Compliance Management App Summary

Assess Risk

- Notify Requirement Owners to perform an assessment with due dates
- Perform inherent risk assessment
- Document controls, including access to your organization's controls library
- Share assessments of controls across business units and second-line functions
- Link controls to a central library of policies
- Assess residual risk
- View risk trends over time from daily to quarterly to annual monitoring

Review, Remediation, & Monitoring

- Document any issues associated with the requirement
- Assign action plans
- Monitor / escalate overdue issues

Content Updates (Resolver Only)

- Receive in-app alerts regarding regulatory changes, new legislation, and bill drafts as they occur
- Updated requirements summarized in a report
- Notifications to inform the compliance team about specific regulatory changes

Applicability Assessment

- Scope in relevant requirements for each framework
- Assign requirement owners to a requirement

Compliance Testing

- Select requirements for testing
- Document testing, including design and operating effectiveness
- Testing Plan report

Key Reporting

- Out-of-the-box Company and Business level reports:
  - Compliance Management Status Dashboard

- Compliance Executive Summary

- Issue Summary

- Regulator Overview

- Inherent vs Residual Risk

- Status Reports

- Requirement and Control Matrix

- First Line user Dashboards

Managing Library of Content

- Access to the library of relevant content

- Upload own content to maintain in library

- Receive updates on selected Resolver content

- Push updated regulatory content and control information to all assessments