

Login Intercept Guide

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1. Login Intercept Overview

PolicyHub® is the Corporate Governance *Policies & Procedures Management* solution from Mitratesch that tracks and proves compliance in regulated businesses.

It enables and controls the targeted distribution of compliance documentation within an enterprise.

When a document is sent to a user using Login Intercept, the user will automatically be taken to their *Login Intercept Inbox* when they log in to their windows session. The *Login Intercept Inbox* shows the Documents, Tests and Questionnaires which need their attention. The user might be given the opportunity to defer the items in their inbox. However, they might not be allowed to leave the *Login Intercept Inbox* until they have dealt with some (or all) of the items in the *Inbox*.

1.1. Purpose

The purpose of this guide is to help recipients of Corporate Compliance Documentation understand the structure and layout of *Login Intercept* and to assist them in using it effectively and efficiently. For information on other PolicyHub features, please refer to the *PolicyHub Users' Guide*.

1.2. Additional Information

This guide contains detailed information and step-by-step instructions about *PolicyHub Login Intercept*.

The instructions it provides are for using *PolicyHub* on the Windows® platform.

This guide assumes you have a working knowledge of your computer and its operating conventions, including how to use a mouse, standard menus and commands.

It also assumes you know how to open, rename, save, copy, close and delete files.

For help with any of these techniques, please refer to your Windows® documentation.

1.3. Types Of Compliance Documentation

There are five (5) types of document issued for compliance purposes.

- *Read Documents* (Corporate compliance information that *must be read* by recipients.)
- *Test Documents* (Used to gauge recipients' understanding of corporate compliance information.)
- *Questionnaire Documents* (Used to gather recipients' opinions on corporate issues.)
- *Review Documents* (Issued to an advisory panel for pre-release comments.)
- *Reference Documents* (Issued to and kept by recipients, for reference purposes. For example, a *Glossary of Terms* used in your business sector.)

1.4. Receiving Items

When there is a corporate requirement for you to be made aware of compliance issues, the PolicyHub system is used to send you the relevant compliance documents.

Note: You may be required to acknowledge receipt of these documents.

To facilitate this, PolicyHub users will have their own *Login Intercept Inbox*.

When a compliance document is distributed, an *email alert* may be sent to your conventional email inbox (for example: Microsoft® Outlook®).

From inside that email, a hyperlink will direct you to your *PolicyHub Inbox* and from there, you can open and action the compliance document(s). For more information on the PolicyHub Inbox, see the *PolicyHub Users' Guide*.

Alternatively, when you log in to Windows, you might first be taken to your *Login Intercept Inbox*.

1.4.1. Reading A Document

From your *Login Intercept Inbox*, you can access newly distributed compliance documents. However, to retrieve any previously received Documents you must go to your personal PolicyHub Document Library (for more information on the PolicyHub Document Library see the *PolicyHub Users' Guide*).

Documents are displayed as *Portable Document Format (PDF)* files or in their original (native) format, depending upon the requirements of the sender.

Most Documents, when opened and (if necessary) acknowledged, are automatically transferred to your *PolicyHub Library*.

Open the Document by clicking the *View Document* button next to it, as described in [“Completing Items In Your Inbox” on page 12](#).

1.4.2. Sitting A Test

The PolicyHub system is also used to distribute *Test Documents* (which might also have associated Documents attached).

Note: If an attached document is a *Read Document*, you have to acknowledge that you have read the Document before you are allowed to open the Test document and answer the Test questions.

If the attached document is a *Reference Document*, you do not need to read the document before you take the Test. However, it is advisable to read all documents sent with a Test.

Apart from being required to read and acknowledge any associated documents, you will be required to open, read and answer the questions in the Test Document then submit the Test for marking.

A Test might be used to verify you understand a particular corporate requirement (for example: *Money Laundering* awareness) or it might be used to measure your understanding of a compliance document attached to the Test, which you have just received and read.

Open the Test Document by clicking the *Take Test* button next to it, as described in [“Completing Items In Your Inbox” on page 12](#). Carefully read the information on the initial page of the Test and if in any doubt, re-read it before you start the Test.

1.4.3. Responding To A Questionnaire

The PolicyHub system is also used to distribute *Questionnaires* (which might also have associated documents attached).

Although it may be useful to read and acknowledge any associated documents *before* starting the Questionnaire, it is not a requirement. Open, read and answer the Questionnaire's

questions then submit it. Then complete any other Documents or Questionnaires included in the Publication.

A Questionnaire might be used to gather your opinions on a particular corporate issue or it might be used gather your opinions on a corporate policy Document (associated with and) attached to the Questionnaire, which you have just received and read.

