

Symbiant **Tracker**

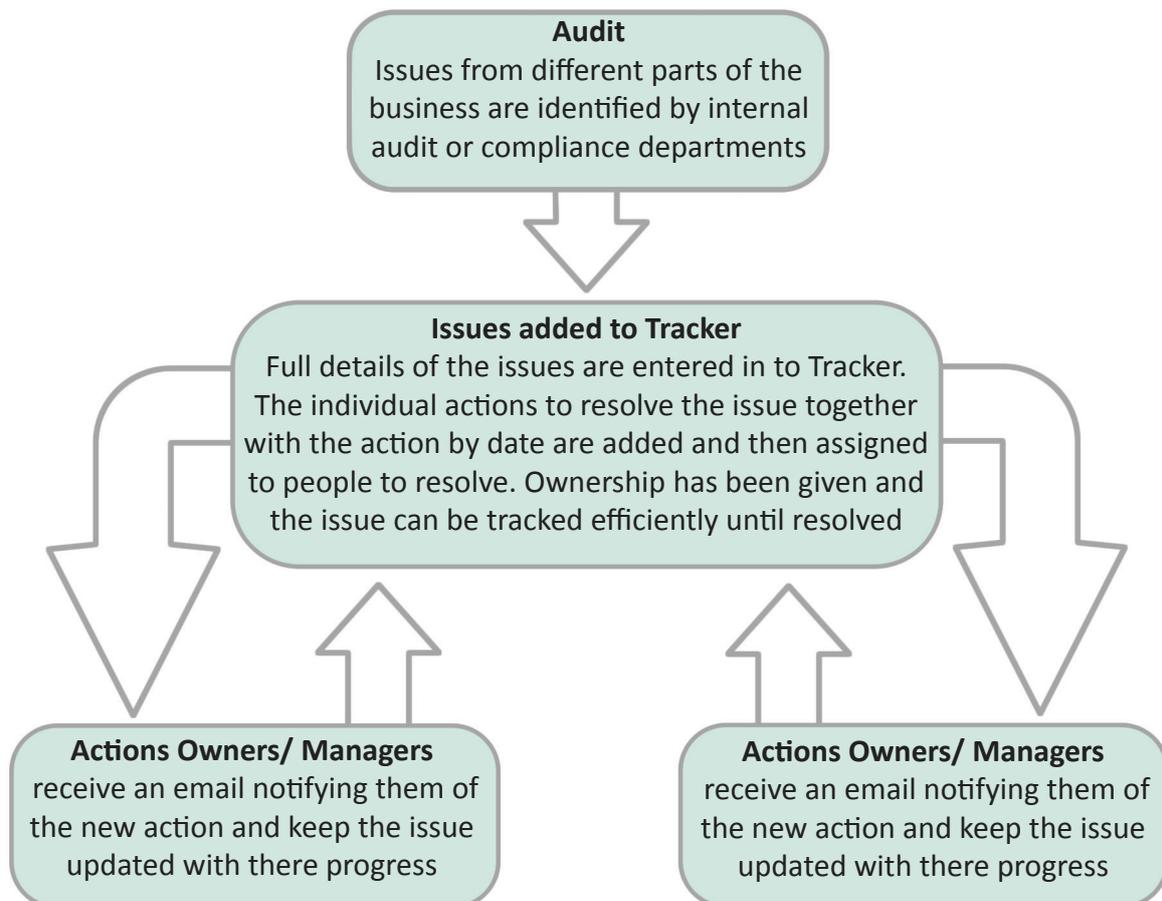
Issue Tracking Solution

Product Overview

The only issue management solution that is endorsed by Europe's largest professional accountancy body, The ICAEW.

"We are very impressed with Symbiant Tracker. Its simplicity and ease of use aligned with its flexibility and extensive reporting capabilities make it a very useful tool for any internal audit department."

