DocXplorer

Document Owner User Guide

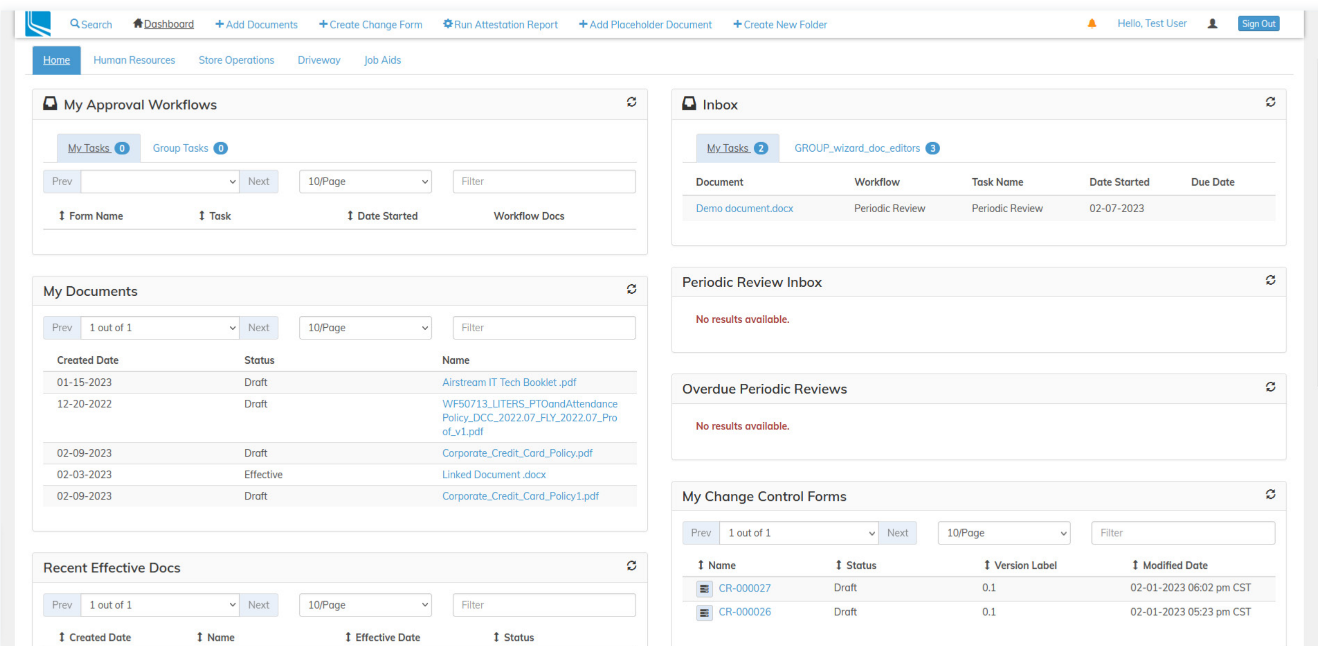
Below is a short guide for document owners on the processes, expectations, and best practices for the DocXplorer system. For more information, please read the user guide provided by the vendor.

As we continue to refine DocXplorer processes, this document will be updated with information relevant to document owner.

For questions or ideas for system improvement, please reach out to DocXplorer@lithia.com.

Navigation Bar & Dashboard

The Navigation Bar and **Dashboard** may look almost identical to the general users view, but as a document owner, you have some increased capabilities. In the **Navigation Bar** you have the option to add documents and create change forms. The functions of these documents are covered below in the Document Lifecycle section.



In the Dashboard, you will also have some additional dashlets meant to help you keep track of and maintain your documents, including:

- **My Inbox:** View the tasks assigned to your group and take on any tasks that have been routed to your group.
- **My Approval Workflows:** Tasks routed to you directly for approval.
- **My Documents:** All the documents you currently own so you can see them all at a glance.
- **My Change Control Forms:** Change Request forms that you've created and/or routed for approval.