Open the Questionnaire by clicking the *Start Questionnaire* button next to it, as described in “[Completing Items In Your Inbox](#)” on page 12.

Carefully read the information on the initial page of the Questionnaire and if in any doubt, re-read it before you respond.

1.4.4. Reviewing A Test, Questionnaire Or Document

Review Requests are issued to an advisory panel for pre-release comments.

Recipients of review requests are (typically) experts in a particular field of operation or experienced in particular topics and/or procedures.

Their comments are essential, to ensure Documents, Questionnaires and Tests fully and correctly address the compliance needs of their enterprise.

When a document has been reviewed, commented on and returned by all reviewers, the publisher can implement the recommended changes (if any) and only then, will it be published to the required recipients to initiate enterprise-wide compliance.

Open the review Document, Test or Questionnaire by clicking the *Review* button next to it, as described in “[Completing Items In Your Inbox](#)” on page 12.

1.4.5. Your PolicyHub Document Library

The *PolicyHub Document Library* associated with your *PolicyHub Inbox* holds all the compliance Documents distributed to you.

When you read (and – if necessary – acknowledge) compliance Documents, they are automatically saved in your *PolicyHub Document Library*. The folder structure of your library is automatically created and maintained for you by the PolicyHub system. For more information on the PolicyHub Document Library, see the *PolicyHub Users’ Guide*.

1.5. Help With Using PolicyHub

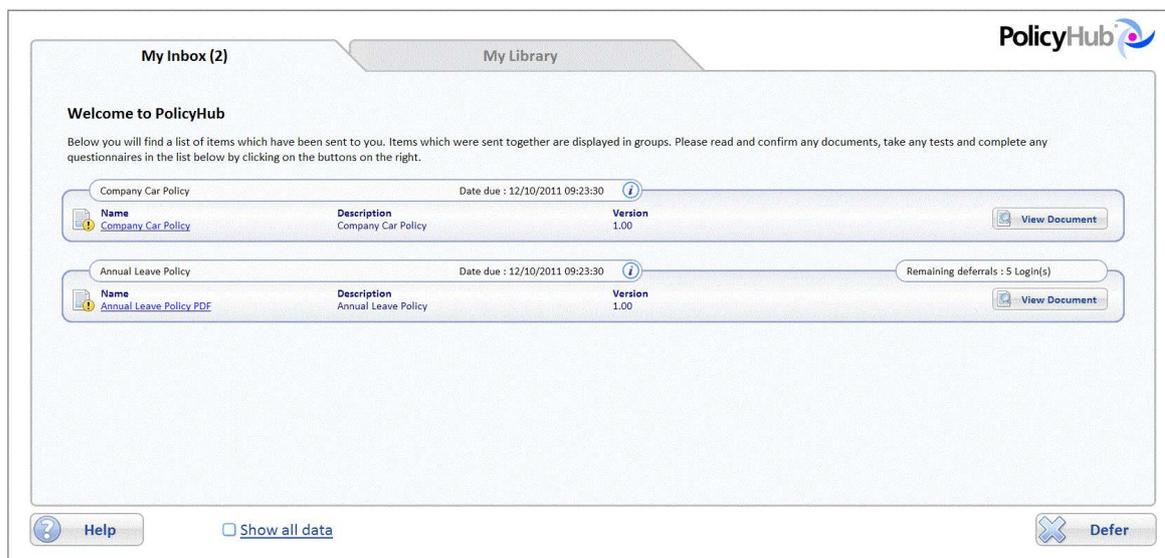
As a recipient of *Corporate Compliance Documentation*, online *Help* is available to you whenever your *Login Intercept Inbox* is active.

To access online Help, click on the *Help* button.



2. Login Intercept Inbox

When a *Compliance Document* is awaiting your attention, you might be directed to your Login Intercept Inbox when you log in to Windows.



This screen shows a list of Publications which need your attention. A Publication consists of one or more Documents (such as policies), Questionnaires, Tests or Review Documents. For each Publication, the following information is displayed (click the  to display all the Publication information):

- The Publication name is displayed at the top of the Publication.
- *Description* – the description given to the Publication by the Publisher.
- *Date sent* – the date the Publication was sent to you.
- *Date due* – the date by which the Publication must be actioned for you to be Compliant. If you miss this date, you will be logged as Not Compliant. When a Read Document is sent with a Test, the Date due will be the date the Read Document is due. When the Read Document has been actioned, the Date due is the date by which the Test must be completed.
- *Expired on* – the Publication was not actioned before the Date due and has expired. This shows the date on which the Publication expired. However, the Publisher requires that you still complete the Publication. You will then be logged as Compliant but late.
- *Publication Locked* – the Publication contains a Test which has not been passed within the number of allowed attempts. The locked Publication will prevent you from being able to log in to Windows. Ask the Publisher to resend the Publication to you, allowing you to retake the Test. Once you pass the Test, it will be removed from your Login Intercept Inbox and you will be able to log in to Windows.
- *Contact* – the contact information of the Publisher. Click on the contact information to create an email to the Publisher.