The Institute of Chartered Accountants in England and Wales



Symbiant Tracker Overview

Symbiant Tracker is a web based issue tracking solution that enables actions to be efficiently tracked to conclusion. Automated emails notify users and managers of new assignments, issue updates and overdue or close to overdue actions. Tracker is very effective, easy to implement and embed and best of all it instantly produces all the reports you need for audit committee or management. Key features include:-

- **It is web-based (internet or intranet) so only needs to be installed on a server and can be accessed easily by all users using a web browser**
- **Allows for an issue to have many parts, a one to many relationship**
- **It is updated by the owners of the actions so that at any moment in time, you can see the up-to-date status of issues throughout the organisation**
- **It sends automated email prompts to users when a new action is assigned to them or if they need to update their actions**
- **It can assign the same action to many users and also break actions down into many separate actions, all of which can be tracked to conclusion**
- **Drop-Down options can be available to individual division which allows the system to be used company wide without confusion**
- **Documents or files can be attached to the issue or in responses**
- **It has highly flexible reporting so you can see the exact information you need to see**
- **Customisable so you can use terminology that suits your organisation as well as your own logo**
- **Automated emails for all events and update notices**

Tracker was developed to track the completion of Internal Audit recommendations and actions because this is the main area where the audit function can fail, the reason being make shift solutions such as office tools are not very effective and require a great deal of time and effort to manage. With proactive tracking of issues by using Symbiant Tracker, you can ensure that those issues are resolved in a timely and efficient manner and that value is thereby added to the organisation.

Continually improved on with feedback from highly esteemed organisations such as The Bank of England, KPMG and the ICAEW, Symbiant Tracker is currently the worlds leading audit action tracking solution.

Percentage implementation of internal audit recommendations is a standard metric for assessing the performance of internal audit functions and is frequently where they fall down. Their recommendations are their product, after all, and if they are not implemented, then their work has been in vain. Tracker assists by setting the action up for the user to update with their progress. When the Audit Committee comes around, there is no running round trying to find out what has happened to those long-forgotten recommendations, you just go on to Tracker and produce the required reports.

What really makes Tracker such an effective tool is how it assigns ownership of actions to assignees. The assignees then keep the action updated with their progress. Documents, files or images can be attached at issue or action level to give the assignees more information and by respondents to support their responses.

Automated emails inform users of new assignments, issue updates, responses and actions that are close to or have become overdue. Because Tracker is web based it is easily accessible by anyone who needs to use the system. New users can then be added as and when required and the automated emails send the user their account details and explain what they need to do and how to access the software.

Adding an issue with multiple parts

The Tracker interface is simple and clean, you can add all the individual issue components that need to be recorded and tracked, including "nice to haves" but not key to the issue being resolved. Assigning actions to multiple users and breaking issues down into a number of actions both help fit the system to what you actually want doing. Then you can track completion at any level you want. You can also make actions dependant on other actions being completed first and delay actions until other actions have been completed.



Start Page **Issues** Reports Accounts

Archives Set-up About Help

Audit Report: -

Name: Payables - USA Category: Financial Reference: 772005

Reference: 10 Division: Import Rating: High Status: Outstanding

Summary: No checks for duplicate payments

Details: No checks are made for duplicate payments to suppliers and so vendors may easily be paid twice without anyone noticing.

Findings: Over payments are costing us in excess of £50,000 a year in lost profits we need to resolve all instances

Finding Type: Compliance

Recommendation #1:

Institute duplicate payments checking using appropriate interrogation software

Documentation: Add supporting document

Action #1a: Default Implemented:

we will obtain appropriate recommendations tracking software and implement it as soon as possible.

