

## Overview

QUMAS DocCompliance™ is the cornerstone of the QUMAS Compliance Platform™. As an off-the-shelf web-based regulatory content management system, DocCompliance ensures enterprise-wide consistency and compliance. The solution enables organizations to create, manage, and securely store documents, using built in password policies to protect against unauthorized access. It contains full support for Electronic Signatures as per FDA 21 CFR Part 11 requirements. Best practice document management workflows ensure that the correct content is created, reviewed, approved, consumed, distributed and retired. It encourages optimum content management through built in best practices. Flexible configuration enables you to easily mirror your existing organizational structures and practices, and the intuitive user-interface ensures ease-of-use for all end users. DocCompliance can be used in conjunction with MyQUMAS™, which provides access to the full capabilities of the QUMAS Compliance platform including flexible business process management, learning management, business intelligence and content collaboration.

## Key Functionality

DocCompliance consists of the following main elements:

- Content Management and Advanced Search and Retrieval
- Flexible Process Control and Configurable Reports
- Built-in System Administration
- Secure Audit Trail
- Automated Version Control
- Automated PDF Rendering

**Closed-Loop Compliance**



DocCompliance can be used to manage a wide variety of controlled content, including:

Policies, Procedures, Standard Operating Procedures (SOPs), Work Instructions, R&D Documentation (Clinical, Regulatory, Manufacturing), Legal Documentation, Sales and Marketing Collateral, HR Policies and Reports including CIAs.

## Compliance

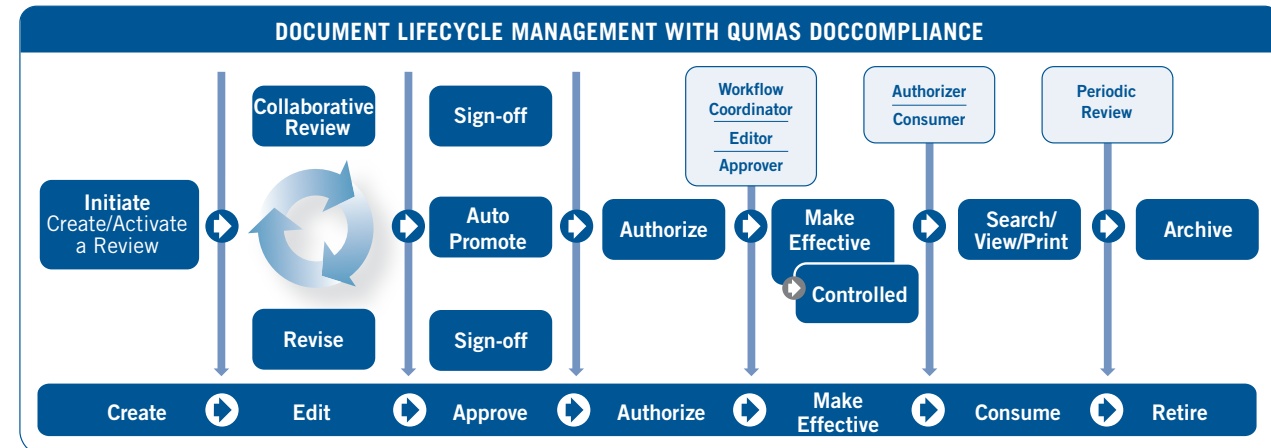
DocCompliance provides a comprehensive framework to achieve sustainable compliance supporting the most stringent requirements such as:

- FDA 21 CFR Parts 11; 210; 820; 600
- ISO standards (9000; 1400)
- GxP practices

A comprehensive audit trail allows users to complete point in time reporting for the purposes of regulatory audits and investigations, returning the appropriate information to the investigator in an efficient manner.