When *Deferrals* have started for the Publication, you will see the an entry for *Remaining deferrals* to the right of the Publication information. *Deferrals* provide a way for you to delay completing the item(s) in the Publication until it is more convenient.

- *x Day(s)* indicates the number of calendar days for which you can defer the selected Publication.

- *x Login(s)* indicates the number of times you can log in to your Windows session and defer the selected Publication.

In the example screenshot above, the *Deferrals* for the top Publication have not yet begun and so no deferral information is displayed. The bottom Publication shows the user can defer actioning the Publication for 5 Logins.

Note: When *x Login(s)* is displayed, if you log in several times in one day your *Login(s)* will only decrease by one, and, on days when you are not at work (holidays and weekends, for example), your *Login(s)* do not decrease.

In your *Login Intercept Inbox*, you will see various symbols (see [Table 1](#) and [Table 2](#)) displaying information or inviting you to perform particular actions.

When you see items needing your attention, you should Read Documents, Take Tests and Respond to Questionnaires as soon as possible. If you allow the *deferrals* for a Publication to reach zero, you will be unable to log in to Windows until you have completed all the items in the Publication.

View Buttons Used In Login Intercept Inbox

TABLE 1. Login Intercept Inbox Buttons

Symbol	Description	Meaning/Function
	View Document	View the Read Document in your Inbox.
	Start Questionnaire	Open and answer the Questionnaire in your Inbox.
	Take Test	Open and take the Test in your Inbox.
	View Reference Document	View the Reference Document in your Inbox. (The text is not bold.) <i>Note:</i> This View Document button is also displayed when a <i>Read Document</i> has been <i>Confirmed as Read</i> but other items in the Publication still need to be actioned.
	Review Document	Review the Document in your Inbox and provide pre-release feedback.
	Question mark in a blue circle with <i>Help</i> text	Click on the Help text to open the application's online Help.

TABLE 1. Login Intercept Inbox Buttons

Symbol	Description	Meaning/Function
	Review Test	Review a Test in your Inbox and provide pre-release feedback.
	Close	Close the Login Intercept Inbox.
	Defer	Defer all items which can be deferred and exit the Login Intercept Inbox.
	Question mark in a blue circle with <i>Help</i> text	Click on the Help text to open the application's online Help.

Status Icons Used In Login Intercept Inbox**TABLE 2. Login Intercept Status Icons**

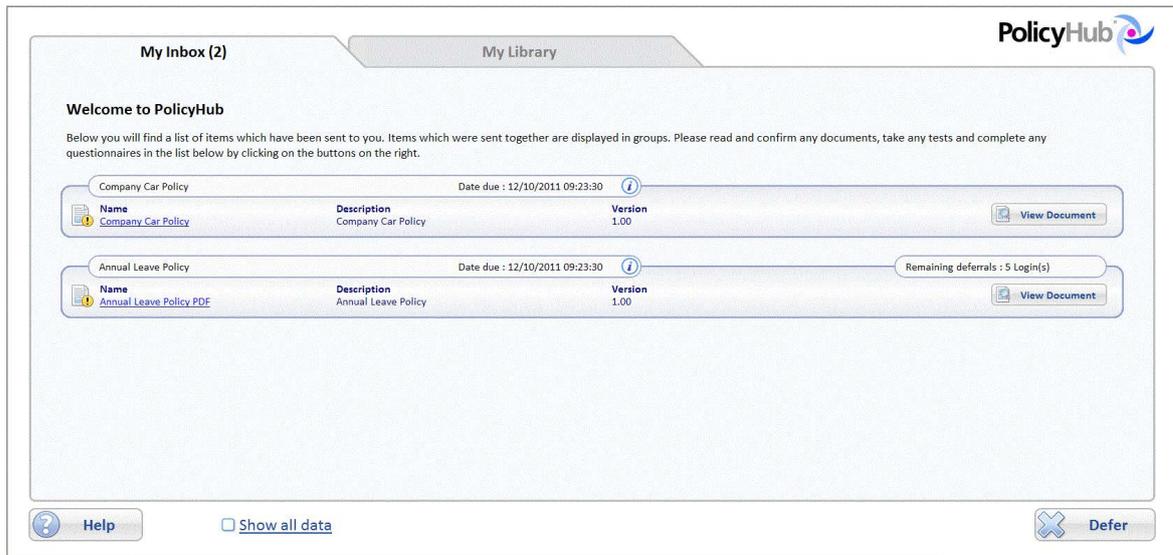
Symbol	Description	Meaning/Function
	Pending Document	Indicates you still need to Read the Document.
	Pending Questionnaire	Indicates you still need to respond to the Questionnaire.
	Pending Test	Indicates you still need to Take the Test.
	Reference Document	Indicates the Document is a Reference Document. Although there is no Compliance requirement for the Document to be read, you should read all Documents sent to you.
	Complete Document	Indicates the Document has been Read.

