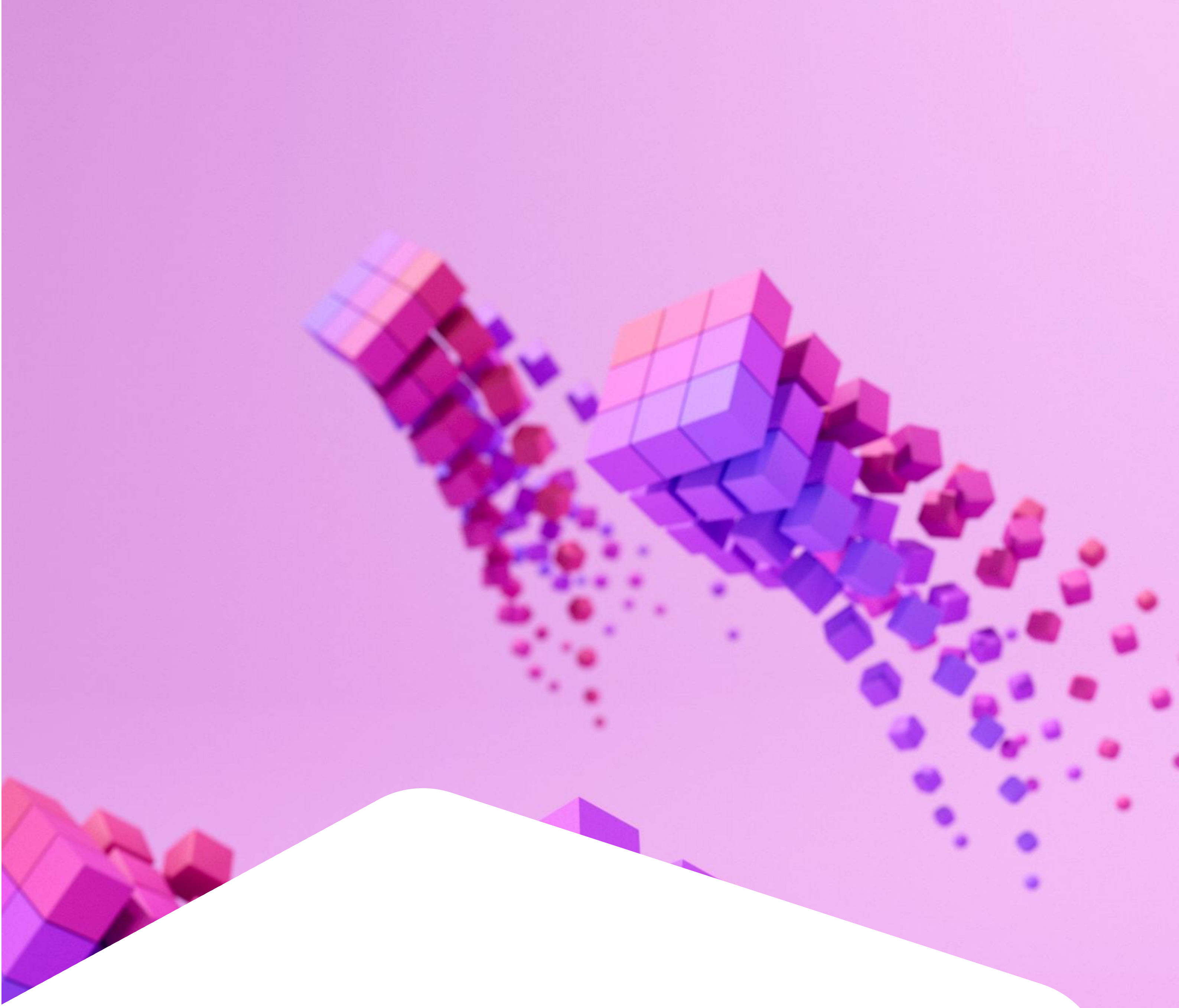

EQS

APPROVALS – GETTING STARTED GUIDE

Go Live

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Welcome to EQS Compliance Cockpit! *This guide will walk you through each step to review the Approvals module and start receiving and managing Approval requests.*

This guide is written specifically for Convercent upgrade customers, with notes that explain how to achieve the functionality from Convercent in your new Compliance Cockpit. Throughout this document you will find links to the home page of the EQS knowledge base. There, within the knowledge base, you will find more detailed resources that cover how to use the Approvals module.