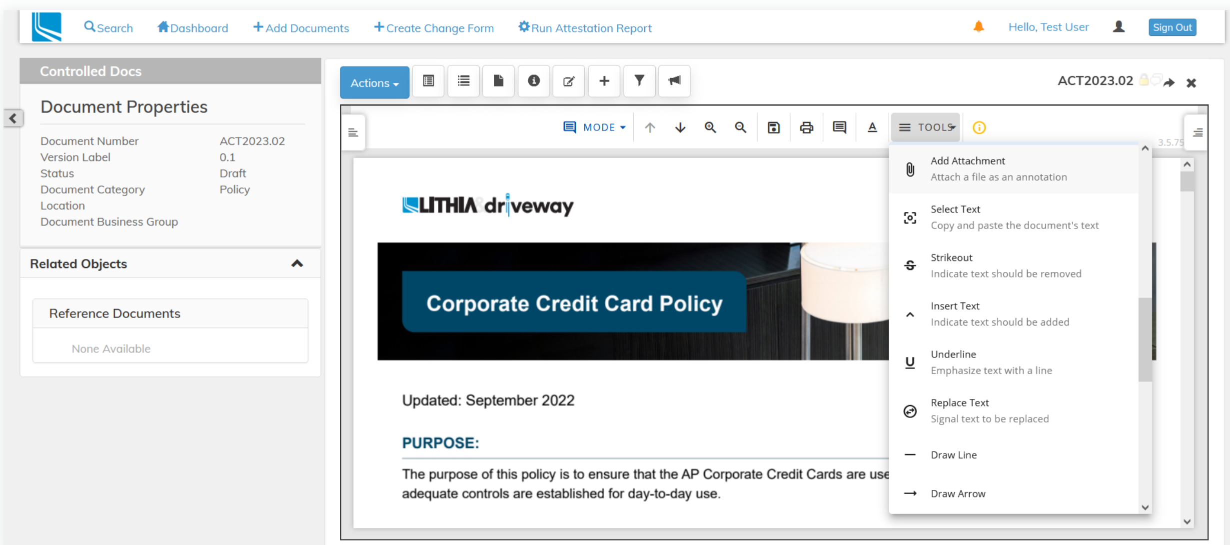
- **Periodic Review Inbox** and **Overdue Periodic Reviews:** Documents that are approaching or passed their periodic review date.
- **Recent Effective Docs:** Documents that have recently been made effective.
- **Recently Created Documents:** Documents that have recently been created.

Annotations

As a document owner, you have increased abilities in the **Document Stage**, the screen that allows you to view a document. Not only will you be able to create change forms and set effective dates, but you'll also be able to make annotations on a document.

The annotation tool can be used whenever a form or document is viewed in the **Document Stage** and give document owner the ability to provide feedback on a document.

Note: General users will be able to see annotations, so be mindful about you comments/edits you make.



To make annotations, open a document and select **Tools** in the document viewer and scroll down through the list of tools available. Your annotations should autosave, but it is best to manually save when you're finished to ensure nothing is lost.