TABLE 2. Login Intercept Status Icons

Symbol	Description	Meaning/Function
	Complete Test	Indicates the Test has been taken and Passed.
	Failed Test	Indicates the Test has been taken and Failed. If Test retries have been configured by the sender, you might have to complete other Tests in the same Publication before the retries are allowed.

3. Completing Items In Your Inbox

To open an item in your *Login Intercept Inbox* click on the Publication you wish to open.

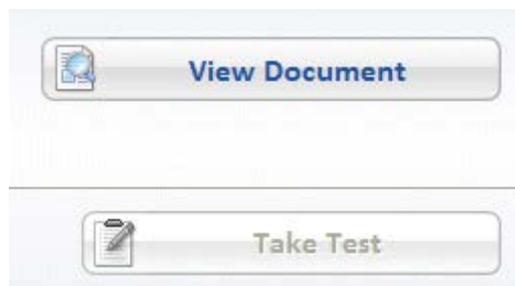


The order the items appear in the Publication is decided by the Publisher. However, Tests are always included after Read Documents, Questionnaires and Reference Documents.

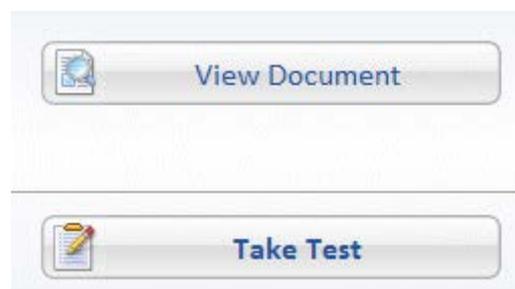
For Read Documents, click the *View Document* button.



For Test Documents, if there is an associated Document, click the *View Document* button.



Once you have confirmed any associated Documents as read, click the *Take Test* button.



For Questionnaire Documents, click the *Start Questionnaire* button.



For Review Documents, click the *Review Document* button.



For Review Questionnaires, click the *Review Questionnaire* button.



For Review Tests, click the *Review Test* button.



For detailed information on how to complete these tasks, see the *PolicyHub Users' Guide*:

- Reading A Document – See Chapter 4 in the *PolicyHub Users' Guide*.
- Sitting A Test – See Chapter 5 in the *PolicyHub Users' Guide*.
- Responding To A Questionnaire – See Chapter 6 in the *PolicyHub Users' Guide*.
- Reviewing Tests, Questionnaires And Documents – See Chapter 7 in the *PolicyHub Users' Guide*.

At the bottom of the Window, there is (if configured) a tick-box *Show all data*. Select this tick-box to display items from both your PolicyHub Inbox *and* items from your Login Intercept Inbox.

4. Exiting Your Login Intercept Inbox

There are two possible options for leaving the Login Intercept Inbox:

-  A button with a blue 'X' icon and the text 'Close'.
-  A button with a blue 'X' icon and the text 'Defer'.

When *neither* of these buttons are available, you *must* complete one or more Publications before you will be allowed to exit your Login Intercept Inbox and log in to Windows®. Click on the  next to a Publication to display its due date, how many deferrals are remaining, etc. to help you determine which Publication needs your immediate attention. When you have completed all the Publications which need your immediate attention, either the *Close* button or the *Defer* button will be displayed.

4.1. Close

The *Close* button is displayed when there are no items in your Login Intercept Inbox requiring your immediate attention. However, this does not necessarily mean there are no items which are due. When you have items in your Inbox, you should always deal with them before the Publication Due Date or you may be logged as non-compliant for the items in the Publication. Click the *Close* button to exit your Login Intercept Inbox.

4.2. Defer

The *Defer* button is displayed when you have been given a number of deferrals for one or more Publications in your Inbox. For each Publication, the number of remaining deferrals is displayed to the right of the Publication information pane. See "[Remaining deferrals](#)" on [page 8](#). Click the *Defer* button to defer all Publications which have deferrals remaining and exit your Login Intercept Inbox.

C

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Close Button 11
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D

Date Due 9
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Description, Publication 9
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Review Document Button 10
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View Reference Document Button 10



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