Click here for the EQS knowledge base. *See page 5 below for more information about the knowledge base and how to register.*

How do I ensure continuity and make sure Approvals is live and ready for use?

We have replicated your configuration from Convercent to the EQS Compliance Cockpit! Your top priority actions are listed in the "Going Live" section below – your focus is to activate your account, review the configurations, make one or two updates as indicated below, and start to get comfortable with the new interface.

To help you learn your new system in relation to Convercent, we have created a Learn More guide and a Glossary of Terms that includes a summary of the configurations that we have made for you. You'll find those resources here.

What if I want to take this opportunity to update or change Approvals configuration?

The document: Getting Started Guide - Approvals Learn More will walk you through the Approvals features with guidance on how to make updates.

1. Going Live

These are the required steps for activating your account and making sure everything is live.

Upon go-live, your system was set up with one administrator user account.

To activate your user account, follow the steps below carefully.

Please note - the activation email expires after 72 hours and will need to be re-sent if you do not activate your account before then.

Because account activation is such a critical part of the upgrade, we have created a video that goes over all of the steps. Click here to watch the video.

You will receive an activation email with the subject "Welcome to EQS Compliance COCKPIT!" **This email is valid for 72 hours.**

After 72 hours, contact your ***EQS Compliance COCKPIT*** administrator for a new activation email.

Note - If you are the very first user at your company for Compliance Cockpit, contact EQS Support for help resending the activating email.

01. Click the link in the email.

02. Set your password.

    a. Log into *EQS Compliance COCKPIT*

    b. Note for customers going live with EQS Approvals **and** EQS Integrity Line: After setting your password, you must log in right away to finish activating your account by saving your Recovery Key.

03. You can find the correct link to *EQS Compliance COCKPIT* in your activation email or in any notification email.

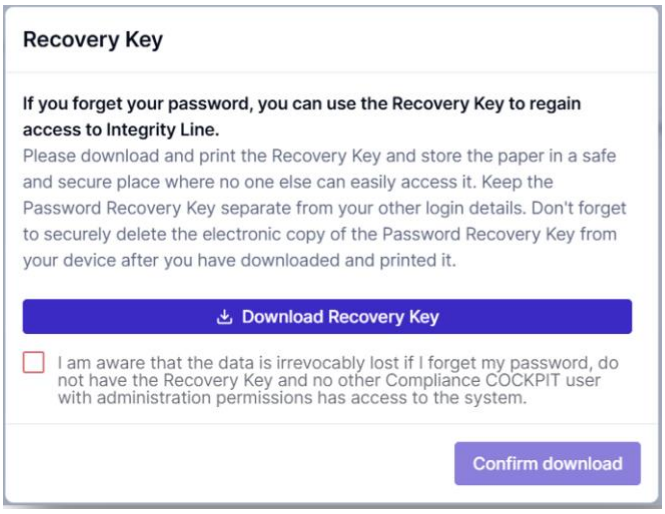
04. Download your Recovery Key

If you are Going Live with EQS Approvals **and** EQS Integrity Line, you will be prompted to download a recovery key.

If you are Going Live with EQS Approvals **only**, you will not be prompted to download a recovery key and refences to recovery key in the remainder of this document should be ignored.

CRITICAL: If prompted, DO NOT SKIP THIS STEP - Losing access to your Integrity Line account without a recovery method in place will result in permanent data loss. The system does not allow EQS Support to trigger a password reset, making it impossible for our team to recover a locked account.

    a. When you log in for the first time, you will see this pop-up:



b. The recovery key is an additional layer of security for *EQS Compliance COCKPIT* accounts. During account activation, you must download and save a **Recovery Key**. This is the only way to reset your password if you lose access. Store it in a secure location.

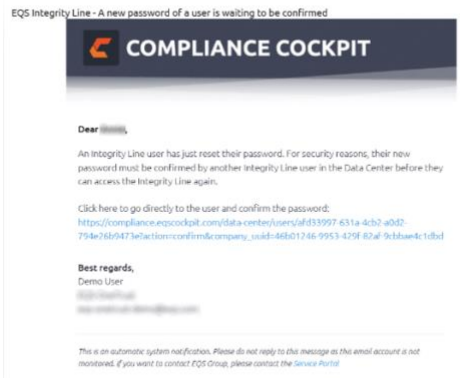
Important - Before confirming download, you will be required to acknowledge that if you lose both your password and the Recovery Key, your data is irreversibly lost. There is no backup, no reset option, and no way for Support to help.

