



ComplianceWire®

ENTERPRISE LEARNING MANAGEMENT FOR REGULATED INDUSTRIES



Improving Business Value through Compliance, Proficiency and Performance

Business leaders within regulated industries recognize regulatory compliance as a practical roadmap for improving business value. They know that an effective compliance program reflects both regulatory and business needs, increases knowledge and performance at every level of the organization, reduces risk and streamlines interrelated training, information and document management.

UL EduNeering's solutions assist these business leaders by addressing key challenges, including employee training, adherence to corporate and industry governance requirements, turnover and cross-functional staff utilization, safety and risk reduction, and operation of critical equipment. We work with each client organization to implement a blended solution that combines operational improvement metrics, learning and training objectives, and validated distribution and understanding of critical information across an organization's supply chain.

Powerful Enterprise Learning Management Solutions

More than 350 companies, representing millions of users in industries including Oil and Gas, Life Science, Health Care and Manufacturing rely on our technologies, curriculum and services every day. The nature of regulated industries is such that Learning Management System (LMS) implementations, especially for Governance, Risk management and Compliance (GRC), can be more complex, requiring sophisticated security and flexible governance features to support supply-chain (or extended enterprise) learning as well as integration with third party systems to improve workflow and simplify auditing/reporting.

UL's cloud-based Platform alleviates that complexity to assure proficiency of critical compliance and business content among employees, vendors and contractors.

Reducing Costs by Leveraging Our Infrastructure

By leveraging ComplianceWire, our award-winning LMS (2009 – 2012 Brandon Hall), clients are improving performance, raising quality standards and achieving regulatory compliance. Affordable and efficient, UL maintains the computer hardware, software, security and personnel needed to deliver our solutions via the web. This enables our clients to significantly reduce capital investments, IT resources and operational commitments.

Our company-owned, 24/7 data centers deliver 99.99% up time with redundant storage, backup power and best-of-breed security.



Integration That Strengthens Your Existing Applications

ComplianceWire is interoperable with industry-standard systems, including HRIS, document management, clinical trials, ERP, MES and other LMS.

For example, by integrating a document management system with ComplianceWire, an update to a document automatically triggers actions for employees. This solves the compliance challenge of how to properly distribute and track policies, SOPs and other critical documents – and changes to those documents – in a timely way. Once alerted, employees must not only read, but also demonstrate understanding – thus increasing operational efficiency and document-based compliance.

UL's comprehensive compliance training solution integrates three critical components:

Technology

- Cloud-based Learning Management System, available in more than 30 languages
- Unique risk assessment tools
- Robust management suite for critical documents, policies and SOPs

Content

- 700+ standard courses, specific to regulated industry
- Blended learning programs
- Custom course creation, over 5,000 created

Professional Resources

- Professional services organization
- Customization and technology integration specialty
- Industry leading partnerships and subject matter experts

Sector-Focused Solutions

From a GRC perspective, regulatory agencies such as the OSHA, EPA, DOT, BOEMRE, CMS, FDA and DOJ drive solution development. Additionally, cross-functional initiatives such as ethics and professional development are integral to serving the needs of the enterprise. Our industry-focused curricula target the diverse needs of learners, regardless of language, culture or education. Subjects include:

- **Ethics, HR and Risk Management:** GRC solutions focused on Codes of Conduct, reinforcement of corporate culture, HR policies and regulations from OIG and SEC. The unique and proven approach includes a multi-year ethical culture skill-building program that is supported by the ongoing communications toolkit.
- **Environmental, Health and Safety:** Robust curricula focused on workplace and field safety, including hazard communication site security, ergonomics, and health.

DRIVE EMPLOYEE COMPREHENSION OF CRITICAL OPERATING PROCEDURES AND REGULATORY REQUIREMENTS



UL's Critical Information Control System® (CICS) allows you to deliver, document and report on sensitive employee communications throughout your company to assure knowledge transfer. Documents can be automatically delivered to one or many individuals via desktop, kiosk-based computers or hand-held devices.



- **Energy Operations:** More than 60 standardized courses on safety topics and other activities regulated by the EPA, OSHA and DOT.
- **Health Care:** Curricula that enable Health Care organizations to comply with the requirements of the CMS, HIPAA, Medicare Advantage and Part D, including technology tools to train and track brokers and agents.
- **Life Science:** FDA-authored and/or reviewed courses identical to those used by the FDA to train its inspectors and investigators.

