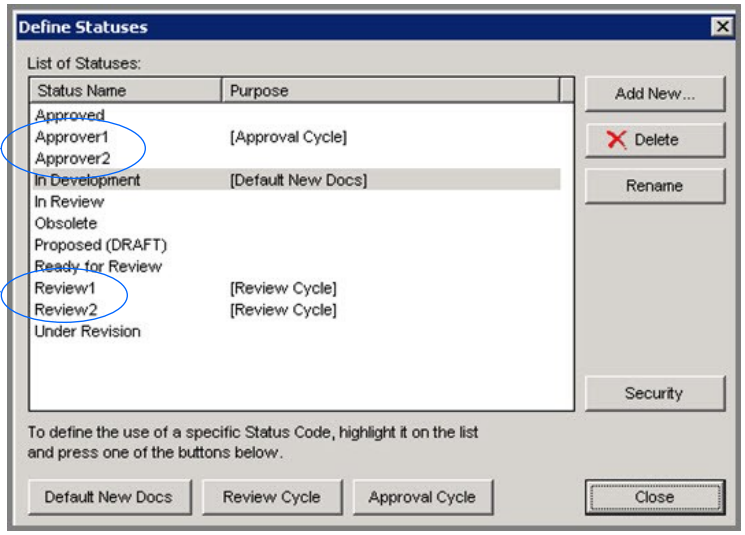
If you have a simple process in which one group signs off on all documents, then you may only need one additional Status Code: "Approval." Some organizations have multi-team processes. One group performs an initial review, and then comments are incorporated. Then a second group reviews the document, their comments are incorporated, and so on. You can define as many cycles as you want and add as many people as you want to any cycle. Once you determine the maximum cycles you have, you'll need to define a separate Status Code for each cycle.

How to define the Status Codes for your Review/Approval process:

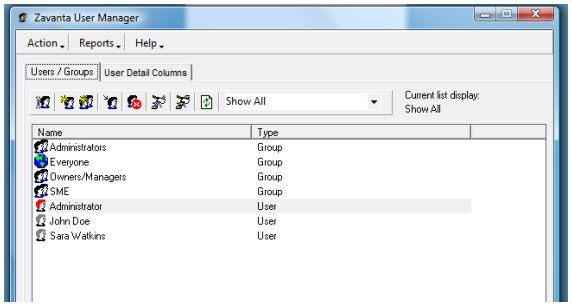
1. Go to Define Statuses under the Admin/Setup Main Menu.
2. Press the Add New button.
3. Enter the Status Code. (Example: Review1).

   Result: The Status Code is added to the list.
4. Highlight the Status Code and press either the Review Cycle or Approval Cycle button. This will tell Zavanta which Status Codes are reserved for the Review and Approval process.

In this example, there are two Review cycles and two Approval cycles.



Setup: Add Reviewers and Approvers to the User Manager

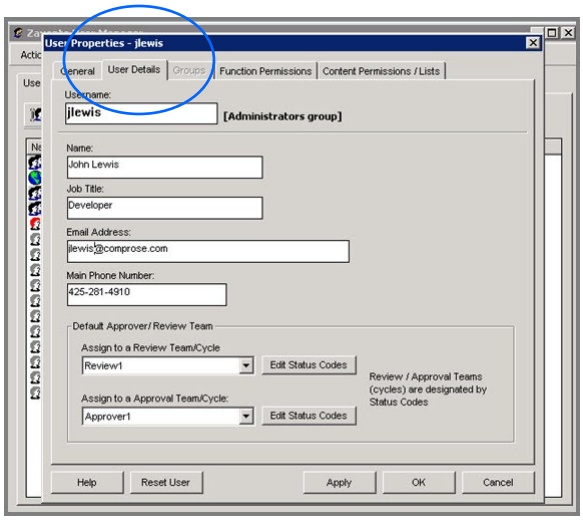


All Reviewers and Approvers (whether they will use Zavanta's Preview or not) **must be added to the User Manager**. In most cases your Reviewers and Approvers will only be previewing documents and providing their comments, but these users may also have permissions to authoring and admin functions. Using Zavanta's Gold Security permission settings, you have complete flexibility in defining what a user can and cannot do.

In addition to name, you can enter: Job Title (or Position), email address, Team (Review 1, etc), phone number. This information is used to auto-generate the Pick List: **Zavanta Users**, which is the Pick List that is attached to both the Reviewer Log and the Approver Log in documents.

NOTE: *Unlike other Zavanta Pick Lists, you cannot add names to this Pick List directly. This Pick List is automatically generated from data in the User Manager.*

How to add Reviewers and Approvers to the User Manager:



1. Access the User Manager.
2. Select "Add New User" under the Action Menu.
3. Enter the username and password information. Press Apply or OK.
4. Click on the "User Details" tab.
5. Complete the fields. All fields are optional except for Name. (*If you will be using Zavanta's email notification feature, make sure you enter a valid email address.*)
    - Name
    - Job Title
    - Email Address
    - Phone Number
2. Assign the user to a team by selecting the corresponding Status Code. For example if Reviewer John is a member of the first review team, select Review1 from the Reviewer Team drop-down.

Testing Tip: How to Avoid Spamming your Reviewers

The first time you are setting up and testing your automation, be careful that you don't spam people during your testing! We recommend setting up some temporary email addresses for your test data until you are sure your settings are working properly.

What if a Reviewer or Approver has dual roles?

You can define a user group called "Reviewer/Approvers". Users assigned to this group can ONLY access documents that need their review or approval. They cannot perform any other functions such as open documents, print, or access admin functions. So, their rights are very limited.

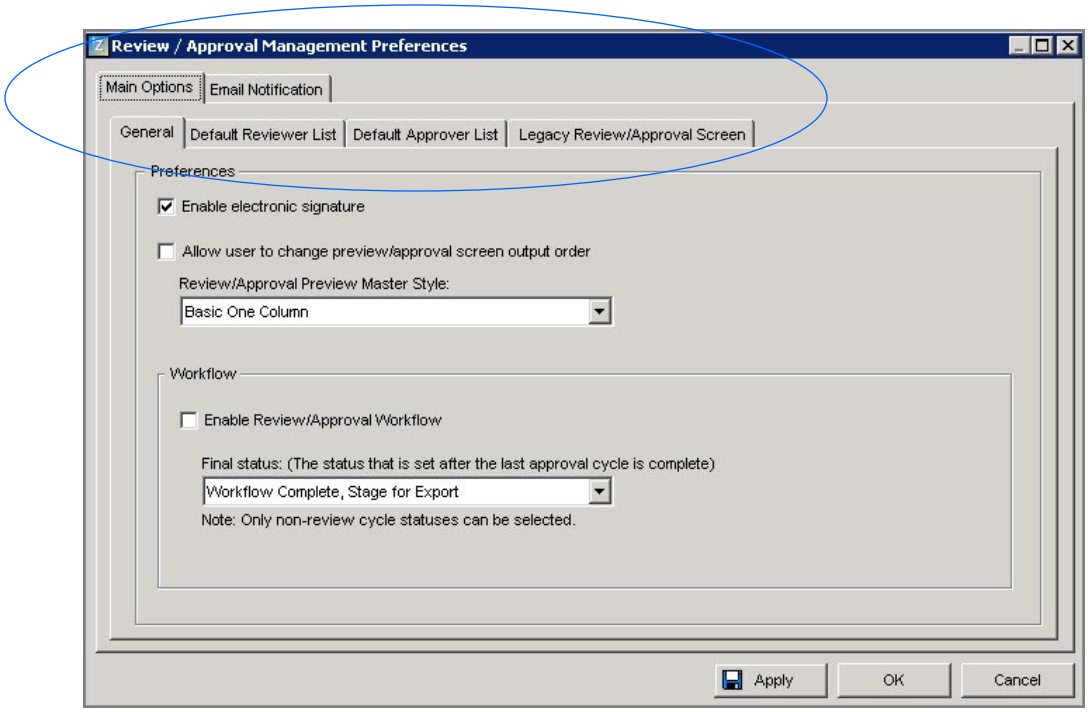
But in some cases an individual may take on a dual role; in addition to reviewing documents, some users may also author procedures or perform administrator tasks. Using the user and group permissions settings, you can define permissions as you want and grant them additional rights. (Refer to the "Understanding Gold Security Features" white paper for more information.)