Password Recovery

This application **does not** support password recovery methods such as security questions or Support-assisted password resets. Instead, there are only two ways to recover access:

01. **Recovery Key File** – During account activation, you must download and save a **Recovery Key**. This is the only way to reset your password if you lose access. Store it in a secure location.

02. **Another Active Admin User** – If there is a second Compliance COCKPIT user with access to the Data Center in your system, they can assist you in resetting your password. When you request a password reset, the second user will get an email like the one below, and they can click through to approve the password reset.



Now that you have activated your account, bookmark https://compliance.eqscockpit.com/ for easy access to the Compliance Cockpit.

1.1. Register for the Knowledge Base and Support Resources

01. You will find our full knowledge base at https://support-center.eqs.com/s/c-e-overview.

02. Register for an account by submitting your email and creating a password.

    a. Register here: https://support-center.eqs.com/s/login/SelfRegister.

Note - This is a separate log-in from your Compliance Cockpit username and password.

03. Support Queries are submitted through HelpDesk as well.

04. **Bookmark the URL** so that you can easily access the knowledge base and reach out to Support when needed!

1.2. Create additional Request administrators

In Convercent, Approvals access permissions were determined by two settings – User Account Permissions and Notification Profiles. In *EQS Compliance COCKPIT*, access to Approvals requests is managed through comprehensive role assignments in the **Roles & permissions** tab.

01. Within *EQS Compliance COCKPIT*, find the top-left navigation menu and click on **Data Center**.

02. Select the **Roles & Permissions** tab to view the roles available in your account. We have already configured user roles that mirror your set-up in Convercent. Some examples of roles are seen here:

Convercent Permission	EQS Compliance Cockpit Role	Type
Organization		
Organization Setup		
Human Resources	Admin	Standard
System Administration		
Disclosure Management		
Admin	Approvals Admin	Custom
Moderator	Approvals Moderator	Custom
Participant	Employee	Standard
IT Setup		
	IT Setup	Custom

a. Standard *EQS Compliance COCKPIT* roles are out-of-the-box roles.

b. Visit the Knowledge Base for more information on using User Roles and updating and creating custom user roles.

03. **Create Users:** Within Data Center you can create users by clicking "Create" or "Import users" in the top right corner. **Make sure to assign them the correct user role in the Active Roles field**.

For more information on adding users review the "Manually Create and Update Users" article in the Knowledge Base.

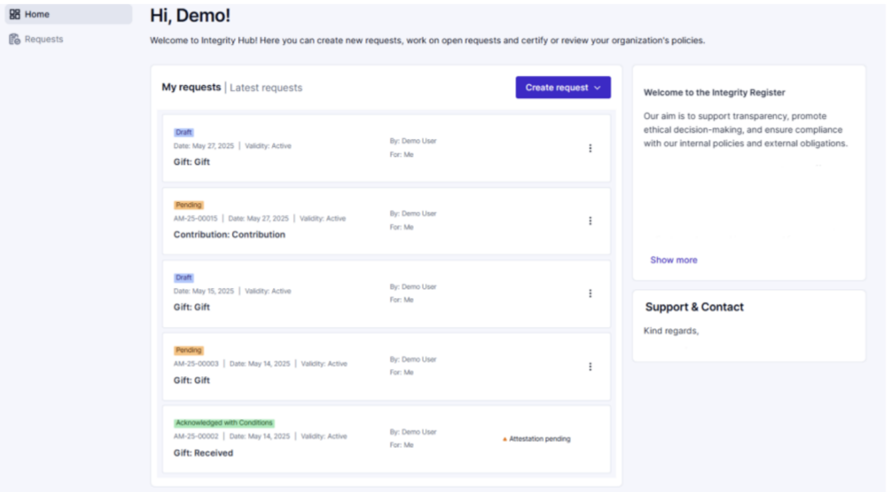
1.3. Accessing EQS Integrity Hub

The EQS Integrity Hub is where your colleagues will create Requests for Approval. You can access the EQS Integrity Hub typing this web address into your browser address bar:
https://www.integrityhub.net

For convenience, you should add this to your browser favorites.