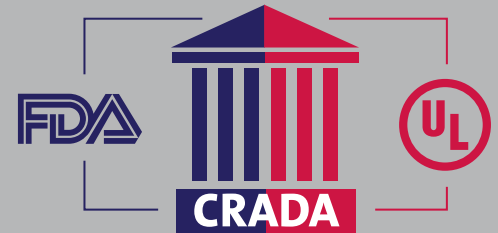
Manage the Distribution of Critical Documents, Policies and SOPs

Our widely used CICS enables companies to manage the distribution of corporate documents and policies, SOPs, forms, surveys and routine communications with documented electronic receipt and tracking to employees, suppliers and contractors. Quizzes can be created and linked by you to policies, SOPs and other critical documents, so that you can test understanding of the material.

ComplianceWire also enables you to receive an “e-acknowledgement” from employees to signify receipt of these critical documents, or an “e-signature” for employees to sign off on their understanding of the information. Within a validated Part 11-compliant environment, this is critically important to Life Science organizations. Leveraging this technology, clients gain an auditable record of all activity associated with your critical information.

Provide High-Level Executive Dashboards

ComplianceWire provides “compliance status snapshots” so that senior managers can instantly evaluate compliance training effectiveness – and take remedial action if necessary.



Cloud-Based Learning Technology Trusted by Industry Leaders and Chosen by the FDA

When the FDA was challenged to ensure the proficiency of more than 35,000 federal, state and local investigators, the agency chose UL’s compliance training solution under a unique Cooperative Research and Development Agreement (CRADA). This solution integrates the ComplianceWire cloud-based Platform with curriculum that UL co-developed with the FDA. The same technology Platform and coursework used by the FDA in its virtual university are available exclusively to UL’s clients.



Manage Even the Most Complex Training Assignments

ComplianceWire provides the versatility and flexibility to enable you to manage multiple training items within multiple locations and departments. Automation, audit trail and real-time reporting are the tenets of ComplianceWire's Platform:

- Maintain an unlimited set of training items and curricula with full support for versioning and change control.
- Link related training items to meet any requirement, and assign this curricula to specific job roles, so when employees transfer to new job roles, they will automatically receive new training.
- Leverage a single platform to manage existing learning methods for a blended system that includes instructor-led, classroom, on-the-job, computer-based and mentoring components.
- Supplement best practice compliance-driven courses with internal content to assure conformance to company-specific procedures.
- Build your own electronic quizzes and exams, and assign these items so they display in the end users' "To-Do" pages alongside courses, SOPs and other third party materials.
- At a moment's notice, you are a mouse click away from a complete, chronological history of end-user activity, as ComplianceWire maintains a full electronic audit trail that is in accordance with 21 CFR Part 11.
- Robust reporting for users, administrators and managers against a wide range of metrics.

Extend Compliance Learning Securely to Nonemployees

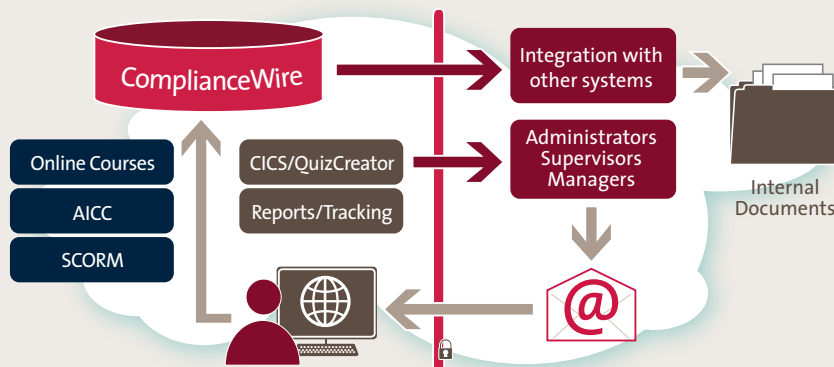
If you are responsible not only for the compliance of your own employees, but also for physicians, clinicians, suppliers and subcontractors, you can leverage the SaaS model inherent with ComplianceWire.

The solution can be ideal, as it maintains your network security (user activity occurs outside your company's firewall) while also integrating vital nonemployee compliance information for audit-related purposes.

Integrate Operator Certification Programs

ComplianceWire enables you to integrate training curricula with established operator certification programs using biometrics and card reader systems, so that machinery will not operate unless the employee has fulfilled training assignments as defined by your organization.

REDUCE COSTS BY LEVERAGING OUR CLOUD-BASED PLATFORM



UL's ComplianceWire Platform leverages a cloud-based computing model to embed a learning culture throughout an organization. Using our award-winning LMS, clients are improving performance, raising quality standards and achieving regulatory compliance. UL designs and maintains the computer hardware, software, security and personnel needed to deliver these proprietary solutions. And our clients significantly reduce capital investments and operational commitments. UL's 24/7 data center delivers 99.99% up time with redundant storage, backup power and best-of-breed security.