Assigned To: Peter Thorpe Action By: was 30 Aug 2010 now 30/12/2010

Documentation: - Add supporting document

Action #1b: Default Implemented:

Can you please install the software on the servers and test

Assigned To: Ben Coomb Action By: 30/09/2010

Documentation: - Add supporting document

Dependants: Action #1a; Delay:

Recommendation #2:

Check Purchase Ledger every 60 days

Documentation: Add supporting document

Action #2a: Finance Implemented:

You need to reconcile the purchase ledger with issued cheques every 60 days

Assigned To: Rob Sulli Action By: 03/09/2010

Documentation: - Add supporting document

Dependants: Action #1a; Action #1b; Delay:

Action #2b: IT Implemented:

Create a simple solutions to log the mini audit done by finance

Assigned To: John Sullivan; Ben Coomb Action By: 30/09/2010

Documentation: - Add supporting document

Dependants: Delay:

Issue Details

All issue details can be entered with all the individual parts tied to it, so irrelevant of how many actions there are it will always be a single issue

Customise

All headers, titles and drop downs are defined by you in *set-up* so you can bespoke to your own requirements

Key Actions

You can mark the actions that are key to the issue being resolved and report on them separately

Group

group sets of individual actions together under an objective or recommendation

Documents

You can attach supporting documents at issue, group or action level. Assignees can also attach documents in replies to support their responses

Actions

each action has its own "action by" date and can be assigned to one or more assignees, a group or a manager who can re-assign to people in their division.

Implemented

each action can be marked as completed independently of the main issue status changing

One click view

With one mouse click you see all the issue details and all the responses and replies to each action



Start Page **Issues** Reports Accounts

Archives Set-up About Help

Audit Report: -   

Name: Payables - USA	Category: Financial	Reference: 772005
Reference: 10	Division: Import	Rating: High
		Status: Outstanding

Summary: No checks for duplicate payments
Details: No checks are made for duplicate payments to suppliers and so vendors may easily be paid twice without anyone noticing.
Findings: Over payments are costing in excess of £50,000 a year
Finding Type: Compliance

Recommendation #1: -

Institute duplicate payments checking using appropriate interrogation software

Action #1a:  Default Implemented:

we will obtain appropriate recommendations tracking software and implement it as soon as possible.
Assigned To: Peter Thorpe Action By: was 30 Aug 2010 now 30 Dec 2010

Communication:

Peter Thorpe	31 Oct 2007	
I've ordered the software		
Administrator	31 Oct 2007	
let me know when the software has arrived and been installed.		
Peter Thorpe	04 Apr 2008	
The software has arrived and has been installed		
Administrator	08 Apr 2008	
Ben will need to check this, please arrange for him to visit you		

Respond:

Support:

Key Actions
See which are the key actions

Respond
reply to feedback and attach supporting files or URL links

Dialogue
see all the feedback and replies relating to an action neatly tied to the relevant action

Action #1b: Default Implemented:

Can you please install the software on the servers and test
Assigned To: Ben Coomb Action By: 30 Sep 2010
Depends on Action #1a.

Communication:

Ben Coomb	30 Oct 2007	
let me know when it arrives		
Ben Coomb	18 Jan 2008	
Has it arrived yet?		
Administrator	04 Apr 2008	
Peter has confirmed the software has arrived and been installed.		
Ben Coomb	04 Apr 2008	
I this now done		
Administrator	04 Apr 2008	
What do you mean?		
Ben Coomb	04 Apr 2008	
You said Peter has installed the software, I thought I was to do that. Has he checked it works OK? Do I still need to do anything?		
Administrator	08 Apr 2008	
Peter has installed it can you please check it		
Ben Coomb	08 Apr 2008	
I'll email him and arrange a time		

Respond:

Support:

Dependencies
Make action dependant on other actions being completed first and even delay actions until these actions are done.

Recommendation #2: -

Check Purchase Ledger every 60 days

Action #2a:  Finance Implemented:

You need to reconcile the purchase ledger with issued cheques every 60 days
Assigned To: Rob Sulli Action By: 03 Sep 2010 (27 days overdue)
Depends on Action #1a and Action #1b.