01. Once launched you will land on the home page where you and view the custom welcome message and the last 6 Requests.

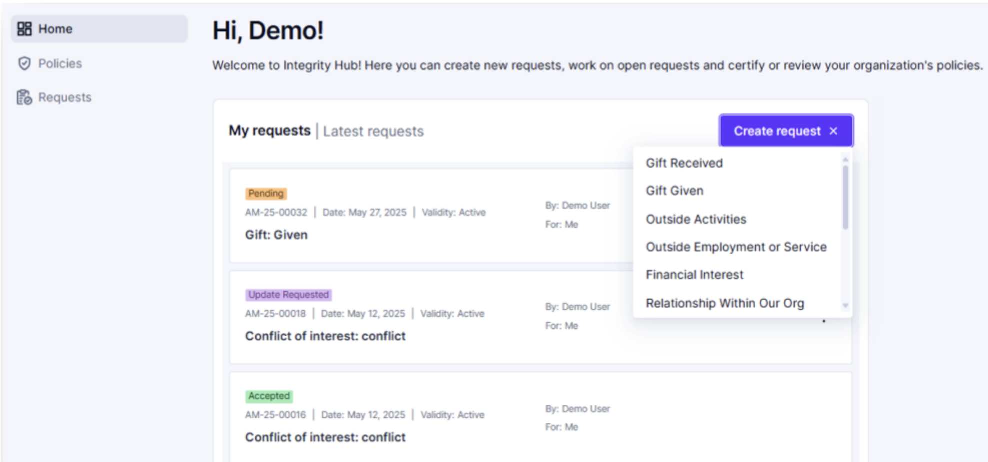
02. Select the Requests option in the left-side menu to view all your Requests.



If you require changes to the branding or configuration of the EQS Compliance COCKPIT, reach out to Support.

1.4. Review Request Forms

01. In *EQS Integrity Hub* use the **Create request** button to submit requests for each request type. As you complete each request ensure each form matches the forms used in Convercent disclosures.



02. Please reach out to Support if significant and material differences are identified.

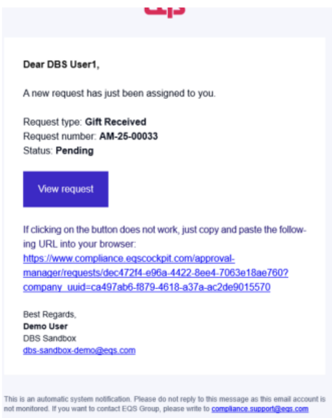
03. Go ahead and submit a few test requests and we will see how they appear and are reviewed in EQS Compliance Cockpit. Don't worry, as an administrator, these test requests can be deleted so they will not impact reporting and dashboards.

1.5. Reviewing and Approving Requests

Approval administrators can review requests in ESQ Compliance Cockpit. Approval administrators will be notified via email of new requests to review.

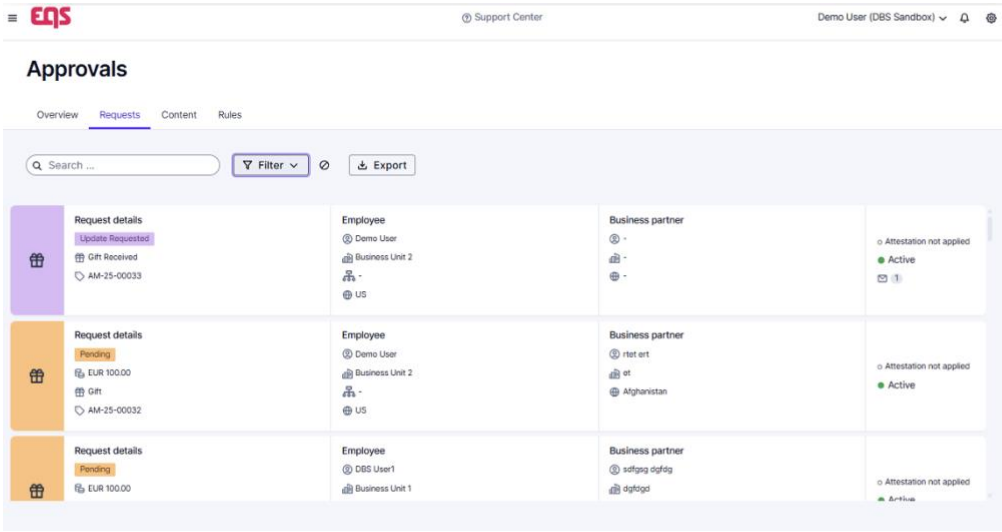
Please refer to the Notifications Sections below as EQS Approval rules may impact who get notified for new request and calls to action.