<b>Compliance Table</b>	
<i>Features</i>	<i>Benefits</i>
<b>Complete Electronic Signature Manifestation</b>	Displays all electronic signature components including printed name of signer, time/date stamp and meaning of signature.
<b>FDA 21 CFR Part 11</b>	All approved documents include an electronic signature which demonstrates compliance to 21 CFR Part 11 guidelines.
<b>Role-based Electronic Signatures</b>	Meaning of signatures is synonymous with user role to ensure electronic endorsements match user intent.
<b>Comprehensive, Independent Audit Trail</b>	Independent, secure audit trail capturing 270+ auditable events.
<b>Hardcopy Management</b>	Reports on sensitive documents that need to be destroyed or returned and confirms by electronic signature when the document is actually destroyed.
<b>Automated Version Control</b>	Removes the risk of users accessing outdated versions of documents.
<b>Read &amp; Understood</b>	Accountability throughout the organization by ensuring traceability.

## Flexible Workflow Control



The DocCompliance workflow engine is an intuitive end to end workflow solution. The process takes the content from its initial creation either by template or desktop selection and uploads it to DocCompliance. Collaborative authoring and review is then completed whereby multiple Authors/Reviewers can simultaneously comment and propose changes to the content in an efficient fashion.

On completion of the review the content is routed forward to the approval step in the workflow where the electronic signature is applied in compliance with 21 CFR Part 11 guidelines.

Once the document is authorized and made effective it allows for the consumer users, with the correct permissions to complete Read and Understood training, view, search and print the document for the duration of the lifecycle. A periodic review is typically conducted after a configurable period of time, to ensure content accuracy and validity. Ultimately when the document has reached its end of life it is retired and removed from the view of the consumer users.

Flexible Workflow Control Table	
Features	Benefits
<b>Workflow &amp; Configuration Management</b>	Flexible business process workflows allow users to easily map their unique business processes to the system without customization.
<b>Flexible Workflow Processing</b>	Enables efficient management of in-process workflows without complication or compromise of regulatory diligence.
<b>Change Request Tracking</b>	Tracks change requests in accordance with GxP and GAMP guidelines.
<b>Controlled Printing &amp; Watermarking</b>	Effectively tracks and controls all printed and hardcopy documentation in accordance with regulatory guidelines.
<b>User-Definable Change Dictionary</b>	Enables users to easily categorize change request rationale for effective tracking and statistical monitoring.
<b>User-Definable Retention Policies &amp; Expiration</b>	Helps users manage document policies in accordance with regulatory requirements.
<b>Advanced Lifecycle Management</b>	Management of complex or simple document lifecycles at your fingertips.
<b>Automated Notification &amp; Distribution</b>	Enables effective distribution and rapid notification of document changes and approvals.
<b>Formal &amp; Informal Review Process</b>	Allows adaptable business processes based on formal or informal workflow policies.
<b>Cooperative Review</b>	Allows one or more users to approve/disapprove on behalf of a group.
<b>Read &amp; Understood</b>	Enables users to mark information as Read & Understood, and to define distribution and notification lists.
<b>Collaborative Authoring &amp; Reviewing</b>	Allows multiple users to comment on and edit the same document in 'real time' or asynchronously reducing review times and review cycles.
<b>Document Comparison</b>	Full document comparison enabling users to identify changes between versions of documents.

## Advanced Search and Retrieval

The DocCompliance advanced search and retrieval module allows the user to generate searches on documents and workflows. The searches can be filtered on key criteria such as core system attributes, document title, name, author, creation date etc., but in addition client specific attributes can be searched against to further filter the data, for example, product name, disposition, supplier, dosage etc.

The advanced search module ensures that the user is presented with the current version of the document in an efficient manner from one centrally located database. The search results can then be exported and printed to be distributed as required.

Advanced Search and Retrieval Table	
Features	Benefits
<b>User-Definable Saved Searches</b>	Facilitates the reuse of user-defined searches to improve efficiency and consistency.
<b>Public and Private Searches</b>	Promotes consistency and security across the organization through sharing of public searches and security for private searches.
<b>Content and Attribute Searches</b>	Enables enhanced regulatory intelligence through attribute and content searches.

