



COMPLIANCE AND WORKFLOW GOVERNANCE

Precision and productivity

Investment research is governed by an ever-changing regulatory environment, as well as industry and firmwide best practices and policies.

The need to ensure that products comply with these criteria can affect the productivity of an editorial operation.

Méthode minimizes this trade-off between productivity and compliance with a suite of highly configurable governance tools.

They range from a granular system of user permissions, to prevent unauthorized access and activity, to checkpoints and controls that ensure the necessary reviews and approvals are completed before a document progresses in the workflow.

Together with powerful analytics tools, these mechanisms reduce the level of supervision required, while ensuring that editorial output complies with regulatory and qualitative criteria.

Dynamic user permissions

Every object created in Méthode passes through a number of predefined stages from creation to final publication.

At each stage in this workflow path, the 'permissions' or 'entitlements' associated with the object – who can do what – change continuously so that only permitted actions can be carried out by authorized users at each step.

Permissions can be configured in considerable detail and assigned to specific individuals or groups to provide fine but unobtrusive control over the editorial process.

Conditional checkpoints

As well as governing user access and actions, workflow controls can also be configured on a conditional basis. These checkpoints prevent a product proceeding to the next workflow status unless a specific action or review has been carried out.



Automatic content embedding

Where a product contains fixed text, such as disclaimers, this is pulled in from a central library, ensuring that it is always correct and up to date.

When authors enter critical wordings, such as the names of organizations, Méthode can be configured to prompt the user with suggestions drawn from an updated external database. Accuracy is assured without time-consuming look-up operations.

Smart metadata

All created content is tagged with metadata to indicate its authors and origins. More metadata is added during the workflow to flag the completion of checks and edits.

Metadata tagging is fundamental to the 'smart' behaviour of products in the editorial workflow, assuring many aspects of compliance without the need for manual inspection or intervention.

Rules for restricted content

Rules can be configured to notify compliance officers in cases where product content could infringe regulatory standards – for example if an author attempts to write about an organization on a restricted list.

Versioning and audit trail

Every time a document or asset is saved, a new version is created. This creates an 'audit trail', clearly documenting the changes made and the users responsible.

A document can be rolled back to a previous version to recover from erroneous editing or corruption at any time.

THE ELEMENTS OF COMPLIANCE

