

CONVERCENT POLICIES VALIDATION CHECKLIST

Your policy data from Convercent system has been successfully migrated to your new Compliance Cockpit. While the migration was designed to maintain parity with your existing policy management program, please note that your new Policies module is not a replication of the Convercent module.

Use the tables below to review and validate that your policies and configuration have been migrated appropriately. We suggest that you choose 3-5 policies that are representative of your program and use them to validate. If any data points need to be discussed, make a note and present it during our next call. Please note that depending on your configuration in Convercent, you may not have all of the configurations or data noted in the full list.

1.1.1. General

Convercent Data Point	EQS migrated Data Point	Validated	Issue
Module Name: Policy Manager	Module Name: Policies	<input type="checkbox"/>	<input type="checkbox"/>
Employee Portal	Integrity Hub	<input type="checkbox"/>	<input type="checkbox"/>
Policies (Published, Archived, Draft)	Policies appear in two tabs: Work in Progress (‘Draft’) Published Policies (‘Published’, ‘Archived’ policies)	<input type="checkbox"/>	<input type="checkbox"/>

1.1.2. Policy Metadata

Convercent Data Point	EQS migrated Data Point	Validated	Issue
Policy name	Policy name	<input type="checkbox"/>	<input type="checkbox"/>
Version	Version No. Note: Previous versions of each policy are migrated and stored in published policies as Archived	<input type="checkbox"/>	<input type="checkbox"/>
Description	Description	<input type="checkbox"/>	<input type="checkbox"/>
Policy Owner	Policy Owner	<input type="checkbox"/>	<input type="checkbox"/>

Policy Status	Status Note: Click into a policy to view the policy status, which is found directly under the Policy title.	<input type="checkbox"/>	<input type="checkbox"/>
Policy Category	Category	<input type="checkbox"/>	<input type="checkbox"/>
Activity	This is not migrated Note: The CVT activity log was very limited and only showed administrator tasks such as when an admin viewed a policy record. If needed, use Print to PDF to save the activity history from Convercent.	N/A	N/A

1.1.3. Policy Content

Convercent Data Point	EQS migrated Data Point	Validated	Issue
Policy File Types: .doc, .docx, .xlsx, .ppt, .pdf or URL-based policies	These file types are migrated as-is into Cockpit: .doc, .docx, .xlsx, .ppt, .pdf or URL-based policies Note: When viewing a policy in Cockpit, click Show More in the Content section at the top of the page to view the policy file or URL.	<input type="checkbox"/>	<input type="checkbox"/>
Policy File Types: .jpeg, .png, .csv	These file types are transformed for migration into Cockpit: .jpeg and .png files are transformed into .pdf files .csv files are transformed into .xlsx	<input type="checkbox"/>	<input type="checkbox"/>
Policy File Types: Other, such as ZIP, .mp4, .mp3, video formats, .txt	Other file types, such as ZIP files, are not migrated. In that case, you will see the metadata of the policy has been migrated, but there is no file. After migration you can edit the policy to add a supported file type (see above)	<input type="checkbox"/>	<input type="checkbox"/>
Draft team attachments	These are not migrated, but these can be downloaded from the Convercent UI if needed.	N/A	N/A

Policy Related Disclosures	Not migrated. Any existing policy-related disclosures will be contained in the data extract.	N/A	N/A
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1.1.4. Policy Management and Attestations

Convercent Data Point	EQS migrated Data Point	Validated	Issue
Policy Tasks	Comment Tasks are migrated to a Comment on the policy.	<input type="checkbox"/>	<input type="checkbox"/>
Attestation Note: View your Convercent Policies oData report to see full attestation data.	Statistics. Download the metadata for each policy to view the statistics of completed attestations. Note: Only completed attestations will be migrated. Pending attestations from Convercent will not be migrated. If someone attested to the same version of the same policy multiple times, the most recent attestation will be migrated. Previous attestations will be provided via extract.	<input type="checkbox"/>	<input type="checkbox"/>
Access to Policies via Policy Library	Access to policies is created with two options when running the tooling: Access to all policies is enabled globally for all employees OR Access to policies is based on the following conditions If Employees have previously attested to the policy in Convercent: 01. An employee group containing those employees will be created. 02. Those employees will have access to the policy in Integrity Hub 03. The employee group will appear in the Policy Access section of the policy record If Employees have not previously attested to the policy in Convercent:	<input type="checkbox"/>	<input type="checkbox"/>

	<p>01. An employee group with the policy owners will be created</p> <p>02. Only the policy owners will have access to the policy in Integrity Hub</p> <p>03. The policy owners' employee group will appear in the Policy Access section of the policy record</p> <p>➤ If you choose to make policies available to all employees, they will show in Integrity Hub as an outstanding action item.</p>		
Progress section	<p>The Progress feature was very limited in Convercent and may not apply.</p> <p>Policy attestation data, for completed attestations, is migrated to each policy. See "Attestation" above in this table.</p>	N/A	N/A
<p>A note about migrated attestations and using Campaigns in EQS:</p> <p>Action: Customers who migrated attestation data should create a new version of a policy before distributing it via Campaign in EQS. This will ensure that all recipients of the campaign will be able to see and attest to the policy action item</p> <p>Why is this necessary? In Convercent, it was possible for employees to attest to the same policy version more than once. In EQS, that is not possible. Any policy versions that already have attestations recorded against them will automatically have that action item marked as completed without requiring re-attestation by the assigned user. Creating a new version of the policy will require everyone in the campaign to re-attest, therefore updating their attestation date.</p>			

1.1.5. Policy Roles and User Groups

User roles and user groups are managed in Data Center.

Convercent Data Point	EQS migrated Data Point	Validated	Issue
Policy Administrator or Policy Moderator (user permission)	Policy Administrator Permission Policy Moderator Permission Note: Convercent users designated as Policy Owners will be migrated with equivalent EQS roles and access.	<input type="checkbox"/>	<input type="checkbox"/>
Employee (user role)	Employee (user role)	<input type="checkbox"/>	<input type="checkbox"/>

User groups	<p>If any employees attested to a policy version in Convercent, one user group is created in Cockpit (this group is defined as the Audience for the policy version).</p> <p>Additionally, any user groups that existed in Convercent were migrated.</p>	<input type="checkbox"/>	<input type="checkbox"/>
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