Setup: Set Review / Approval Management Preferences

One final setup step you should perform before you put the Review/Approval Management features into play is to set overall preferences. These are global settings that are typically defined one time. Many are optional.

How to set Review / Approval Management preferences:

1. Go to the Review / Approvals Main Menu option. (Gold must be enabled for you to see this menu option).
2. Review and make setting selections by clicking on the various tabs.



Setup: Set Review / Approval Management Preferences

Main Options:

General Settings tab:

- **Enable electronic signature**—this setting turns electronic signature on. If this feature is on, approvers can ONLY approve documents through Zavanta's Preview and by entering their user password. If you don't want to use that method, keep this box unchecked.

  NOTE: If you have implemented Active Directory integration for single sign on, your users cannot use their AD password for e-sign off. You must create a Zavanta password for them in the User Manager

- **Allow user to change preview/approval screen order** — this setting lets Reviewers or Approvers change the order of document sections on their Preview window.
- **Review / Approval Master style** — Since the Preview screen uses Zavanta's Web Preview, this option lets you select the Master Style for the Preview your Reviewers and Approvers will see. We recommend using a simple one-column format.
- **Enable Review / Approval Workflow** — turns workflow on.

Default Reviewers and Approvers List tabs:

- Define the people that typically review/approve documents (Default Reviewer List and Default Approver List tabs) When new documents are created, the logs will auto-fill with these defaults.

Legacy Review/Approval Screen:

- Hide or show current Review / Approval screen — Since the Review Approval automation uses a new screen for this function, this setting enables Zavanta customers prior to version 5.0 to hide their old screen.

Email Notification

Enable Email notifications — This setting turns email notifications on or off. It's a handy feature to use during setup and testing so that you avoid inadvertently sending out emails.

General Settings tab:

- **Document attachment (PDF, RTF)** — If checked, Zavanta will automatically create and attach PDF and/or RTF versions of documents to email notifications sent to Reviewers and Approvers. This is a handy feature when Reviewers and Approvers don't have access to Zavanta's Preview.

Default Reviewer and Approver Message tabs:

- **Subject** — This setting lets you define standard email subject line text.
- **Body** — This setting lets you define a standard email message.

Setup: Review / Approval Management Preferences, continued

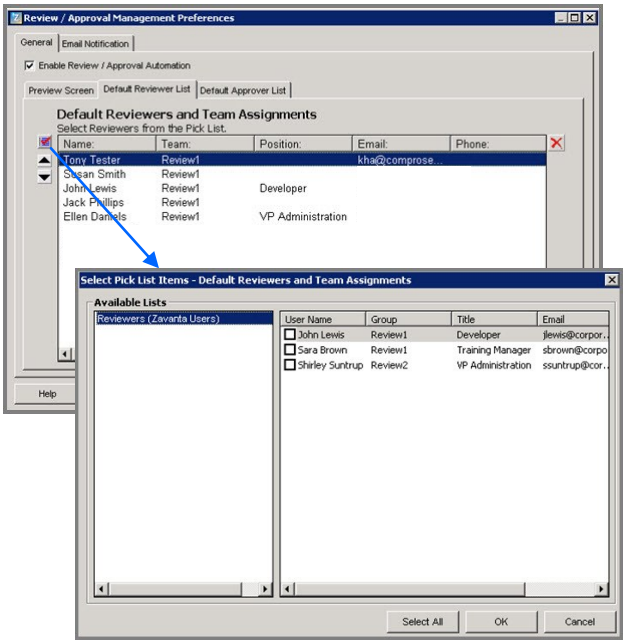
Default Reviewers and Approvers

This is an optional step. If the same people typically review and approve documents, you can specify defaults for populating the Review and Approval Log when new documents or revisions are created.

NOTE: You can always override these defaults on a document by document basis.

How to specify your default Reviewers and Approvers:

1. Click on the "Default Reviewer List" tab.
2. Click on the Pick List and select the people you want.
3. Re-order the list if necessary. To help you stay organized, we suggest you group all Review1 people together at the top of the list, then all Review2 people and so on.
4. Click on the "Default Approvers List" tab and follow the same steps to define your Approvers.



NOTE: You may need to update these lists if you make changes to people or team assignments in the User Manager. Changes made in the User Manager do not automatically update these preferences.

Setup: Review / Approval Management Preferences, continued

How to Define Email Notification Settings

To enable email notifications, check the checkbox "Enable Email Notifications" Once you check this box, emails will be sent out. While you're setting up the system and testing, you may want to keep this box unchecked.

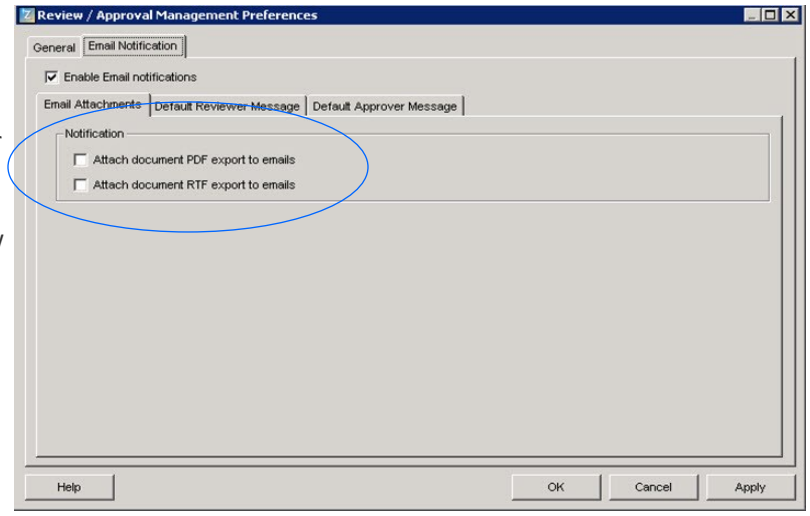
NOTE: The email system settings for your Zavanta system are defined under "General Preferences" under the Admin/Setup Menu.

Under Email Notifications you can define:

- Document attachment rules
- Standard email message

Email Attachments

If you always want a PDF or RTF version of the document attached to emails, check the checkbox for the format you want. If these are checked, Zavanta will create the file and attach it to any emails notifications sent when a document is sent for review or approval. The main purpose of this feature is to distribute the document to Reviewers or Approvers who don't have access to Zavanta's Preview.



