

- d. **Subtypes:** Refers to specific subcategories within a request type (e.g., *Gift Given* vs. *Gift Received*).
04. **Requires Acknowledgement** = Specifies who should be notified or required to acknowledge the submission, even if no approval action is needed.
- a. **Requires Manual Decision:** Indicates that the form requires a manual review. You can assign the appropriate Approval Group.
 - i. **Acknowledgement Group** = This will be the 'Approval Group' required to review
 - b. **Automatic Approval:** Applies when submissions meet specific criteria that allow them to be automatically approved without manual review.

1.2. OneTrust

In OneTrust, routing logic is configured and applied across these areas:

- **Template Rules:** Assigns workflows or enable auto-completion.
- **Note: The order of rules may affect the outcome.**
- **Workflow Rules:** Assigns approvers to review
 - Default Workflow: Applied when no other rules match
- **Routing Rules:** Assigns workflows based on templates or user attributes.

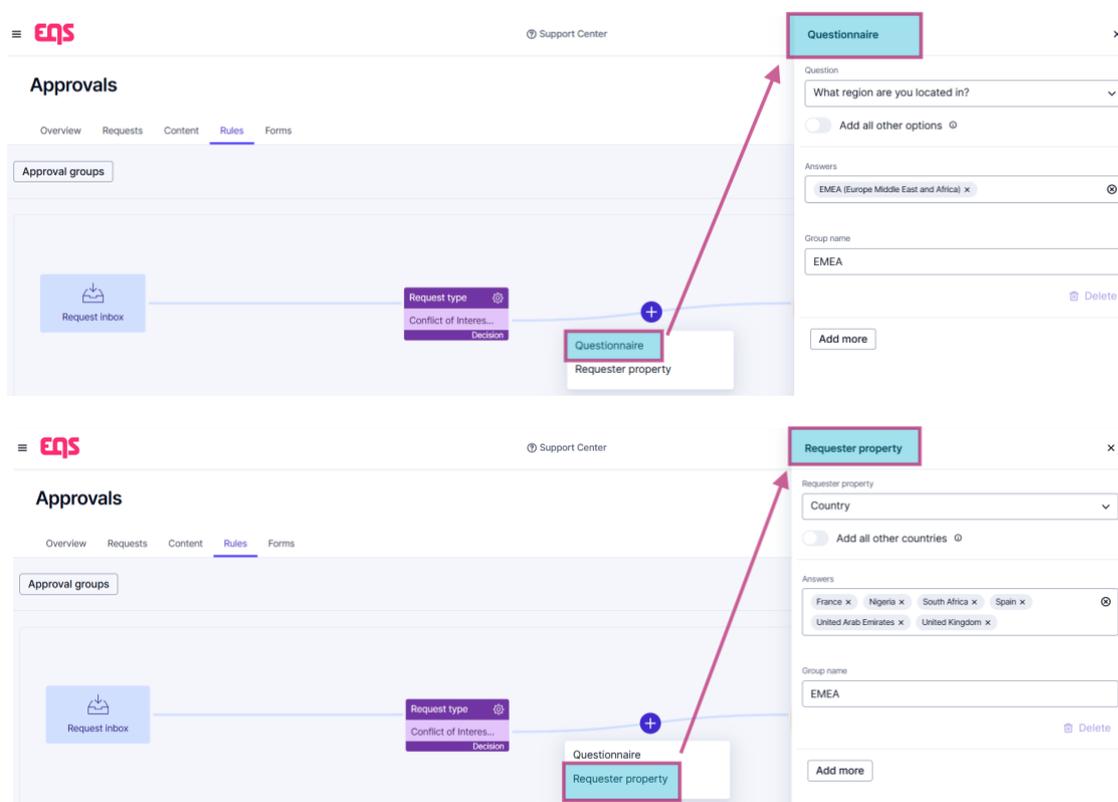
1.3. Template Rules

- In OneTrust: Routing is managed by Template Rules. Based on form responses, the forms are routed to specific workflows.

