



OVERVIEW

Captaris Workflow SOX Accelerator, *powered by Teamplate*

Manage Compliance Work using Captaris Workflows and Business Process Management that Augment and Extend the Microsoft Office Solution Accelerator for Sarbanes-Oxley

The Sarbanes-Oxley Act (SOX) imposes a new level of regulation that requires organizations to assess the effectiveness of their internal controls for financial reporting. This assessment must be conducted on an annual basis (Section 404) and then re-confirmed quarterly (Section 302). The Microsoft Office Solution Accelerator for Sarbanes-Oxley provides core capabilities for document and information management, communication, collaboration and document-level reporting. Captaris has augmented and extended the Microsoft SOX Accelerator by integrating Captaris Workflow, powered by Teamplate. This provides Business Process Management (BPM) within a framework that can be deployed quickly, enabling effective and efficient management and control of the compliance work and helping mitigate risk by escalating issues. Captaris Workflow SOX Accelerator enables compliance "pain" to be leveraged into ongoing operational performance "gain".

FEATURES AND CAPABILITIES

Manage internal controls assessment - Captaris Workflow SOX Accelerator is integrated into the Microsoft SOX Accelerator to provide BPM for the assessment of internal financial control effectiveness following the principles of the COSO1 framework.

Enhanced document templates - Pre-configured with sample metadata, such as an "assertions" pick list for significant accounts, reduce set-up time and enable more detailed reporting.

Document-level security in SharePoint - Enables key documents to be "locked down" in SharePoint to prevent changes and facilitates external auditor review.

Pre-built monitoring reports - "Rich" management reports monitor the compliance work, such as the status of the overall assessment process, the number of controls identified and tested and how many controls are effective.

Control retesting - Manages the execution and evaluation of control test plans, enables "failed" tests to be rerun immediately, or after a remediation plan is documented and implemented.

Issue escalation - Enables issues that arise from control testing to be escalated, to an individual or role, using email sent to the recipient's Microsoft Outlook Inbox.

Overdue task reports - The enhanced document templates include scheduling information that the Captaris Workflow SOX Accelerator monitors across the compliance project to identify and report on "overdue" documents and tasks.

Automated control tests - Control test plans can be "operationalized" by running the Captaris Workflow SOX Accelerator Test Plan workflow on a scheduled frequency that is defined by the user.

Leverage business process mapping into BPM - Map business processes and workflows in order to identify risks, then after the compliance work is completed, automate these workflows using the same Captaris Workflow SOX Accelerator software.

Application integration - Embedded Captaris workflows enable the SOX Accelerator framework to be connected to Captaris RightFax enterprise fax and e-document delivery solutions, records management and ERP systems.

HOW IT WORKS

The Captaris Workflow SOX Accelerator is designed to address both "entity level" and the disaggregated financial account dimensions of SOX compliance. Captaris Workflow SOX Accelerator is used to manage the compliance process, as well as, the routing and escalation of tasks. Captaris Workflow SOX Accelerator provides users with a graphical representation of the status of the workflow within the InfoPath task pane, monitors each stage of the workflow and initiates email alerts to expedite the compliance process. After each document is defined, a workflow is automatically launched that guides the user through the creation of the next level of required documentation. For example, once a risk is defined Captaris Workflow SOX Accelerator requires that one or more controls are defined to mitigate that risk. By linking the required documentation by way of workflows, the Captaris Workflow SOX Accelerator helps manage the annual and quarterly internal control assessment processes.

Captaris and its partners can provide installation, configuration, customization, integration, training and support services to deploy the following components of the Captaris Workflow SOX Accelerator.

| SERVER COMPONENTS | CLIENT COMPONENTS |
|--|---|
| Microsoft Windows Server 2003 | Microsoft Office InfoPath 2003 SP1 |
| Microsoft SQL Server 2000 with SP3, or later | Microsoft Windows XP or later |
| Microsoft Windows SharePoint Portal 2.0 | Microsoft Office Professional Enterprise Edition 2003 |
| Microsoft ASP.NET (in Microsoft.NET Framework 1.1) | Microsoft Internet Explorer 6.0 with latest updates |
| Microsoft Internet Information Services 6.0 | |
| Teamplate 4.1a for SharePoint Portal (or newer) | |

BENEFITS OF THE CAPTARIS WORKFLOW SOX ACCELERATOR

Effectiveness - The Captaris Workflow SOX Accelerator suite of workflows guide the user through the creation of the required compliance documents, expedite the task completions with email alerts and provide BPM monitoring by tracking key information within the compliance process.

Efficiency - Familiarity with Microsoft Outlook, SharePoint and InfoPath user interfaces minimize training and accelerate adoption of the Captaris Workflow SOX Accelerator. Pre-configured document templates, with defined proforma metadata, expedite implementation.

Accountability - Captaris Workflow SOX Accelerator enables disciplined execution of compliance tasks, defined accountability and monitoring of the status at a document and task level.

Risk Mitigation - Workflows track the evaluation of controls and enable issues to be escalated. Workflow monitoring and detailed reporting also identify any outstanding issues.

FOR MORE INFORMATION

Captaris Business Information Delivery solutions help organizations of all sizes automate the information and document flow throughout the information lifecycle (capture, process, archive, deliver). With a comprehensive suite of software and services, Captaris helps organizations to grow revenues and increase profits while meeting compliance goals. Through a global distribution network of leading enterprise technology partners, Captaris has installed more than 90,000 systems in 95 countries in companies of all sizes, including the entire Fortune 100. For more information, visit www.captaris.com or call +1.800.443.0806.

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