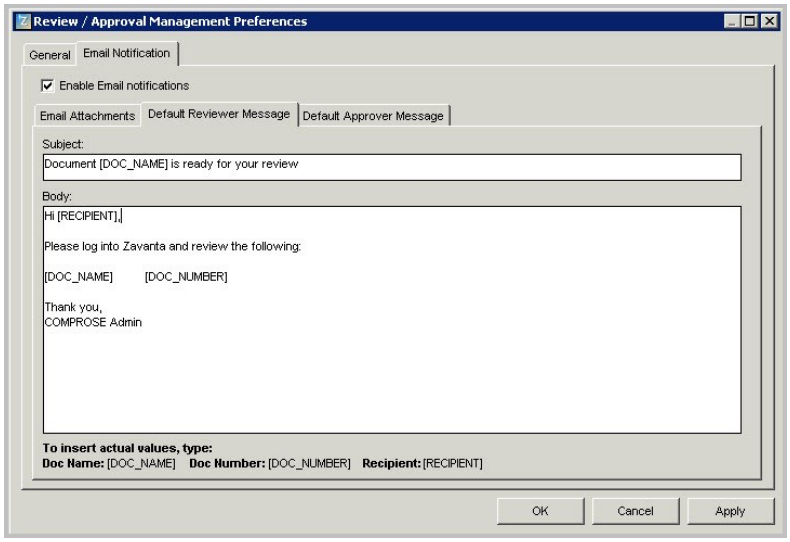
Standard (Default) Email Message

You can create a standard email message for Reviewers as well as one for Approvers.

Edit the subject line. Be careful to keep [DOCUMENT_NAME] in the subject line. That will display the name of the actual document.

Enter the email message. If you keep the variable [RECIPIENT], Zavanta will automatically insert the first name of the Reviewer/Approver. This features lets you personalize your message.

NOTE: The default email format is plain text but if you know HTML code, you can insert it into the email template to achieve different effects such as bolding and different fonts.



Setup: System Email Settings

If you will be using Zavanta's email notification features, you need to make sure general email settings are defined in General Preferences. You can access General Preferences under the Admin/Setup Menu.

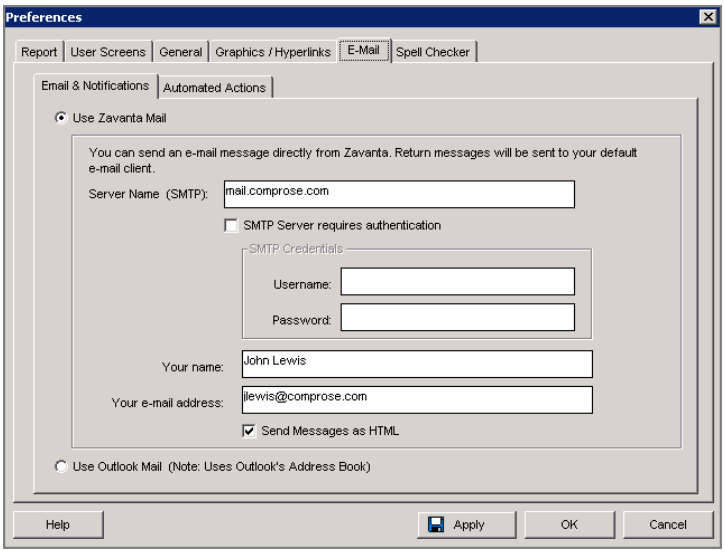
1. Go to the Admin / Setup Menu.
2. Click on General Preferences.
3. Click on the E-Mail tab.
4. Complete the information on the screens.
    - The first tab shows the email settings used for the specific user. (Each Zavanta user will need these settings defined). These settings are stored on the local PC.
    - The second tab shows global email settings used for Automated Actions that are stored in the Zavanta database. Any user (preferable the System Administrator) will select these settings.

NOTE: Zavanta does not have its own email client. Zavanta email supports SMTP server (both authenticated and not authenticated) or you can use Microsoft's Outlook.

Email Settings for the User's PC

These are setting for email sent from Zavanta in the following features:

- Emailing a document or message (File Menu)
- Emailing Reviewers and Approvers (if you have the Gold Edition)



If you want to use Microsoft Outlook, then select that option.

If you don't use Microsoft Outlook, then select the "Use Zavanta Mail" option. Complete the fields.

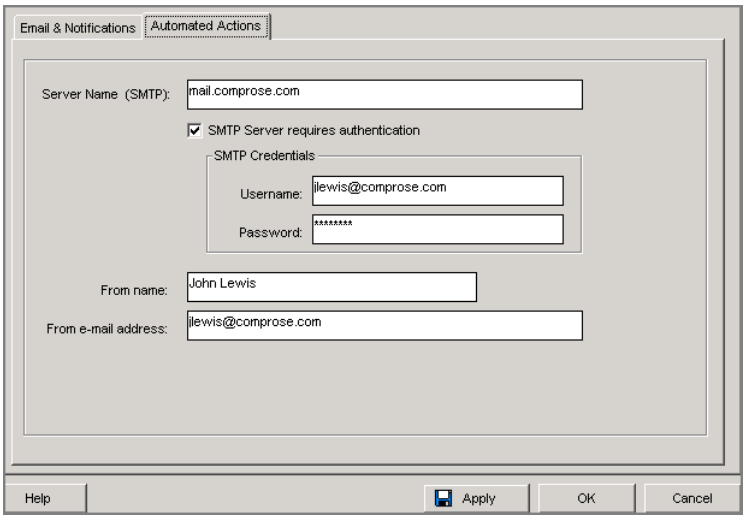
Result: This will set the outgoing email settings for this Zavanta user's PC.

Setup: System Email Settings, continued

Global Email Settings used for Automated Actions

If you will be emailing via Automated Actions, you need to tell Zavanta the email settings for your server. These settings apply to the system and are stored in the Zavanta database.

All emails that go out from Automated Actions will have these settings.

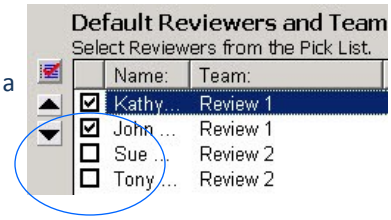


1. Enter the name of your SMTP server.
2. If needed, enter the username and password.
3. Enter a “From” name. This should be something general such as Zavanta Administration.
4. Enter a “From” email address. This will be a general email address, not tied to a specific person.

Setup: Define Workflow (optional)

If you want to use Zavanta's automated workflow, follow the steps below:

1. Go to the Review / Approvals Main Menu option. (Gold must be enabled for you to see this menu option.)
2. On the General tab, check the "Enable Review/Approval Workflow" checkbox.
3. Select the end status. This is the status you want set at the end of the workflow.
4. Define the workflow for Reviewers.
5. Click on the Default Reviewer List.
6. Check the cycles you want to run automatically. If you want to STOP after a specific cycle, make sure that box is unchecked.
7. Click on the Default Approver List. Perform Step 6 for Approvers.



Result: This standard workflow will be applied to all documents. If you want to override the standard for a specific document, go to the document's Review and Approval logs and check/ uncheck the records as needed.

Example Scenario:
Say you want to start the cycle for Review1 team, automatically email notify them. After all the Review1 Team members have completed their review, you want the document to be automatically submitted to the Review2 team and have them notified. You want the Review2 Team members to see comments from Review1. After Review2 members have all completed their review, you want to stop and incorporate changes before the document goes to Mary (Review3). After the edits are in, you would manually start Review3. After Mary (Review3) has completed her review, you want to incorporate final comments and then submit for final approval.