The screenshot displays the 'Rules' configuration page in OneTrust. On the left, a list of conditions is shown for the form 'Other Potential Conflicts of Interest'. The main configuration area on the right is divided into 'Conditions' and 'Actions'. The 'Conditions' section is set to 'Any' and 'All', with a condition defined as 'Question' (1.2 What Region are you based in?) 'Equal to' 'EMEA'. The 'Actions' section is set to 'Assign workflow upon submission', with a warning that 'All current approvers will be re-assigned to every stage in the new workflow'. The 'Workflows' section shows 'EMEA Workflow' selected.

■ In EQS: Routing is handled through the Decision Tree, using criteria like 'Questionnaire' responses or 'Requester Properties' (e.g. country, department).

■ Examples: **Country/Regional Routing**; This can be configured using the 'Requester Property > Country' attribute or through the form question using the 'Questionnaire' function.



1.3.1. Template Rules Review Checklist:

01. Rules

■ Review the number of template rules on each active OT Disclosure form. Check each rule is mapped equivalently in EQS Approval forms.

➤ **Note: EQS does not support rule hierarchy or execution order, so rules dependent on sequence may need to be restructured.**

02. Conditions

- Check how many conditions per rule, and review the logic; 'All' = AND logic, 'Any' = OR logic
- For rules using 'OR' logic, assess if EQS's "Add all other options" feature can be used to replicate the intended behavior
- Complex conditions may need to be simplified or split into separate rules.

03. Actions

■ EQS only supports these OneTrust actions: Assign Workflow and Auto-Complete

- Other actions involving tasks, or Auto-Complete with Result Comments, etc are not transferable and may require alternative handling.

Details Builder **Rules** Translations

Add rule Reorder rules

<input checked="" type="checkbox"/>	AMERICAS Approver	1 Action 2 Condition(s)	>
<input checked="" type="checkbox"/>	EMEA Approver	1 Action 1 Condition(s)	>
<input checked="" type="checkbox"/>	Brazil Approvers	1 Action 1 Condition(s)	>
<input checked="" type="checkbox"/>	Japan Approver	1 Action 1 Condition(s)	>

