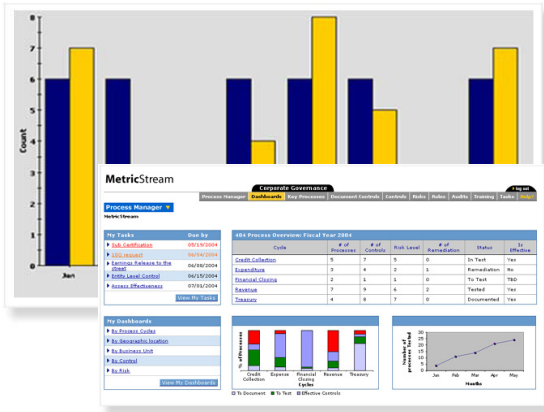


MetricStream

DATASHEET COMPLIANCE MANAGEMENT



Compliance Dashboards

VALUE PROPOSITION

Consistent compliance and controls process across the enterprise eliminating any deviations and errors as well as redundant activities

Automated information flows, assessments and testing, and remediation assignments reducing over all compliance costs

Streamlined controls management enabling process owners to take direct responsibility for managing controls while auditors can focus on key compliance risks and project oversight

Compliance dashboards and risk heat maps provide enterprise-wide visibility into the compliance management process and highlight issues that need to be addressed

Integrated document management with change control capabilities keeps compliance documentation and business processes in sync

OVERVIEW

As companies move to meet a variety of compliance deadlines, they often structure one-time projects to meet statutory due dates and internal goals. However, compliance is not a one-time event. Consequently, organizations are redesigning their compliance programs to structure them as repeatable processes that can be sustained cost-effectively.

Traditionally, homegrown systems, stand-alone applications, or even manual paper-based systems have been used to manage various compliance processes at the departmental level to serve the needs of specific user groups. As various compliance initiatives become more intertwined from regulatory and organizational perspectives, multiple and disparate solutions lead to duplicative, and often contradictory, processes and documentation. Such environments do not provide clear visibility into the organizations' risk and compliance profile, bring down efficiency and escalate the risk of non-compliance.

MetricStream Compliance Management solution provides a common framework and a federated approach to manage all compliance requirements faced by an organization. It enables companies to manage cross-industry mandates and regulations such as SOx, OSHA, EH&S and FCPA as well as industry focused regulatory guidelines from FDA, FERC, NERC, FAA, HACCP, HIPAA, GLBA, AML, Basel II and Data Retention laws.

FEATURES AND FUNCTIONALITY

COMPLIANCE ENVIRONMENT AND PROCESS DESIGN

Using MetricStream Compliance Management solution, companies can define and maintain a centralized structure of the overall compliance and control hierarchy including processes and assets in scope, risks for the processes and assets, controls to address the risks and mechanism to assess the controls. It includes associated policies and procedures, reporting requirements and filing templates and schedules for various regulations.

Assessment plans to evaluate and ensure the effectiveness of the controls can be designed and assigned based on roles and responsibilities., Assessment plans can also be scheduled periodically or triggered based on the compliance requirements and associated risk.

The system implements rigorous change control to ensure processes and their documentation always stays in sync and also provides integrated audit trails and change history reports.

ASSESSING COMPLIANCE AND CONTROLS

Compliance managers and process owners across the organization can manage compliance assessment programs to ensure the effectiveness of controls and activities designed to meet regulatory requirements. The system supports assessments based on predefined criteria and checklists and has a mechanism or scoring, tabulating and reporting results.

For compliance requirements being supported IT applications, assessment can be automated by configuring tests that analyze application data for completeness, accuracy, validity, authorization and access rules (for example, segregation of duties for SOx compliance).

MetricStream

DATASHEET

COMPLIANCE MANAGEMENT

MetricStream **Enterprise Compliance Platform** is a robust and scalable infrastructure that provides core services and capabilities leveraged by the Compliance Management solution including:

Powerful **workflow** technology for supporting complex business processes, information routing and record management.

Tools to facilitates application design, forms creation, workflow **configurations** by graphically modeling business processes.

Integration services through flexible adapters that seamlessly connect to external systems and sources to extract, transform and load data.

Built-in **reporting engine** for powerful reports and executive dashboards that provide data analytics and business intelligence in real-time.

Multi-level role-based **access controls** with flexible organizational hierarchy and models essential for companies with multiple locations, product lines and business units.

Offline Application Briefcase capability that allows users to perform their tasks at remote field sites without access to the corporate network.

Comprehensive regulation-specific functionality based on industry **best practices** ready to be used out-of-the box.

Simple and usable **web-interface** with an intuitive navigation and innovative features that minimize data entry errors and improve user productivity.

Event-based **notifications**, alerts and escalations with flexible rules that can be configured using a combination of thresholds such as negative trends, due dates, time limits, etc.

The centralized repository of all assessments, with an easy search capability, ensures that the internal audit groups can support a request by external auditors to provide documentation and evidence to validate that a specific compliance requirement is being met and controls are in place to ensure ongoing compliance.

ISSUE MANAGEMENT AND REMEDIATION

For issue and exceptions that pose a risk of non-compliance, the Compliance Management system provides seamless integration with Issue Management and Remediation Management modules. Once issues are identified and documented, a systematic mechanism of investigation and remediation is triggered by the underlying workflow and collaboration engine.

The solution supports triggering automatic alerts and notifications to appropriate personnel for task assignments for investigation and remedial action. The exception cases remains open till the action plan is carried out and results verified for effectiveness. Managers can track the status of issues as they automatically move from one stage to the next based on organizations compliance management procedures.

MONITORING COMPLIANCE

Executive dashboards provide enterprise wide visibility into the compliance process and highlight issues that need to be addressed. The solution has the ability to track compliance status, process ownership, assessment plans, etc. on graphical charts that can be accessed globally and display real-time information. Ability to drill-down provides an easy way to access the data at finer levels of detail.

In addition to pre-configured standard compliance reports, the system provides tremendous flexibility by enabling stakeholders to configure ad-hoc or scheduled reports to view metrics by a variety of parameters such as by process, by business units, by status, etc. Quarterly and monthly trending analysis along with the ability to drill-down into each report and dashboard to see the underlying details enables compliance managers and process owners to stay in constant touch with the ground reality and progress on compliance programs. Automated alerts for events such as exceptions and failures eliminate any surprises and make the process predictable.

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