Your workflow preference would look like the below. You **uncheck cycles where you want the workflow to STOP**.

☑ John, Review1

☑ Sara, Review1

☑ Sue, Review1

☐ Sally, Review2

☐ Steve, Review2 ← STOP, edit before Mary reviews it

☐ Mary, Review3 ← STOP, edit before final approval

☐ Stephanie, Approval1

☐ Susan, Approval1

CAUTION: Do NOT use workflow unless your process is consistent. Workflow is intended to automate steps that are the same in every situation. Make sure you TEST your workflow on a couple of documents before applying it to a large number of documents.

After all approvers have approved, the document's status can be changed to Approved or whatever "end" status you set in the workflow. NOTE: If you want email notifications to be sent automatically make sure you have set up Automated Actions.)

Setup: Automated Actions (optional)

Automated Actions is a feature that triggers automatic emails and Status Code changes. This feature puts typical actions you perform on autopilot such as email notifying Reviewers and Approvers and reminding Reviewers who are late in completing their review.

The trigger for an Automated Action is based on any rule defined by a filter definition.

If you want to put email notification on auto-pilot instead of sending manually, there are additional setup steps you'll need to perform:

- Create Automated Actions
- Use the Windows Job Scheduler to setup a scheduled job to check and send emails on a scheduled basis

Refer to the **Automated Actions User Guide** for details.

Review & Approval Process

"How To"

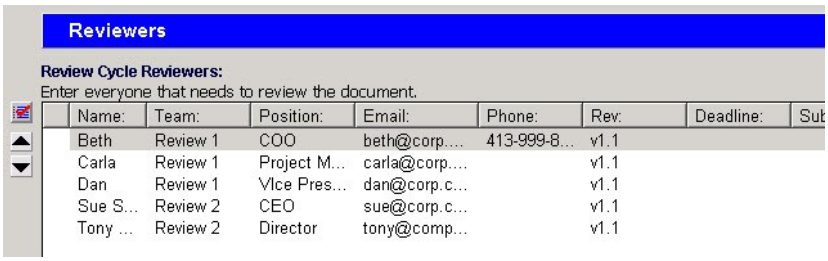
Getting a Document Ready for Review

The Review process usually begins as soon as the author or subject matter expert has completed an initial draft or after an Admin performs an editorial review. In either case you may want to keep the status "In Development" or you might want to change that status code to something like **Ready for Review** (or whatever status you want that signifies to Owner/Manager "I've finished writing.") Depending on your situation, you may not need to do anything else.

Optional Steps

You can do the following while the document is open (on the Review / Approval Management screen or from within Control Central.)

Change Reviewer and Approver logs. When a document or a new revision of an existing document is created, the logs get auto-filled with the information you've defined in Review/Approval Preferences, but you can override it here.



- If you want to add additional people, select them from the Zavanta Users Pick List that is attached to the log. (the user must exist in Zavanta's User Manager).
- If you want to assign a specific person to more than one Team, you can add them to the log more than once, then change their team. (NOTE: You cannot have duplicate people on the same team)
- If you want to set a deadline, enter a date for each person. Deadlines may vary depending on peoples's workloads, vacation times, so you can set a different deadline for each person. (*Their deadline will appear front and center on their Preview Screen!)*
- Use the up/down arrows to group team members together. Keep in mind that Zavanta does not process Reviewers/Approvers in the record order, records are processed when you select the matching Status Code.
- Leave the last three fields alone. Zavanta autofills those fields.

Other Handy Options:

- **Notes field — You can enter any specific notes or instructions** for the review cycle you are about to start using the Notes field. These notes will display on the Reviewer/Approver's Preview screen. This is a handy feature that lets you easily communicate instructions to all team members at one time. For example, in your first review pass you may want reviewers to read everything carefully. Subsequent reviewers may only need to review certain sections.
- **Sent By field —** The data in this field will also display on the Reviewers' Preview screen so Reviewers will know who to contact in case they have questions. Typically this is the contact information for the owner/ manager — the person responsible for getting the document reviewed and approved.

If You Use Zavanta's Workflow

If you have defined a specific workflow, Zavanta will follow the order you have defined in Preferences. You can override the global workflow settings for any document by changing the checkboxes in the document's Review and Approval logs.

Submitting a Document for Review

You can submit a document for review or approval (start a cycle) while the document is open, or from Control Central. (The Control Central dashboard lets you initiate and manage the complete Review and Approval process without having to open a document.) (NOTE: If you want to completely automate this process across multiple cycles, use Zavanta's workflow. You can also automatically kick-off a cycle using an Automated Action. See the Automated Actions User Guide for details).

1. Start the cycle.

In an open document from the Review/Approval Management screen:

- Select the Status for the cycle you want to start.
  Result: You'll see the cycle icon next to the people in this cycle.
- Press the "Start Cycle" button.

  Result: This will save the document and start the cycle. You be asked about sending an email notification. Go to Step 2.

  You can also start a cycle by simply changing the Status and saving the document. You will get a reminder screen telling you that you are about to start a cycle. If you've done something to unintentionally trigger a save, this lets you back out of it. ***If you've started a cycle, you'll want to close the document now — especially if you have email notifications going out. The document will not appear on the Reviewer's Preview until you close the document.***

From Control Central

- Select the document from the Control Central dashboard. You can double-click it or highlight it and press the Open button.
  Result: You'll see the Review/Approval Management screen.
- Select the Status for the cycle you want to start.
- Press the "Start Cycle" button.

  Result: This will save the document and start the cycle. You be asked about sending an email notification. Go to Step 2.

  You can also start a cycle by simply changing the Status and then pressing Apply button or the Save button. Apply— saves, keeps window open. Save — saves, closed window. Cancel — removes any changes and closes (if you sent an email it will still go out)

2. Select an email option.

- If you don't want email notification, select Close.
- If you want to send an email notification right now, select Send Email Notification

  Result: You'll see the default email (defined in Preferences.)

  Modify as needed. If you want Zavanta to create and attach a PDF or RTF version of the document, select those options.

  Press "Send." You'll see the emailing sent to each person. When completed, press Close.

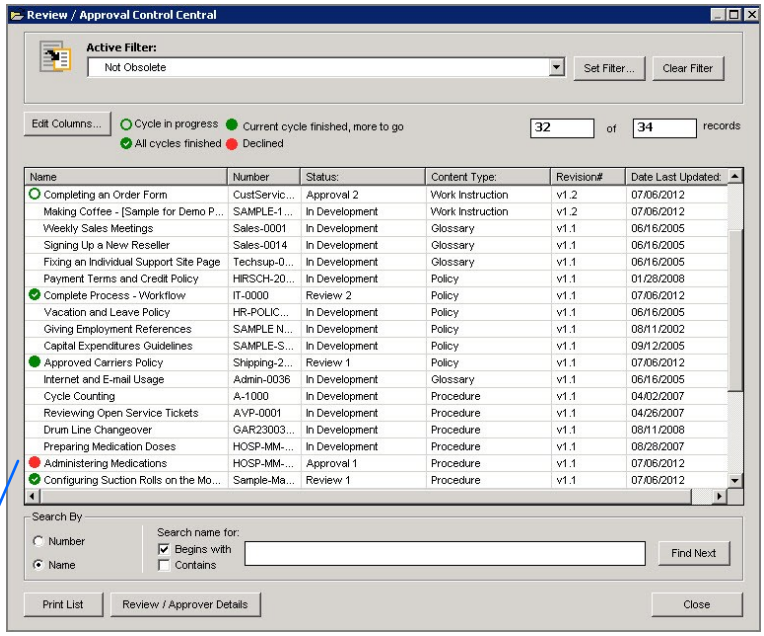
  Result: An email will be sent to each person.