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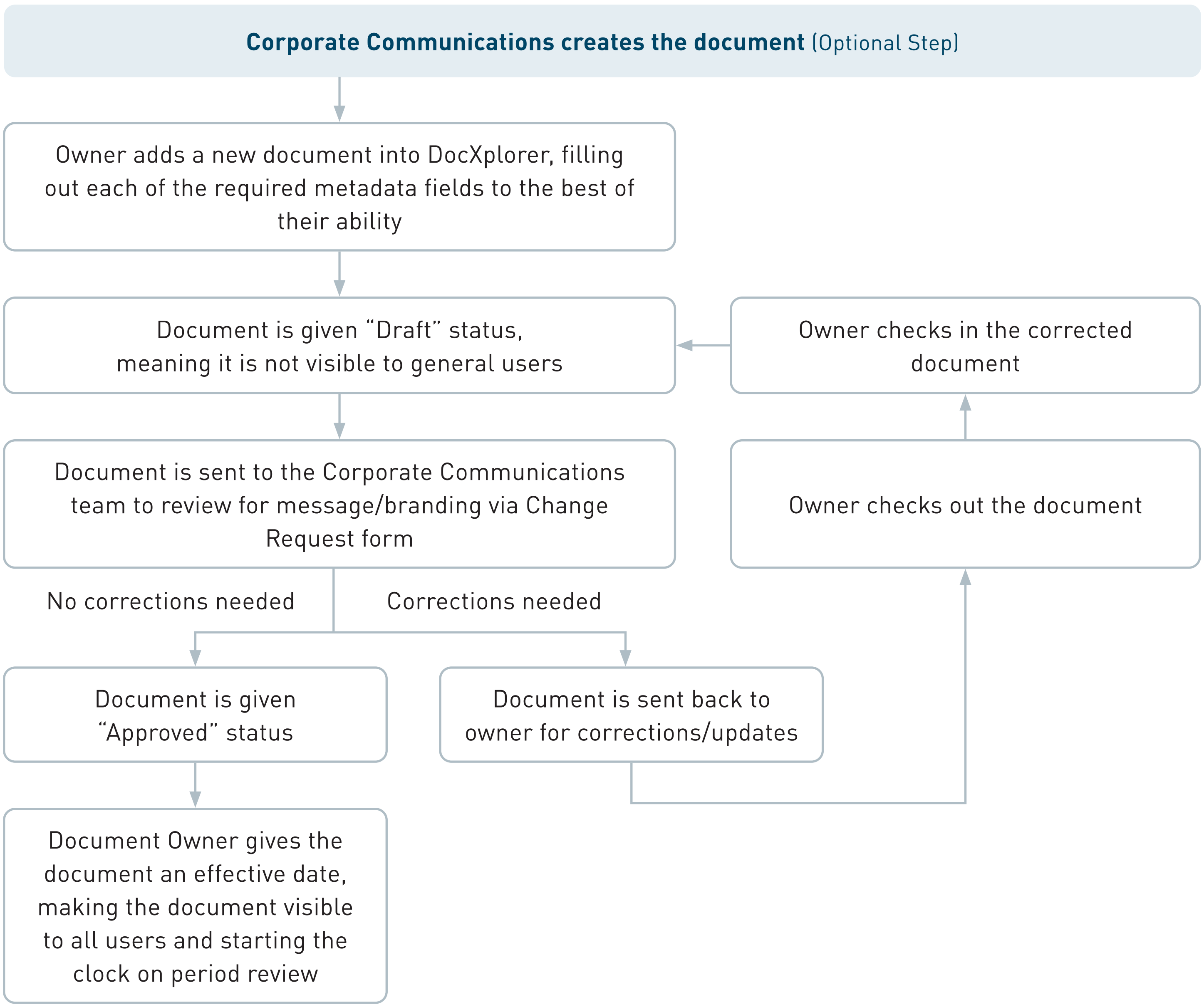
Document Lifecycle

The general document lifecycle is outlined in the flowcharts below.

Uploading a New Document



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Updating a Preexisting Document

Owner is notified that document needs to undergo periodic review (Optional Step)

Document Owner performs annual review (Optional Step)

Updates are not needed

Owner signs off on the document, certifying there are no updates to the document

Effective date is updated

Updates needed

Document Owner checks out the document to update

Owner reaches out to Corporate Comms to help them update their document (Optional Step)

Document is given "Draft" status, meaning it is not visible to general users

Document is sent to the Corporate Communications team to review for message/branding via Change Request form

No corrections needed

Document is given "Approved" status

Document Owner gives the document an effective date, making the document visible to all users and starting the clock on period review

Corrections needed

Document is sent back to owner for corrections/updates

Owner checks out the document

Owner checks in the corrected document

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How to Obsolete/Retire Documents

Owner is notified that document needs to undergo periodic review (Optional Step)

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Document Owner decides that this document is no longer relevant to Lithia & Driveway employees and can be hidden from view.