Communication:

Respond:

Support:

Action #2b:  IT Implemented:

Create a simple solutions to log the mini audit done by finance
Assigned To: John Sullivan, Ben Coomb Action By: 30 Sep 2010

Communication:

Ben Coomb	29 Apr 2008	
OK I have created a log now		

Respond:

Support:

Implemented
See which actions have been done

The Assignees View

The assignees interface is like the rest of Tracker, clean and simple, they can see all the relevant details relating to the actions assigned to them. *They cannot see actions not assigned to them even if they are part of the same issue.* Because the interface is clear and uncluttered users can start using the system with no training, for those who need a little guidance there is built in context-sensitive Help. All the user has to do is respond to each action to keep the system up to date with their progress. Managers or Administrators can then monitor the progress and respond to the assignees if needs be. All dialogue is neatly attached to the relevant action for easy viewing.



Start Page **Issues** Reports Account

About Help

Audit Report: -

Name: Payables - USA	Category: Financial	Reference: 772005
Reference: 10	Division: Import	Rating: High
		Status: Outstanding

Summary: No checks for duplicate payments
Details: No checks are made for duplicate payments to suppliers and so vendors may easily be paid twice without anyone noticing.
Findings: Over payments are costing in excess of £50,000 a year
Finding Type: Compliance

Documentation: Findings Report 21 May 2008
 The enclosed report gives a full description of the issue and examples of the problem

Issue Details
 users can read what the issue is and view any files or links that have been attached

Recommendation #1: -

Institute duplicate payments checking using appropriate interrogation software

Action #1a: Can you please install the software on the servers and test

Action By: 03 Sep 2010 (27 days overdue)

Administrator Comment: Peter has installed it can you please check it [Hide History](#)

History:		
Ben Coomb	let me know when it arrives	30 Oct 2007
Ben Coomb	Has it arrived yet?	18 Jan 2008
Administrator	Peter has confirmed the software has arrived and been installed.	04 Apr 2008
Ben Coomb	I this now done	04 Apr 2008
Administrator	What do you mean?	04 Apr 2008
Ben Coomb	You said Peter has installed the software, I thought I was to do that. Has he checked it works OK? Do I still need to do anything?	04 Apr 2008
Administrator	Peter has installed it can you please check it	08 Apr 2008
Ben Coomb	I'll email him and arrange a time	08 Apr 2008

Status:

Support:

Assigned To:

Recommendation #2: -

Check Purchase Ledger every 60 days

Action #2a: Create a simple solutions to log the mini audit done by finance

Action By: 29 Oct 2010

Administrator Comment: They have been removed [Show History](#)

Status:

Support:

Assigned To:

Respond
 assignees reply to each action separately and can view the dialogue belonging to the action. This allows all parties to be fully up to date with the current progress and keep the issue details up to date with their progress. They can also attach files to support their responses.

Powerful Bespoke Reporting

Being able to produce detailed accurate reports is a fundamental part of issue tracking, that is why the Tracker reporting suite is exceptionally powerful. Packed with all the reports most users would need as standard there is even a custom report builder if you require something different or unique as a one off or on a regular basis.

The advanced reporting suite also allows you to quickly locate problem areas and sticking points. All changes and user activity is also recorded and detailed audit reports are standard.

Tabular	Hierarchical	Statistics	Chart	Custom
<ul style="list-style-type: none"> Summary Open Items Past Due Items Closed Items Changes Trend Analysis Aged Analysis 	Settings <input type="checkbox"/> Group by Divisions <input checked="" type="radio"/> per Assignment <input type="radio"/> per Recommendation		Options <input type="checkbox"/> Show filters in header <input type="checkbox"/> Include historical data <input type="checkbox"/> Historical data only	Output To <input checked="" type="radio"/> Screen <input type="radio"/> XML (Excel 2003+) <input type="radio"/> CSV
OR AND AND AND AND AND	Column Audit Report Name Audit Report Name Issue Division Issue Rating Issue Status Action Key Action		Filter IS Sales & Marketing - Korea IS Marketing - Japan NOT IT IS High IS Outstanding <input checked="" type="checkbox"/> Key	

Filters

So you can report on the exact information you require, the report filters allow you to look for an exact match (**IS**) or exclude (**NOT**) on any of the information stored with an issue. Further filters can be **AND/OR** for the next selection

*This is Equal to This **OR** This is Equal to That* (reports on either)

*This is Equal to This **AND** This is Equal to That* (reports on issues that include both)

By using these filters there is no need for further manipulation on the data and you can even include how the report was filtered in the report output so you know what the data relates to e.g. the above would say

Audit Report Name is "Sales & Marketing - Korea" or "Marketing - Japan" AND Issue Division is not "IT", Issue Rating is "High", Issue Status is "Outstanding", Key Action equals "true"

Reports can be exported as Screen, CSV or XML data which allows you to create an instant report you can print or import the data to other applications such as a database or spreadsheet.