The document is now locked and will automatically close. It is now available on Reviewers' "My Documents" list. You can access the Review/Approval screen in Control Central but you cannot open the document. (On any Select Documents screen, a green open circle icon appears next to any documents that are currently in a cycle.)

Monitor activity for documents under review

Even when a document is in a cycle and "locked" you can still monitor detailed activity of individual reviewers and make changes to the Review / Approval Management data from Control Central.

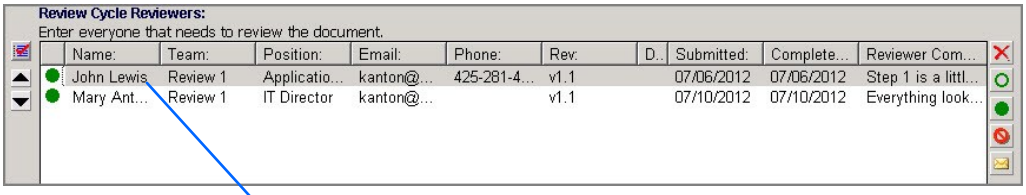
- Individual documents will show an open circle next to them.



To see the activity for an individual document, double- click on it or highlight it and press the Review / Approver Details.

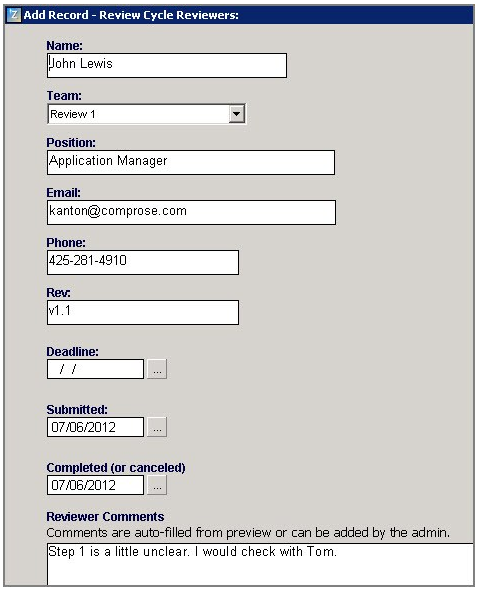
Icons appear next to individual records in the log.

As people complete their reviews you'll see this information auto-fill in the logs.



If you want to see all the details for John, including all of his comments, double-click on his record.

You can drill down all the way to a Reviewer or Approver's record.



FAQs — Review Process

What if I select a Status that has no Reviewers or Approvers defined?

Zavanta disallows this and will display an error message.

What if I've initiated a cycle and I want to cancel one or more Reviewers?

(*someone is out sick, you changed your mind and don't want them in this cycle after all, etc*). Highlight the record you want, press the "Cancel review for this person" button. The "Completed/Cancel Date" is automatically stamped with today's date. A red cancel icon will appear next to their name. *If you want to send them an email to let them know, highlight their record and press the "Email this person" button.*

What if want to ADD more people to the current review cycle? Later cycles?

If a cycle is in progress you can access the log using Control Central. Select the document, open the Review/Approval details. Select the person from the Pick List. When they are added to the log the "cycle in progress" icon will appear next to their name. You can also add people to later cycles. You cannot add people to cycles that have already completed.

What if I want to email notify a specific person again. They haven't done their review, i.e. "nag" them?

Highlight their record and press the "Email this person" button. You can overwrite the standard message if you want: "this is your final notice!!!!" You can also automatically schedule reminder emails to go out using Automated Actions. EX: Send an email out 5 days after a missed deadline, send email reminders 5, 10, 15 days until review is complete, etc. (See the Automated Actions Users Guide)

What if I have some Reviewers that don't have access to Zavanta, so they cannot comment or approve documents using Zavanta's Preview Window?

An Admin / Owner can manually edit their record and add their comments to the log. To approve a document for someone, highlight their record and press the "Mark reviewed for this person" button. The "Completed/Cancel Date" is automatically stamped with today's date.

Does the order of the Reviewer records in the log matter?

Order doesn't matter. Each cycle is initiated when an RA Status Code is selected either manually, or automatically through an Automated Action. However we recommend that you group people on the same team together in the log and keep them in order. For example, you can have the people on Review3 Team as the first entries in the log, but that cycle will not be initiated until you change the Status Code to Review3 and start the cycle.

What if a Reviewer has completed his/her review, but the Admin wants them to review it again prior to going to the next team?

There may be situations in which you want a selected member(s) of a team to review the document again based on other reviewers' comments. The "Re-Submit" button lets you do this. For example, John, Susan, Sally are all members of Review1 Team. They have completed their review but you want Sally to have one last look and you want her to see the comments John and Susan made.

Highlight Sally's record, press the Re-submit button. (the Completed/ Cancel Date is blanked out) You can also email notify her. Sally can then go to her Preview and see her fellow team members' comments, as well as make additional comments. Later comments are appended to Sally's comments field. *(Tip: Since the Preview uses the standard "Web Preview" make sure the Comments field is checked to display in the Master Style you use for the Reviewer/Approvers Preview. This is set in Review / Approval Management Preferences)*

What if I want to incorporate comments (make edits) between review cycles? What should I do with the Status Code?

if there are more cycles to go, we recommend that you don't change the Status Code. If you change it to a non-RA status, Zavanta flags it as "all cycles complete. " So just keep the Status Code unchanged, make your edits and start the next cycle.

Can I use the Global Change Status to Start a Review or Approval Cycle?

No, you cannot change a document's Status Code this way if it is in an RA Status (even if all cycles are finished). Documents currently in a cycle will not even display.

Can I delete documents that are currently under Review (in a cycle?

No, you cannot delete a document if it is in an active cycle. You must complete the current cycle first, then you can delete it.

What if I change a document's Status to something like "Approved" while a cycle is still in progress?

This is not allowed. You have to complete the cycle for all reviewers first. If you change it to a non-RA status, Zavanta flags it as "all cycles complete."

What if the document is "between cycles" and I change a document's Status to a non-RA status such as "Approved" ?

Zavanta will warn you. If you proceed, all remaining cycles will be canceled, the icons will come off. If all cycles are completed and there are no more to go, you won't see the warning. All icons will come off the records. NOTE: This is a quick trick for "cancelling" multiple cycles at one time.

What if the document has been changed to a non-RA status such as "Approved" and it turns out I need more people to review it?

First off, if you think more people will need to review the document, we recommend keeping the document's status in an RA status and not changing it to something such as Approved. If you have already changed the status to something like Approved, you can add new people as reviewers or approvers but you will need to add them to a team that has not been completed. If you start a cycle (such as Review1) that has already been completed, Zavanta will remove the data for those reviewers because it presumes you want to start the cycle again. If you want to preserve the data for the completed cycles, use Start New Revision, or add the new people to a new team.

If we add revisions, how do we know what comments go with what revision number?

All comments are automatically stamped with username, date and revision history number.