↓

Owner completes a Change Request form, selecting the "Obsolete" option

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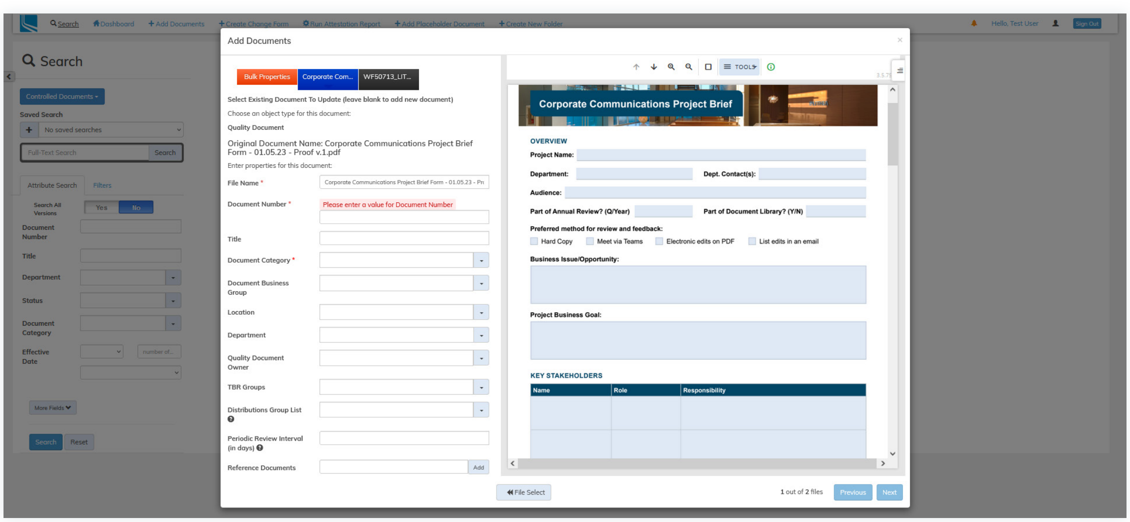
Once the Change Control form is complete, the document status is changed to "Obsolete" and will be removed from General User's view within 24 hours

Note: A document will not be available for employees to access until it has reached "Effective" status. A document can only be made effective once it has successfully gone through an approval workflow.

For further details on each step of the process, please read below.

Uploading a New Document

To upload a new document into DocXplorer, select **Add Documents** in the **Navigation Bar**. From there, drag and drop your document or select your document from the files on your computer. Multiple documents can be uploaded at once. Once you've selected all your documents, click *Next*.



Properties for the document will be displayed for you to edit. The **Bulk Upload** screen will allow you to input the same information for all the documents you're uploading without having to retype the information on every document.

Below is a quick breakdown for what each document property means:

File Name

The name of the file. This name *must* be unique to the document or the system will not allow you to upload it.

Document Number

The system requires each document to be assigned a code, to be entered manually by the document owner. We ask that document owner enter the department abbreviation followed by the year. For example, a document owned by Benefits uploaded in 2023 will have the number "BEN2023." The below table outlines the abbreviated names for each department that has documents currently in DocXplorer. These numbers do not have to be unique.

Department	Abbreviation	Department	Abbreviation
Accounting	ACT	**Human Resources**	HR
Acquisitions	ACQ	**Information Technology**	IT
Benefits	BEN	**Legal**	LGL
Compensation	CPN	**Marketing**	MKT
Corporate Accounting	CACT	**Payroll**	PAY
Corporate Communications	CPT	**Procurement**	PRO
Design, Construction & Facilities	DCF	**Real Estate**	REA
Driveway	DVW	**Recruitment**	RCR
Employee Relations	ERS	**Risk Management**	RKM
F&I	F&I	**Talent Development**	TAD
Fixed Ops	FIX	**Tax**	TAX
Guides	GUI	**Treasury**	TRS
HR Support / HRIS	HRS		

Title

The tile of the document, which should be listed at the top of the document itself. The title *must* be unique to the document, or the system will not allow you to upload it.