Details Builder **Rules** Translations

Add rule

* Conditions Any All

Question 1.2 What Region are you based in? X

Equal to NORTH AMERICA +

OR

Question 1.2 What Region are you based in? X

Equal to LATAM +

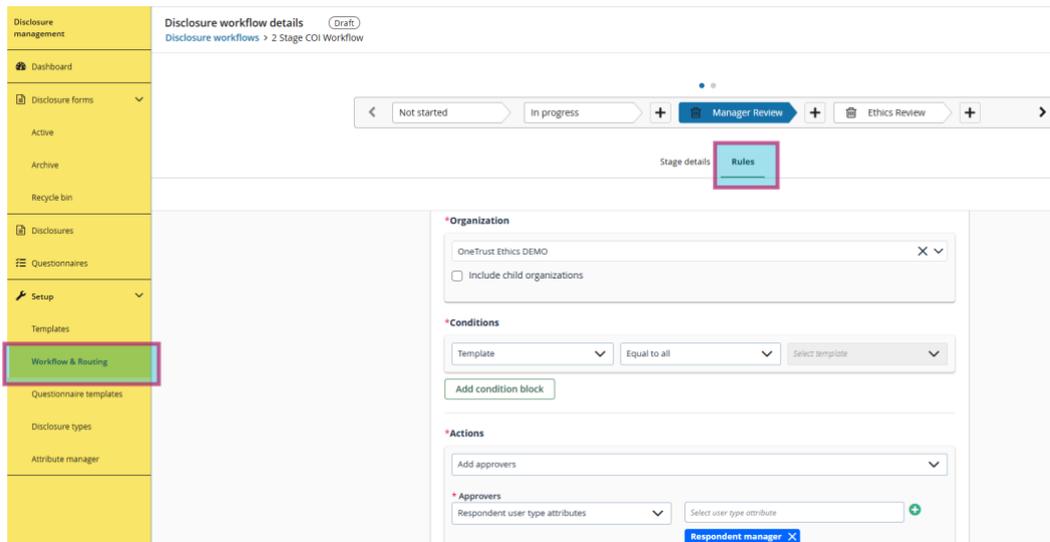
Add condition block

* Actions

- Assign workflow upon submission
- Assign workflow upon submission
- Auto-Complete Assessment Upon Submission
- Create task upon submission
- Send assessment upon approval
- Send assessment upon submission

1.4. Workflow Rules

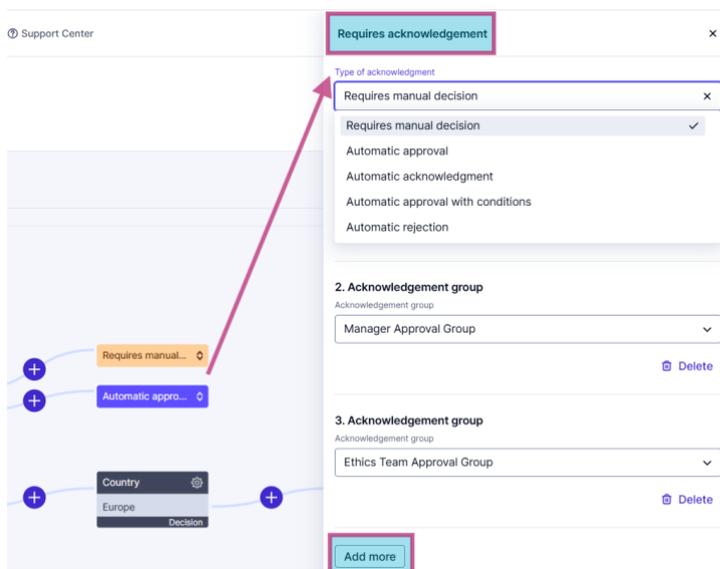
In OneTrust: Workflow rules define who reviews / approves the forms and how many review stages are required.

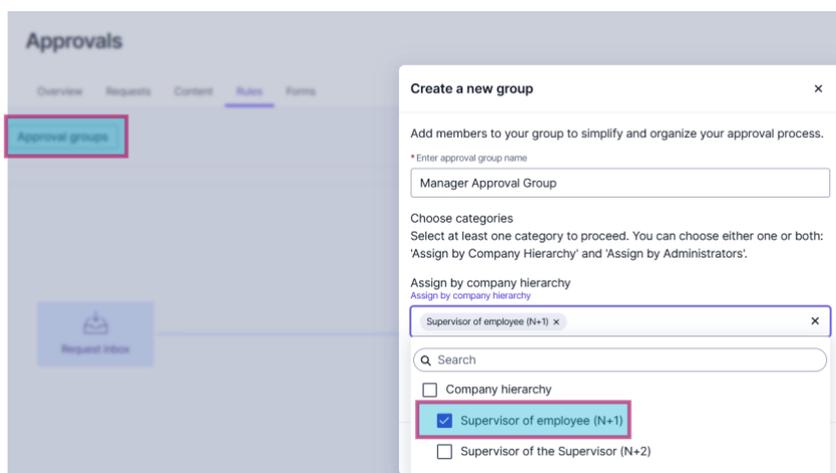


■ In EQS: Approvers and Approval stages are set in **"Requires Acknowledgement"**

1.4.1. Examples:

- **Manager Workflow:** In EQS, this is configured under 'Approval Groups' by selecting the **'Supervisor of employee'** option. You can then designate this manager group as the Acknowledgement Group.
- **Multi-Stage Workflow:** Configure this using the **'Add More'** option. By adding multiple **Approver Groups**, you can create a multi-stage, sequential approval process.
- **Auto-Approvals:** Also configured within the *Requires Acknowledgement* section, you can enable Automatic Approval to bypass manual review. There are different auto-review options, be sure to select the equivalent one.