Customising Tracker

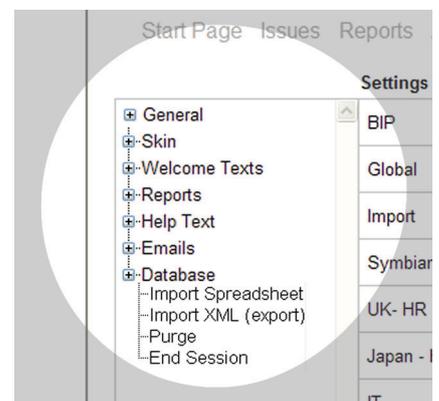
Top level administrators who have access to *set-up* can customise Tracker and bespoke it to your exact requirements including uploading your company logo to replace the Tracker logo. Tracker is so flexible you could even convert all the text to another language, including the help files.

Drop Downs

All the drop down selections are populated in set-up so you can add new items as and when.

Import

If you currently have issues listed in a spreadsheet or in Word you can import them directly in to Tracker.



Multi Level Accounts

Tracker has 3 main user levels but the manager level (see below image) allows you to bespoke the privileges from view only to admin. Because managers can only manage issues and users within the same Division(s) this gives you the flexibility of having admin managers who can administer at a divisional level. The view only is suitable for external auditors or other individuals who need to produce reports and nothing else.

Levels are:

Admin - super users who can see and manage all issues

Manager - flexible user level from view only to sub admin and can only work and report within their allocated divisions

User - assignees can only report and respond to issues assigned to them, the user level is the standard level.

The screenshot displays the user management interface for a 'Manager' role. It is divided into three main sections:

- Account Details:** Fields for Username (john), Password (masked), Full Name (John Sulivan), Email (john.sulivan@symbiant.us), and Phone.
- Associated Division(s):** A dropdown menu showing 'BIP' and an 'Assigned' list containing 'Global', 'Import', and 'test'.
- Access Level:** Role set to 'Manager'. Permissions include: Active (login), Assignable, Accounts, Create Issues, Edit Issue Details, Change Issue Status, Add Recommendations, Add Actions, Re-Assign Actions, Change Action By Date, Remove Actions, Remove Recommendations, Respond, Remove Action Comment, Mark Implemented, Archive Issues, Report Historical, and Remove Custom Reports.

Buttons at the bottom right include 'Save and close', an ellipsis menu, and 'Cancel'.

Re-Assign

A useful privilege of the managers level is the ability to re-assign issues, this allows you to assign actions to managers for them to re-allocate to users in their divisions.

Although Tracker is a simple tool that is easy to use it is very comprehensive. This is because it has had continued enhancements for the past 9 years. As client demands have increased so has the functionality of Tracker. Below are just a few of Trackers advanced features

- **Issue with many parts and each action can be tracked individually**
- **Link actions to one or more parent that needs to be completed first**
- **Delay actions until parent actions are completed**
- **Advanced user security including audit of logins**
- **Assign actions to single or multiple users with action by dates**
- **Attach supporting documentation and URL links**
- **Assignees can attach supporting files with responses.**
- **Full audit on changes**
- **LDAP compliant for Windows single sign on**
- **Automated emails notices for all events, CC and individual suppress**
- **Password reset via email so users can reset their own lost passwords**
- **Advanced powerful reporting with custom report builder**
- **Drill down into audit reports**
- **Report on archived data**
- **Fully customisable (including text and corporate branding)**
- **Drop-downs selections restricted to divisions**
- **Two step delete and ability to re-import removed data**
- **Import from spreadsheet or Word**
- **Export to industry standard reporting tools**
- **Intuitive clean design, no user training needed.**
- **Built in context sensitive Help**
- **Broadcast email to users who have an outstanding issue**