Document Category

The document category is the type of document you are uploading. The options are as follows:

- Contact List
- Form
- Guide
- Job Aid
- Office
- Operations
- Policy
- Procedure
- Process
- Training

If you find your document does not fall into one of these categories, pick the closest option and contact DocXplorer@lithia.com to discuss getting that option added in.

Location

The location refers to the audience this document affects limited by area.

Department

Department refers to the department responsible for this document.

Quality Document Owner

The quality document owner is the actual owner of this document and is responsible for keeping it accurate and up to date.

Periodic Review Interval

The length of time, in days, before this document must undergo periodic review.

Reference Documents

Reference Documents are documents related to the document currently being uploaded. A relationship will be created and a link to documents can be seen under the **Related Objects** section in the **Document Stage**.

Once you have filled out all the required fields, the tab in the top of the screen will turn green, and you can select **Finish and Upload** to upload the document into DocXplorer.

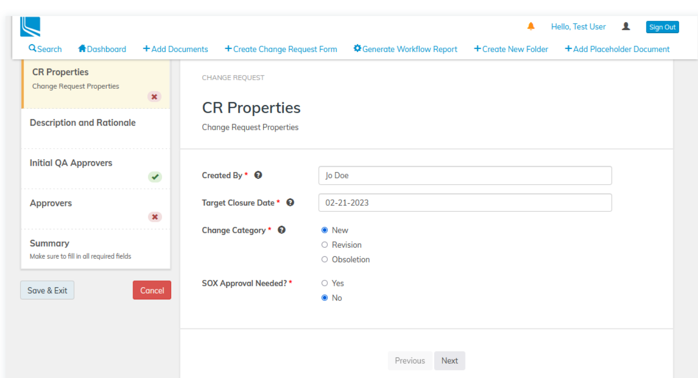
Approval & Review Workflows

To make a document viewable by any non-Document owner, you must submit a **Change Request Form** to change the status from **Draft** to **Approved**.

Change Request Forms

You can start this process by selecting the **Create Change Request Form (CR Form)** button from the **Document Task** bar.

Note: While there is an option to **Create Change Request Form** from the **Navigation Bar**, it does not automatically link the **Change Request Form** to a document, meaning that the finished form will not route a document for approval. However, you can go back and add documents to the form once you've completed filling it out, allowing you to use one form for multiple documents.



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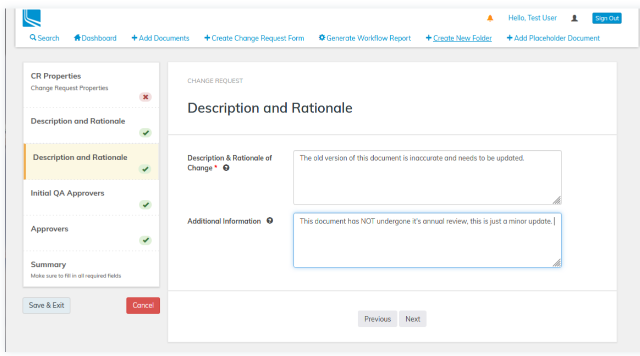
Once a **CR From** is created, the form template appears and with **X icons** signifying required fields.