1.4.2. Workflow Rules Review Checklist:

01. Workflows

- Review the total number of active workflows in OneTrust. Identify which workflows are currently in use and mapped to templates.

02. Approval Stages

- Check the number of approval stages in each workflow.
- EQS supports a maximum of 5 approval rounds – simplify where needed.

Stage Rules:

03. Organization

- If a workflow targets a specific region or subsidiary, this can be captured in EQS using, 'Requester property', or 'Questionnaire' options

04. Conditions

- Review if any specific templates are assigned

05. Actions

- Review the designated approvers for each approval stage.
- Check the number of active Approval Groups in OneTrust, and ensure equivalent groups are set up in EQS

1.5. Routing Rules

In **OneTrust**: Routing rules are used to assign disclosure templates to specific workflows. Rules can also leverage employee HR data attributes, such as country, to route forms to the appropriate workflow.

In **EQS**: This can be managed by using Requester Properties to assign user attributes. The appropriate Approval Group can then be set within the Requires Acknowledgement configuration.

The screenshot shows the OneTrust 'Disclosure workflows' management interface. On the left, a yellow sidebar contains navigation options: Dashboard, Disclosure forms (Active, Archive, Recycle bin), Disclosures, Questionnaires, Setup (Templates, **Workflow & Routing**, Questionnaire templates, Disclosure types, Attribute manager), and a 'Routing rules' button highlighted in a pink box. The main content area shows a configuration for a 'Routing rule' under the 'Americas Disclosures' workflow. The rule is active (green toggle) and has the following settings:

- Rule type:** Routing rule
- Organization:** OneTrust Ethics DEMO, with 'Include child organizations' checked.
- Conditions:** HR attribute (dropdown), Country (dropdown), Equal to (dropdown), US (dropdown). An 'Add condition block' button is present.
- Actions:** Assign workflow upon creation (dropdown).
- Workflow:** Americas Regional Approval (dropdown).

The screenshot shows the EQS 'Disclosure workflows' management interface. On the left, a yellow sidebar contains navigation options: Dashboard, Disclosure forms (Active, Archive, Recycle bin), Disclosures, Questionnaires, Setup (Templates, **Workflow & Routing**, Questionnaire templates, Disclosure types, Attribute manager), and a 'Routing rules' button highlighted in a pink box. The main content area shows a configuration for a 'Routing rule' under the 'Close Personal Relationships' workflow. The rule is active (green toggle) and has the following settings:

- Rule type:** Routing rule
- Organization:** OneTrust Ethics DEMO, with 'Include child organizations' checked.
- Conditions:** Template (dropdown), Contains any (dropdown), and a 'Select template' dropdown menu with options: 'Family or Close Personal Relation...', 'Family or Close Personal Relation...', and 'Close Personal Relationships (Arc...'. An 'Add condition block' button is present.
- Actions:** Assign workflow upon creation (dropdown).
- Workflow:** Close Personal Relationships - 2024 (dropdown).

1.5.1. Routing Rules Review Checklist:

01. Routing Rules

- Review the number of active Routing Rules in OneTrust.

02. Organization

- If a rule targets a specific region or subsidiary, this can be captured in EQS using, '**Requester property**', or '**Questionnaire**' options

03. Conditions

- Review the number of conditions configured per rule.
- Check if conditions are based on:
 - **Template:** In OneTrust, rules may point to specific templates. In EQS, routing is configured directly per Request Type.
 - **HR Attribute:** In EQS, this is managed via Requester Properties (e.g., Country, Department).

04. Actions

- Review the **workflow** assigned to each routing rule. Ensure the equivalent approval flow and approvers have been setup in EQS.