Affordable

Tracker has been designed around the end users requirements which is an issue tracking solution that is easy to implement and get user buy in and has all the features and functions a modern-day audit or compliance department will need. It dramatically reduces the workload and costs of follow-up and reporting and also makes the department much more effective. Any company who currently uses a spreadsheet as a make shift tracking solution will instantly benefit from using Tracker.

With flexible pricing options to suit all budgets and our SAAS cloud service you could be using Tracker for only £200 per month. See <http://www.symbiant.net/toffer> for more details on this.

With companies world-wide using Tracker it is a proven solution. It's already built to meet most needs but can be customised if required. So you can see how Tracker will benefit you we offer a free 3 month trial if you host it yourself or you can try our SAAS service for just £1 or free for 1 month if you have it populated with demo data.

Training is also included so there are no expensive consultancy fees. Upgrades to future versions and enhancements are part of the package so you will always be up to date.

We have two versions of Tracker, Standard and Pro, a comparison sheet is on the next page but the main difference between them is the ability to have an issue with many parts. Standard Tracker is 1 issue - 1 action. Pro also allows you to lock menu drop down selections to specific divisions, making it better to use over a group. It also allows email notices to be sent to people who are not directly involved with the issue or action or for some reason may not themselves have access to Tracker but need to be aware of things that need to be done or becoming overdue.

Symbiant Tracker is priced well below the normal tender threshold levels, which in itself saves the company money.

With hundreds of companies world-wide using Tracker including government, big 5 accountants, leading financial institutions and well known household names, Tracker is a proven solution. It's already built to meet your needs and so you don't need to pay for further development. So you can see how Tracker will benefit you we offer a free 3 month trial

To see overview videos of Tracker go to <http://www.symtrack.com/videos>

Contact

To arrange a demonstration, free trial or discuss our solutions please contact

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Or via the contact us on our web site <http://www.symbiant.net/contact>

Feature	Standard	Pro
Audit Reports	Unlimited	Unlimited
Issues	Unlimited	Unlimited
Recommendations	1 per issue	Unlimited
Actions	1 per issue	Unlimited
Rate issues (High, Med, Low, Red, Green, 1, 2, 3, 4, etc.)	✓	✓
Issue status (open, closed, implemented, unverified, not adopted etc.)	✓	✓
Assign actions to auditees (or divisions)	✓	✓
Mark action complete (separate to issue)	✗	✓
Attach documents (or hyper links)	Issues only	✓
Full status history	✓	✓
Supporting status documents	✓	✓
Drill down into Audit Reports	✓	✓
Fully filterable display	✓	✓
Advanced filters	✗	✓
Quick link / identification of critical issues	✓	✓
Issue alert notices	✗	✓
Automated emails	✓	✓
CC emails	✗	✓
Suppress individual emails	✗	✓
Include issue details in email	✓	✓
Standards compliment reporting	✓	✓
Custom reports	✓	✓
Statistical / Graphical reports	✓	✓
Hierarchical reporting	✗	✓
Full audit	✓	✓
LDAP (AD) / Single Sign on	Optional extra	✓
Password rotation / reset	✓	✓
Block failed access attempts	✓	✓
Custom user permissions	✓	✓
Customise text and help files	✓	✓
Corporate branding	✓	✓
Custom drop-downs	✓	✓
Drop-downs restricted to divisions	✗	✓
Import issues from spreadsheet	✓	✓
Restore archived / deleted data	✓	✓
Database management tools	✓	✓
Full context sensitive help	✓	✓
Intuitive web based GUI	✓	✓
Compatible with all modern web browsers	✓	✓
Microsoft® enterprise architecture	✓	✓