Submitting Documents for Final Approval

The steps for getting a document ready and submitting it for approval are the same steps you follow for document reviews with the following two exceptions:

- If “Enable electronic signature” is checked in Preferences, you cannot approve or decline a document for an Approver unless you are authorized to log into their Zavanta “My Documents” and enter their password.
- If the document is declined by an Approver, a red circle icon will appear next to it. For Zavanta to flag a document as “all cycles completed” ALL Approvers must approve it. The Owner/Admin must handle any declines by making necessary changes and submitting the document again until all approvers have accepted it.

Final Sign-off Approval Page

For organizations that require paper sign-off, Zavanta will automatically generate a signature page. That signature page includes a signature line for each person in the Approver Log.

Managing Reviewer and Approvers in the User Manager

Changes that you make in the User Manager such as name and email changes can also be reflected in documents' Review and Approval tracking logs. For example, if an individual gets married or their email address changes, Zavanta will automatically update that data in all the documents. Zavanta will ask you if you want the change to be applied to just active document versions or all documents.

If you want to keep prior versions of documents untouched, select the status code you use for archived documents.

Email and name changes will be automatically updated in the Default Reviewers and Approvers preferences in addition to the documents' tracking logs.

NOTE: If you change the individual's Review or Approval team, you will need to go to Review Approval preferences and change it there as well.

For Reviewers & Approvers

How to Review and Approve Zavanta Documents

How to Review and Approve Documents

Whether you're a board member or the subject matter expert, its easy to review and approve documents that need your attention.

You can access your list of documents that need to be reviewed or approved at any time, but in most cases you'll be notified by email when a document needs your attention. As you finish your review, the document comes off your list. There is no need to save emails, worry about losing track of file attachments or worry about if you have the latest version. **You just go to one place.**

You can access, review, comment, and approve documents in three easy steps:

1. Log into Zavanta (you'll need your Zavanta username and password).
2. Access the document you want from your personalized list.
3. Review the document. Enter your comments into the side panel next to the document preview. You can save your comments and come back later or if you're finished, just press "Save, finished. Your comments and approval status are automatically logged into Zavanta!

How to log onto Zavanta and access the document(s) that need your attention:

1. Click on the Zavanta icon.

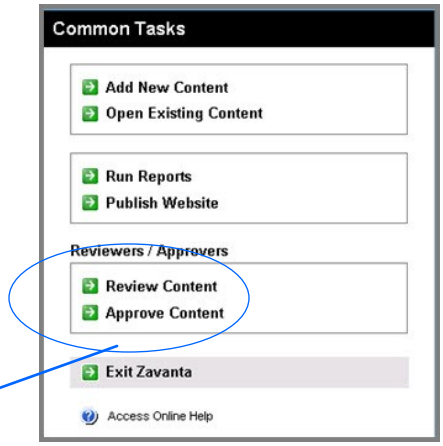
   Result: You'll see a pop-up that asks for your Zavanta username and password.

2. Enter your username and password

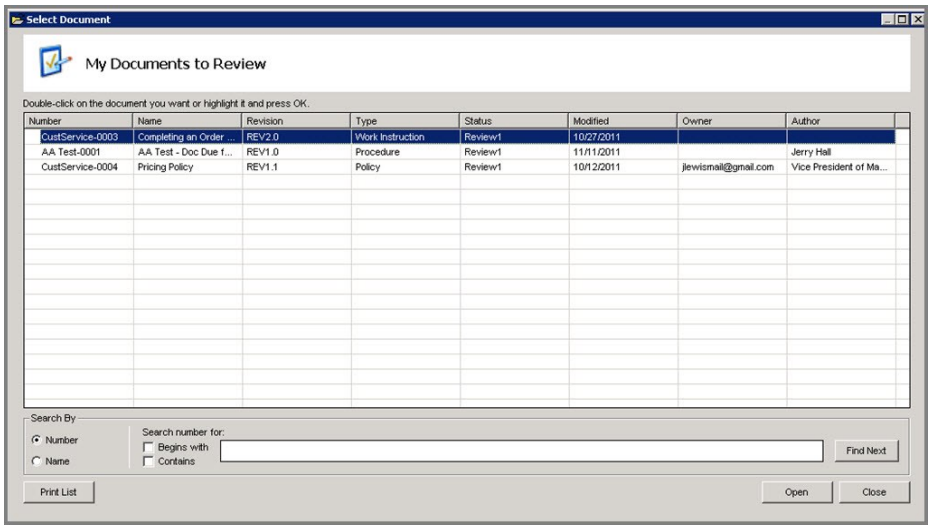
   Result: You will see a menu with options.

3. Click on a task:
   - If you are a Reviewer, click on "**Review Content**"
   - If you are an Approver, click on "**Approve Content**"

   Result: You will see a list of document that need your review or approval.



"My Documents to Review" List



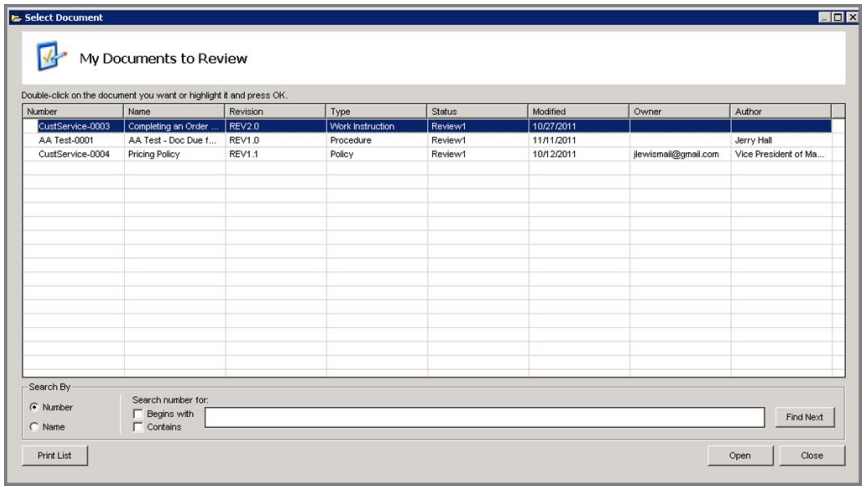
4. Open the document you want to review or approve. You can either:

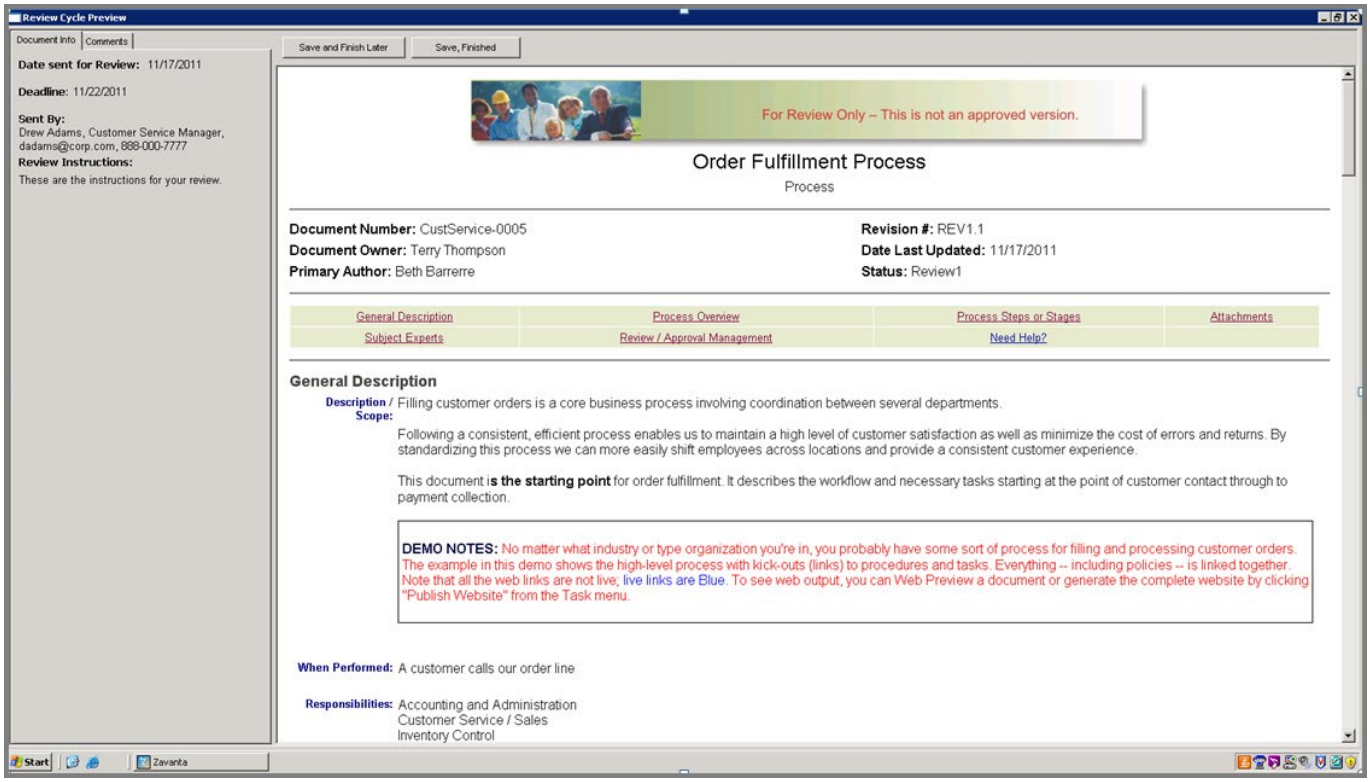
   Highlight the document and press the Open button.

   or

   Double-click on the document.

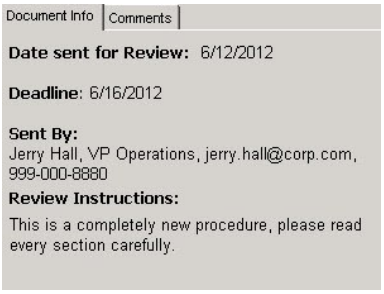
   Result: The document will display in a Preview Window as shown below.

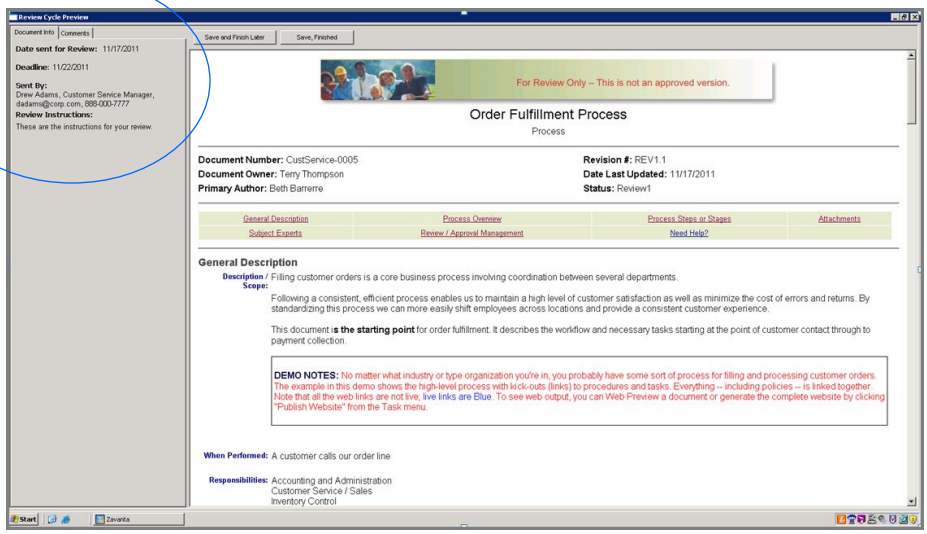




Side Panel

Important information such as review instructions, review manager's contact information display

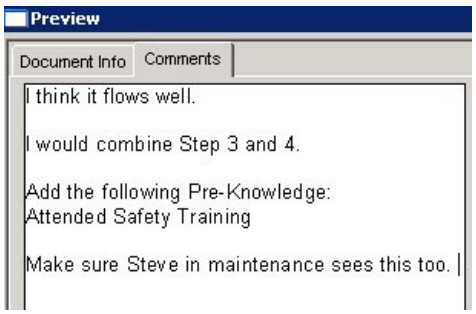




Can click on LINKS in this document so you can review it "in context". If the link is to a document that is locked or unlocked, the links still work

5. Review the document. You can scroll through it or click on the Navigation links to go to each section. Click on the links for any related document so that you can review it "in context".
6. Click on the Comments tab.

   Result: You'll see a window for entering your comments. Your comments will start with your username, date, and the current revision number.



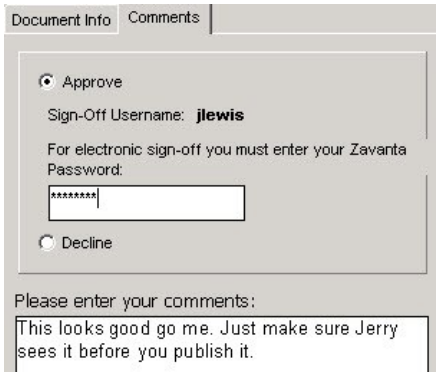
5. Type your comments into the Comments Window.
6. Select one of the following Save options:
   - Press Save and Finish Later if you need to leave the document and finish your review later.

     Result: Your comments are automatically added to the tracking log. The documents stays on your "My Documents to Review" list so that you can come back to it later.
   - Press Save, Finished if you have completed your review.

     Result: Your comments are automatically added to the tracking log. The documents comes off your "My Documents to Review" list.

If you are an Approver, you'll need to Accept or Decline the document. If you need to sign off on it electronically, you'll also need to enter your Zavanta password.

To accept the document and sign off on it follow these steps.

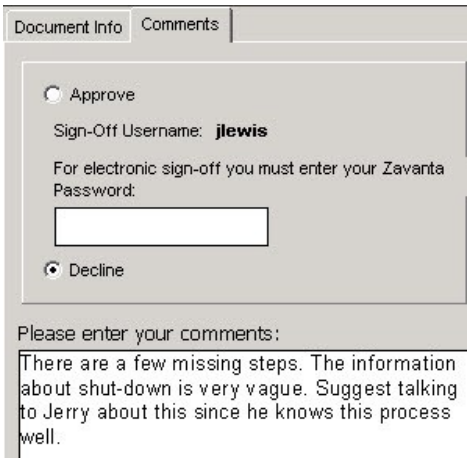


1. Click on the comments tab.
2. Enter comments if applicable.
3. Select Approve
4. Type your password
5. Press the "Save and Approve" button at the top.

   Result: The document will come off your "My Documents to Approve" list.