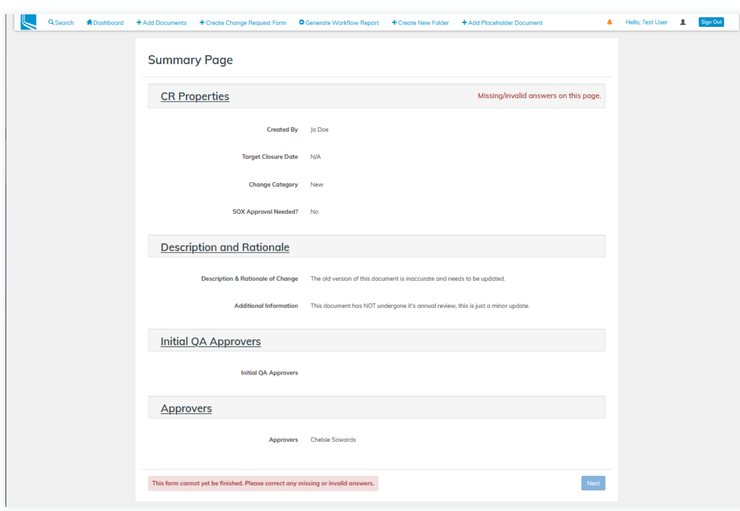
> **Note:** If you are unsure if a document needs to be reviewed by the Sarbanes–Oxley Act (SOX) team, please reach out to the DocXplorer admins at DocXplorer@lithia.com.

In the **Description** and **Rational** section, you can share uploading any background about the document being uploaded that you'd like to record. You can do this by either filling out a text box or uploading separate files such as email threads or Word Documents. Be aware that other document owners and DocXplorer Admins will be able to see the files added here.



You then can select the initial **Approvers** and **Quality Assurance (QA) Approvers**, or who allow you to select who will approve or reject a document. A document must first pass an initial QA Approver before going on to the general approver. The Approver is the document's owner and needs to give final approval on a document before it is available to be seen by the rest of the company. QA Approvers are individuals who contribute to the document or need to proof it, but do not own the content itself.

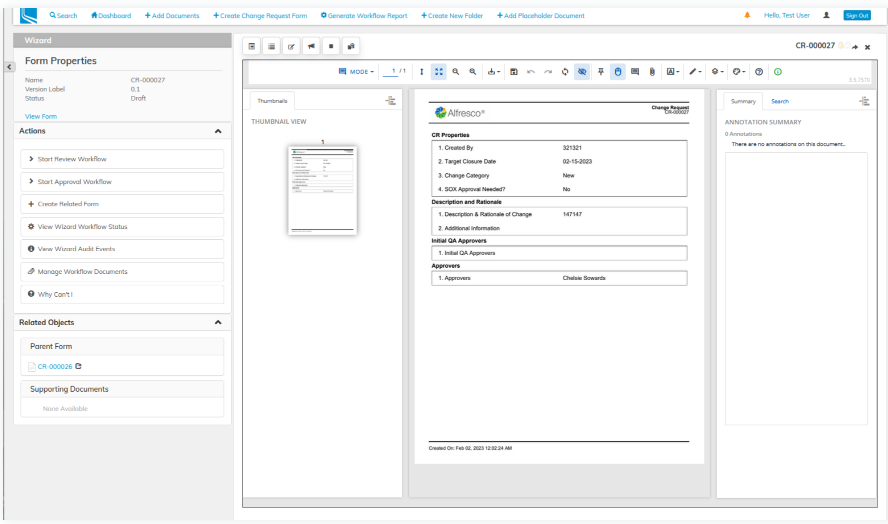
Note: The Corporate Communications team will automatically be assigned as a QA Approver to ensure that all documents being posted follow Lithia & Driveway branding and voice guidelines.



Once you've completed the prompts, review the information on the **Summary** page. If you're missing information, select **Back** in your browser to reenter the information in your form. Once you've completed reviewing the completed form, select **Submit**.

This will take you to the completed CR form in the Wizard viewer. This is the same as the Document Stage, however you'll have several options such as:

- Start a workflow
- Create a related form
- View the **Workflow Status** to see the document's status within a workflow
- Manage the documents connected to a form
- Cancel the CR form
- Copy the form to create a new one
- Or send a notification to someone about the form



If you'd like to run one CR form for multiple documents, from the CR's Document Stage select **Manage Workflow Documents** from the basic properties listed on the left-hand side, and select the **Add Documents** tab.

Workflows

You can either start a **Review Workflow**, which will send the document for review but not approval, or start the **Approval Workflow**, which will route the document for approval and start the process of making it viewable to users.