## Built-In System Administration

The DocCompliance administration module allows administrators to manage users, group and roles profiles in conjunction with the core components such as document types and workflow types. The use of groups and roles ensures that best practice security parameters are in place, and that users have access to only the components of the system that they have permissions over. Configuration wizards allow for easy administration of the system to scale as the organization grows over time.

Built-In System Administration Table	
Features	Benefits
<b>User Profile Manager</b>	Establish access and security profile for each user, enabling access and control in compliance with current regulations.
<b>Configurable Security Model</b>	Requires minimal technical experience, facilitating easy deployment.
<b>Multiple Roles/User Support</b>	Enables the configuration of a user with one or more roles. Minimizes administration and configuration burdens.
<b>User-Configurable Parameters</b>	All system administration parameters are configurable such a groups, roles, departments, etc. enabling easy adaptation to your production environment without customization.
<b>User-Definable System Preferences</b>	System preferences may be defined according to regulatory requirements or industry best practices i.e. password expiration.
<b>Configurable Content Types</b>	DocCompliance can be used to manage any type of regulatory document. Each type of document is configurable or content that needs to be controlled
<b>Built-in Best Practices</b>	Promotes and drives the use of best practices to address GxP, 21 CFR Part 11, and other global regulations.
<b>Out-of-Office Settings</b>	Avoids system bottlenecks by allowing users to designate when they are out of the office and to specify role substitutes.
<b>Easily Localized Interface</b>	Easily adaptable to any local system environment.

## Reporting

DocCompliance reporting provides the user with access to over 20 preconfigured reports\* providing them with business critical information in relation to their compliance needs.

Reporting Table	
Features	Benefits
<i>Active Workflows Report</i>	Delivers a comprehensive summary of all active workflows and controlled processes.
<i>Comprehensive Audit Trail Report</i>	Tracks over 270 auditable events delivering the most comprehensive support for this 21CFR Part 11 requirement.
<i>Point-in-Time Reporting</i>	Allows business users to build reports on the fly, detailing which versions of policies and procedures were in effect on a particular date (point in time) or at the time of an adverse event (without the need for consultants or IT resources).
<i>Table of Contents</i>	Delivers a written taxonomy of your regulatory compliance portal at a glance.
<i>Document Details Report</i>	Summarizes the complete revision history of any document within the system to ensure compliance.
<i>Controlled Copy List</i>	Facilitates efficient hard copy management.
<i>Out-of-Office Report</i>	Delivers an overview of all users that have activated their Out-of-Office settings.
<i>Security Violations Report</i>	Convenient summary report that helps administrators to track security issues.
<i>Read and Understood Report</i>	Delivers a detailed list of all Read and Understood signatures by document or by user.
<i>Permissions Reports</i>	Enables system administrators to capture at-a-glance all group, user and object permissions to maintain security and access requirements.
<i>Integration with SAP BusinessObjects Enterprise</i>	Extensive reporting capabilities are provided through full integration with SAP BusinessObjects Enterprise.

\* For configurable reports with analytical and graphical drill-down functionality please refer to the QUMAS ComplianceUnity datasheet.

## System Requirements

### Platforms

- Available on Documentum 5.3 and 6.5, Oracle 10g and 11g R2, Microsoft SQL Server 2005 and Microsoft SQL Server 2008

### Third Party

- IIS 6, Office 2003, Office 2007, Office 2010, XP and Internet Explorer 7 and 8; Acrobat Reader and Adobe Acrobat 9 or higher

### Reporting

- Integrated with SAP BusinessObjects Enterprise XI v3.1

## About QUMAS

QUMAS is the leader in Enterprise Compliance Management with more than 250 global customer deployments and over 17 years experience within the Life Sciences sector. QUMAS provides a closed-loop Compliance Platform that enables you to integrate the common elements of compliance, including content, processes, people and systems, across your organization. QUMAS Solutions and Packages for document, quality and incident management, submission management and regulatory approval enable you to accelerate your time to market, decrease compliance risks, improve operational efficiencies and reduce overall quality costs.

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