01. Click the **View Request** button to launch EQS Compliance Cockpit to review the request.

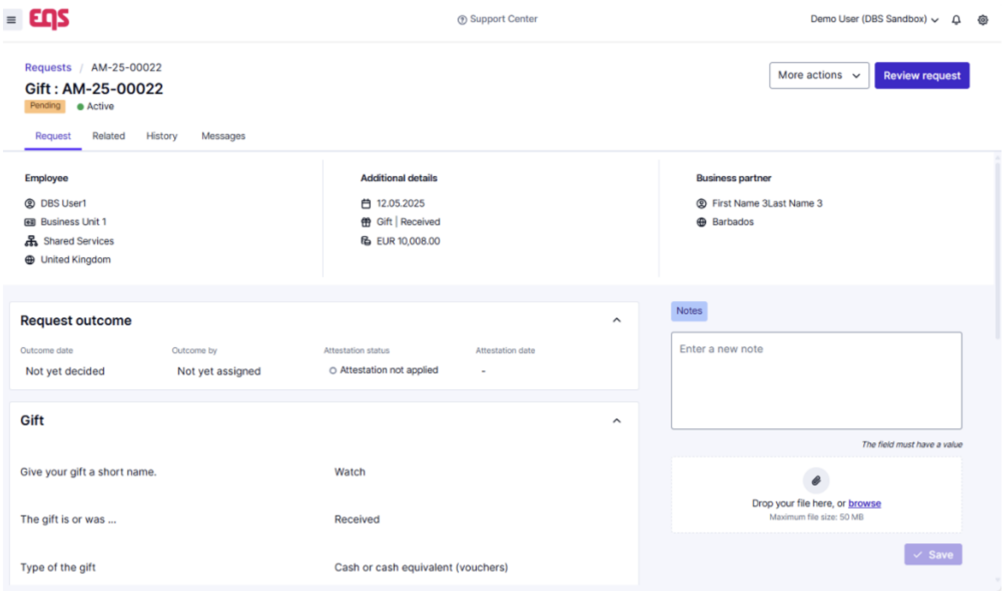


02. Alternatively, you can access EQS Compliance Cockpit via https://compliance.eqscockpit.com

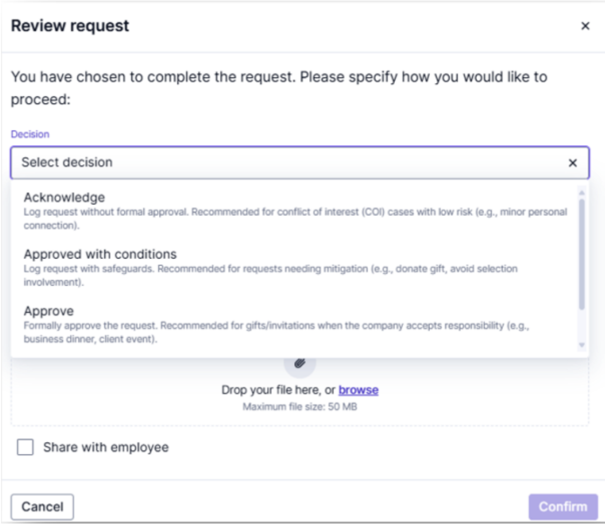
03. Select **Approvals** from the hamburger menu in the top left corner to view a list of requests.