Once the review or approval process has started, an email will be sent to the first approver notifying them of the assigned task. The task will also be added to their **Change Control Inbox** on their dashboard.

Once the task has been assigned to an approver, they have two options:

1. **Approve:** If the approver selects this option, the workflow will proceed to the next approver in the process. If there isn't an additional approver, then the approval route will be complete. The owner who initiated the workflow will receive an email notification confirming the completion of the process, and an entry to the document's audit log will happen automatically.

2. **Reject:** If the approver selects this option, the workflow will be ended, and all tasks will be canceled. The owner who initiated the workflow will receive an email notification of the cancelation, and an entry to the document's audit log will happen automatically.

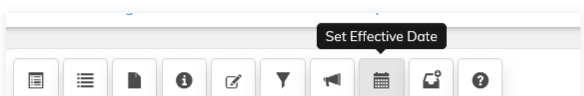
Once all assigned approvers have approved the document, the workflow is complete and the document will automatically update with the latest version, and the version number in the upper left corner will change to reflect the update.

The document's status will now read as "Approved". However, it will not be visible to general users until it has been given an effective-by date.

If you find that you are unavailable to review a document, you can delegate the task by selecting the **Delegate Task** function in the Change Request Form stage. Or, if you need to delegate any future workflow tasks, you can go to your User Settings in the upper right corner of the screen and go to the **Workflow** tab. From there, select *No* and determine who you'd like to delegate all future tasks to.

Making Documents Effective

Once a document is approved, the document owner can go into the document and click the **Set Effective Date** icon in the **Document Task Bar**. You can select for the document to be made effective immediately or schedule it to be officially effective later. The Periodic Review countdown begins at whichever date you select.

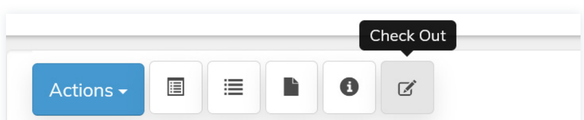


If multiple documents are sited to one CR form, you can set effective dates for the documents all together by going to the shared CR form and selecting **Set Effective Dates** from the left-hand side. From there, use the table to set effective dates for each document.

The document's status will not update until the top of the next hour. For example, if select to make a document effective at 2:30pm, the document's status will not change to "Effective" until 3 pm.

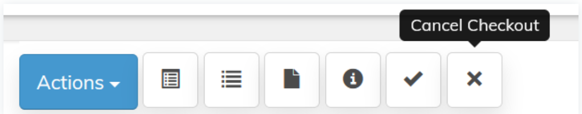
Updating Documents

When a document needs to be updated, go to the Document within the Document Stage, and select **Check Out**. Once you check out the document, it will be downloaded to your device in the version it was originally uploaded in.

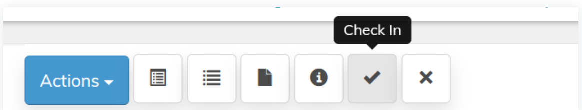


The key icon glowing in the top right corner of the **Document Task Bar** indicates to other document owner that this document is locked and cannot be checked out, as someone is in the process of making changes. Hovering over the key will let you know who has a document checked out, should you need to contact them.

If you decide that the document does not need to be updated, or you are not the person who should be performing the updates, you can cancel the checkout by selecting **Cancel Check Out**. This will release the lock on the document and allow a fellow document owner to check it out and make updates.



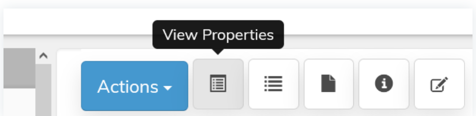
Once you're done editing, select **Check In** from the **Document Task Bar**. Drag and drop the updated version of the document into the indicated window or select the document by selecting the file on your computer.

