



# Compliance Management

Efficiently measure, manage and report on your compliance with regulations, laws, policies and standards

## Overview



DoubleCheck's web-based Compliance Management solution provides a secure, centralized environment for automating the management of your compliance program. You will be able to document your processes and associated controls, executed assessments and tests of control performance, establish ownership and manage resolution of issues identified. You can link your processes and controls to other relevant information, such as policies, risks, internal or external authority documents or regulations, financial accounts and more for management, reporting or analysis purposes. Results can be reported through real time dashboards, reports and email based notifications.

## Highlights



Document your control framework



Associate controls with accounts, processes, risk, policies, laws or audits relevant to your business



Execute system managed certifications of control design, associated risks, processes or tests



Perform system managed assessments or testing of control performance on a scheduled or ad-hoc basis.



Identify deficiencies or issues and their impacts on linked items, such as risk or policies. Understand benefits from any compensating controls



Manage deficiencies or issues to effective closure



Keep all stakeholders informed with dashboards and reports, with time or event based notifications



Utilize Embedded Business Intelligence (EBI) tools to find, filter, analyze and visualize data and results

## Key Benefits

- ✓ User Interfaces configured to the roles and responsibilities of the individual. Users will see the information they need and be guided through their responsibilities, maximizing user satisfactions and minimizing costs of training.
- ✓ Integration and automation of compliance processes based on how you do business. With DoubleCheck's configurable workflows, you'll have the system facilitating your steps. You might start with a risk assessment, then perform assessments on higher risk controls, have single or multi-level reviews based on assessment results, automatically create and assign issues for resolution and system follow up...the process is up to you!
- ✓ Ability to test or assess once and use the result to inform multiple regulations, compliance requirements – no duplicative work!
- ✓ Ability to roll up and analyze results in multiple dimensions – results by process, by organization, by risk, by regulation, by business unit, by division and by most important exceptions.
- ✓ A rich set of underlying technical capabilities that enable growth as your compliance program evolves, including:
  - ✓ Document Management
  - ✓ Issue Creation and Resolution Management
  - ✓ Associated data management (i.e., information about items, such as control owners for controls; can be names, text, numbers, scores, cash values, dates and more)
  - ✓ Testing Module
  - ✓ Multiple Assessment Options, including survey style and spreadsheet style
  - ✓ User Configurable Reports
  - ✓ Data import and export tools
  - ✓ Notifications of tasks to perform, or changes to items related to your responsibilities
  - ✓ Risk scoping, rating and scoring
  - ✓ Roll-up scoring and reporting

## Outcomes

### Document Your Control Framework

Import your control framework in your structure into a library of controls, including control procedures, owners, review dates, test plans and other data you require.

### Develop an In-Scope Universe for Review, Assessment or Testing

Apply your scoring methodology at any level to determine "in-scope" for review, commonly based on a combination of risk score, time since last review or regulatory requirements.

### Manage Reviews, Assessments and/or Testing

Use the automated workflow management to determine effectiveness and deploy continuous assessment, testing, review and certifications at the process, risk or control level.

### Identify Issues and Manage Remediation

Manually or automatically create findings or issues based on assessment or test results, and understand how issues impact risks or processes.

### Report on Compliance Activities

Use real time dashboards and reports to get a consolidated view of your compliance program status and results, both live and historically. Get automatic updates of key information, such as reviews past due. Email information in multiple formats, including interactive PDFs, Excel files and Board-ready reports.

## ABOUT DOUBLECHECK

DoubleCheck™ LLC is a leading enterprise-level governance, risk management, compliance and audit solutions software company. The DoubleCheck GRC and audit platform can automate and unify on a single platform any or all of any organization's governance, risk management, compliance and testing (GRC and audit) activities. This includes key requirements such as Sarbanes-Oxley compliance, corporate governance, risk and audit management. The solution is highly configurable, offering adaptations to easily fit each client's needs.

To learn more, visit our website at [www.doublechecksoftware.com](http://www.doublechecksoftware.com)