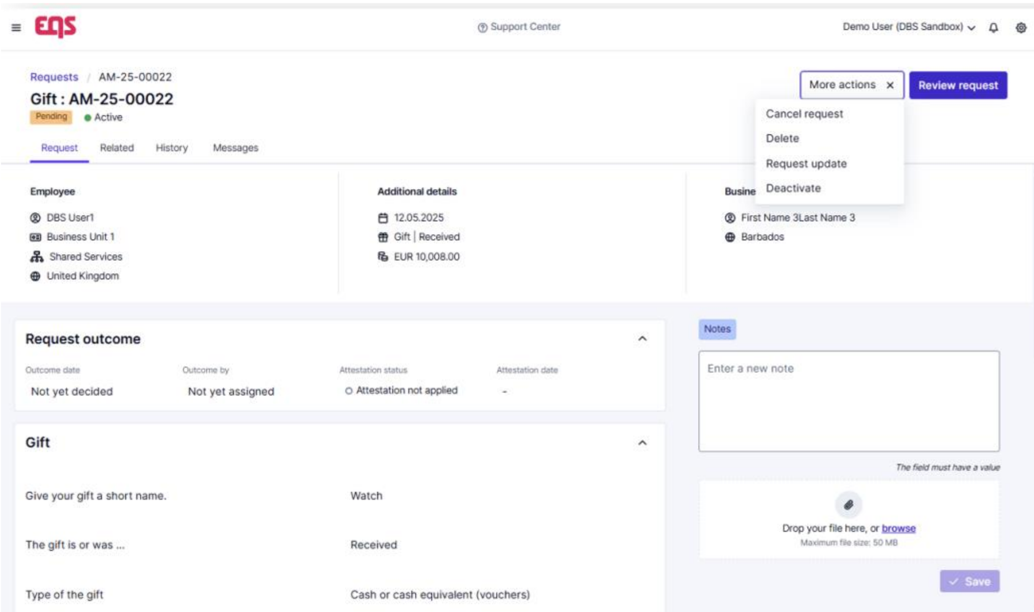
04. Click on the desired Request to display the Request detail for review.



05. Press the purple **Review Request** button in the top right corner to select a decision for this request.



06. Click **More Actions > Delete** to remove this and other test requests from the system so they will not impact reporting and dashboards.



1.6. Notification Profiles

Convercent Disclosures used Notification Profiles with a combination of responder location and disclosure types to assign disclosures to approvers or approver groups.

EQS Compliance Approvals uses powerful Approval Rules to assign disclosures to approvers.

Convercent notification profiles have been converted to EQS Approval Rules during the migration process. Please confirm this is working as expected.

Visit the Knowledge Base to find a full manual on the Approvals Rules Engine.

1.7. Submit internal requests for IT and other internal updates

1.7.1. Single Sign-On (SSO)

01. If your Convercent account uses single sign-on, you can enable it in *EQS Compliance COCKPIT* as well.

Note - If multifactor authentication was requested for your EQS Compliance COCKPIT configuration, SSO cannot be enabled. You can skip this step in the guide.

02. To enable SSO, follow these steps:

    a. Create a user account for IT with the active role: **IT Setup**

Note - This user's access will be restricted to EQS Compliance COCKPIT Global settings only and not allow access to confidential data.

    b. IT: Log into *EQS Compliance COCKPIT*.

    c. IT: Click the gear icon in the top right to open the settings sidebar.

    d. IT: Click on SSO Configuration.

    e. IT: Download the SSO manual as needed and provide it to your internal IT user to configure SSO.

1.7.2. Data Sync

To interact with EQS Integrity Hub all users must have an active account. System administrators must provision (create) all user accounts to allow interaction with EQS Integrity Hub. It is not practical for system administrators to create and update these accounts manually. EQS has provided 3 options to achieve bulk user provisioning:

1.7.2.1. Spreadsheet import

This method does not require IT Professionals and can be performed by *EQS Compliance Cockpit* administrators with sufficient access. This is a manual task and should be performed on a regular basis.

01. In *EQS Compliance Cockpit* select Data Center from the left-hand menu

02. Select Import Users

03. Follow the Import users Instructions on the pop-up modal screen

Visit the Knowledge Base to find a full manual on the importing and updating users.

1.7.2.2. SCIM

01. From the gear icon (top right) select DataSync Configuration

02. Download the EQS DataSync User Manual.pdf

03. Pass on to your IT Professional who has been previously granted access with the IT Setup role.

1.7.2.3. SFTP

SFTP is the most common method for provisioning user accounts in Convercent. EQS supports SFTP with a major difference.

SFTP sites are hosted by the customer not by EQS.

Please consult EQS SFTP User Manual.pdf for further information.

1.8. You're Live!