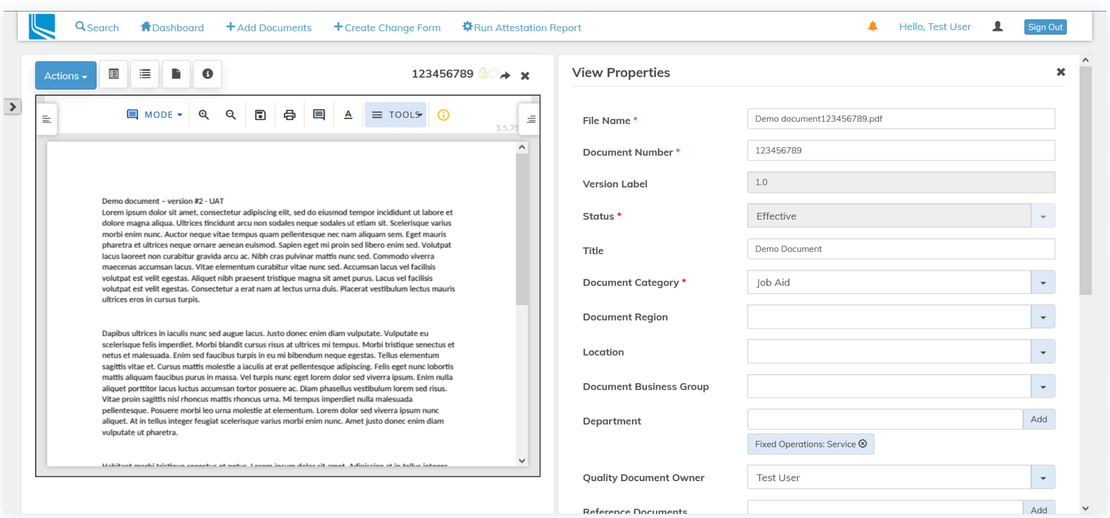


When a document is checked back in, the lock on the document is released. However, in order for the new version of the document to be available to users it must go through the Approval Workflow, where the new version must be approved by the designated approvers.

General users will not see any changes until it reaches "Effective" status; however, approvers will be able to see all current and previous versions of a document by selecting the View Version button in the Document Task Bar.

To update a document's properties, click the **View Properties** in the **Document Task Bar**. A dual pane with the document's properties will appear and you should be able to edit directly.





Periodic Review

Within 90 days of a document's periodic review, an email will be sent to the document owner to inform them of the upcoming review, and a task for the review will automatically be added to their inbox. To perform the periodic review, click into the document and select the **Perform Periodic Review** in the **Document Task Bar**.

Either accept as-is, assuring that the document is accurate and doesn't need any edits, or begin the update process. You also have the option to obsolete the document if it's no longer relevant.

Obsoleting Documents

To obsolete a document, or make it unavailable for users to see, simply submit a new Change Request Form select the **Obsolete** option. This will follow the same process as any other CR form, with the result being that the document is hidden from the view of all users.

Once the obsoletion is completed, the document will no longer be visible to general users and will have the "Obsolete" status for other owners.

Note: It takes a full 24 hours for the document to be hidden from users, so if you need to have the document removed as soon as possible, please reach out to DocXplorer@lithia.com.

Your Responsibilities as a Document Owner

As a document owner, please keep in mind that your role grants you expanded access to documents and increased responsibilities.

It is your job to:

- Upload new documents
- Check in/out documents for review
- Make sure that documents complete their workflows
- Preform annual reviews on any SOX & Compliance documents
- Inform Document Control of any changes to ownership; this can be done by emailing DocXplorer@lithia.com
- Keep documents up to date in terms of content and branding; if you want or need help with updating or creating a document, please contact Corporate Communications at communications@lithia.com

Additionally, please do not share any documents that are in the **Draft** stage with anyone who is not the designated document owner.

Questions

DocXplorer is a new system that will update and expand as we *Improve Constantly*; while there surely will be some bumps along the road, we're excited to share this journey with you!

If you have questions about anything in this document, please reach out to DocXplorer@lithia.com