   Your approval data and comments will automatically be logged in Zavanta.

To decline the document follow these steps.



1. Click on the comments tab.
2. Enter comments if applicable.
3. Select "Decline".
4. Type your password.
5. Press the "Save and Decline" button at the top.

   Result: The document will come off your "My Documents to Approve" list. Your comments and decline information will be automatically be logged in Zavanta.

Publish Approved Documents to Your Website

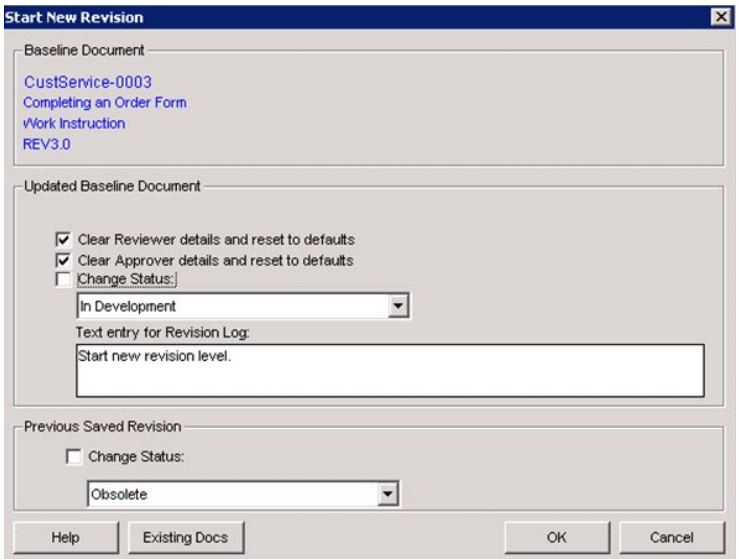
Once the document has been approved, the Owner/Author can put any final touches on it or immediately publish it by changing the status code to whatever status is used in the website export filter. Usually this is status code = **Approved.** (NOTE: If you have an Automated Action defined, Zavanta can automatically email notify employees when documents are exported.)

NOTE: *You have control over what review and approval information is included in final documents that are viewed by employees. Make sure you review those settings in any Master Style that you use in your website.*

Change Management

Start New Revision

Changes in your business will dictate that you update your procedures. Minor changes may not require a formal review, but major changes might. You should decide what necessitates another review process and what doesn't.



If the document will need to go through the review process again or needs major changes, you can use Zavanta's Start New Revision to archive the current version for safekeeping. *Its very handy to keep all comments and reviewer/ approval records in case you have to go back and see this information later.*

Once you select this option, you will see the "Start New Revision" screen.

You have two options for handling the Review and Approval data in the new revision (active document):

- Clear out the existing data and start over with default settings.
- Keep all the data in the logs.

Typically you will want to clear out the data and start fresh with the defaults for the next review.

You may want to change the status of the active or baseline version to "Under Revision" That will keep the existing version on the website but lets you work on the document until you are ready to overwrite the document that is out on the website.

Save As

If you create a new document using Zavanta "Save As" feature you have the same options for clearing historical review and approval data and starting fresh with the defaults.

Appendices

Notes for customers with Zavanta versions prior to v5.0

If you are a customer using a version of Zavanta release earlier than 5.0, you are probably already using the Review / Approval screen that has existed in earlier versions of the software.

Since Zavanta's 5.0 Review / Approval automation uses a new screen that is now managed by the system, you will probably want to hide your old screen. Follow these steps:

1. Make sure you have a recent backup of your database.
2. Go to Review / Approval Management Preferences
3. Click on the Legacy screen tab.
4. Check the "Hide legacy Review / Approvals screen"

If you capture data that is not on the new Review / Approval screen, you'll want to use the Content Overlay Designer and add those fields. You can make some modifications to the new screen with the exception of fields that are used by the system in the tracking logs.

For any existing documents, you can use the "Start New Revision" feature to archive the document with current Review and Approval data for safekeeping. Start New Revision will also clear out the logs and auto-populate them with new preferences.

Reviewer Website Method

If your Reviewers and Approvers don't have access to Zavanta, or you use a document/content management system such as MS Sharepoint to manage your review process, you can still take advantage of some Review/ Approval automation features.

For Reviewers and Approvers who don't have access to Zavanta, you may want to set up a "Review Website" external to Zavanta that can be accessed by them. (You can also attach PDF or RTF document versions to emails sent to Reviewers and Approvers.) And you can still use Zavanta's Automated Actions and email notification features.

NOTE: If you want to use electronic sign-off for Approvers, your Approvers must use Zavanta's Preview Window.

Keep in mind, with the Reviewer Website method **comments made by Reviewers and Approvers are not automatically get logged into Zavanta.**

Reviewer Website Setup Steps

Create a Reviewer Website with Reviewer Master Style. In the Master Style you probably want all the review/ approval management fields are checked. Your export filter should include all the review and approval statuses (Status = Review1 or Review2 or Approval1) to ensure that documents in any cycle are exported to the Reviewer Website folder.

Advanced: Creating Personal Index Pages

You can define filters that automatically generate **personal index pages** for each Reviewer/Approver. As documents are made available, the person's Reviewer/Approver's index page is updated. Once the document is marked "completed" in the log, the documents come off their index page upon the next maintenance export.

If you want to have an index page for each person, create filters such as:

Name = Robin Reviewer
and
Date Submitted IS NOT Empty (*meaning the document has been submitted for review*)
and
Completed/Cancel Date: Empty (*review has not been completed or canceled*)

Result: Any document that meets the filter condition will appear on Robin's index page. Once the document is marked completed, the document will come off of Robin's list upon the next maintenance export.

See the next page for the entire process

Steps for the Admin / Owner in the document

1. Populate the tracking log. In the Notes field you might want to include an email link for the owner manager (or you can have a special section for this at the top of the document). This gives reviewers an easy way to email their comments.
2. Change Status = Review1.
3. Save the document. (or you can use Automated Actions to change the Status Code) Send out an email notification (optional)
4. Run a maintenance export. TIP: To make sure your Reviewers/Approvers don't get the email before it is exported, make sure you run a maintenance export right away, or use Automated Actions to send the email out after your next scheduled maintenance export, for example, tomorrow.

Reviewers

1. Receive the email that a document is on the website.
2. Click on your index page.
3. Click on the document.
4. Review the document.
5. Click on the email link, note comments, send to the Admin/Owner. This email is sent outside of Zavanta. NOTE: If you need to markup the document you can save it to MS Word, markup, and email back to the Admin/Owner.

Admin / Owner records comments, marks complete.

1. Receive the email.
2. Go to Control Central. Enter comments into the log. When a reviewer is completed, press the "Approve for this person" button.

   Result: Date Completed/Canceled field will be filled with today's date, a filled green icon displays by their name. Because the "Date Completed/Cancelled" field is now NOT empty (no longer meets the filter condition for posting on the reviewer's index page, the document will come off their index page when the next maintenance export is run.)

After all reviewers are completed, Admin / Owner start the next cycle:

1. Make edits to the document, incorporate comments as needed.
2. Start the next cycle.

NOTE: If you don't want to use personalized index pages (set up an index page and filter for every reviewer) , you can have reviewers go to a main index or have an index for all members of Review1 team, all members of Review2 team, and so on. Zavanta's website automation gives you many options to design your own process. Keep in mind however that with this method the document will NOT come off the general index until ALL reviewers have completed it.