

# DoubleCheck Compliance Management

Efficiently Measure, Manage and Report on Compliance with Regulations, Laws, Policies and Standards



## Highlights

- ✓ Document your control framework
- ✓ Associate controls with accounts, processes, risk, policies, laws or audits relevant to your business
- ✓ Perform 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

## Overview

DoubleCheck Compliance Management provides a secure, centralized environment for automating the management of your compliance program. With DoubleCheck's flexible web-based solution, you will be able to document your processes and associated controls. You can execute 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 for management, reporting or analysis purposes. Such information includes policies, risks, internal or external authority documents or regulations, financial accounts and more. Results can be reported through real time dashboards, reports and email based notifications.

## 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 satisfaction and minimizing the cost 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 the result once and use it to inform multiple regulations, compliance requirements – no duplicative work!
- Ability to roll up and analyze results in multiple dimensions (i.e. 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 management program evolves, including:
  - Policy management
  - Document management
  - Issue creation and resolution management
  - Associated data management (i.e. information about items, such as control, owners - these can be names, text, numbers, scores, cash values, dates and more)
  - Testing module
  - Multiple assessment options, including survey style and spread sheet 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



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Solution Area	Project Description
Document Your Control Framework	<ul style="list-style-type: none"> <li>• Include control procedures, owners, review dates, test plans and other data</li> <li>• Maintain a library of controls, so that if a control changes, all instances of the control are updated</li> <li>• Associate controls with processes, risks, accounts and policies in hierarchal or cross-linked structures</li> <li>• Enable quick setup of new organizations based on library templates</li> </ul>
Develop an In-Scope Universe for Review, Assessment or Testing	<ul style="list-style-type: none"> <li>• Apply your scoring methodology to determine “in-scope” for review. In-scope is commonly based on a combination of risk score, time since last review or regulatory requirements</li> <li>• Scoring may be done at any level of organization, process, risk and then rolled-down to the controls, providing you an efficient prioritization process</li> </ul>
Manage Reviews, Assessments and/or Testing	<ul style="list-style-type: none"> <li>• Use the automated workflow management to deploy continuous assessment, testing, review and certifications at the process, risk or control level</li> <li>• Determine the effectiveness of design and performance</li> <li>• Collect evidence, including documents, spreadsheets, scans, and PDFs</li> <li>• Provide participants a “to-do” list of tasks to guide them through their required actions</li> <li>• Formalize preparation for testing, including gathering of control evidence prior to actual test execution</li> <li>• Configure your approval process as required with as many levels as desired</li> </ul>
Identify Issues and Manage Remediation	<ul style="list-style-type: none"> <li>• Manually or automatically create findings or issues based on assessment or test results</li> <li>• Understand how issues impact risks or processes</li> <li>• Automatically notify process, risk or control owner of relevant issues</li> <li>• Consolidate related findings into a singular issue</li> <li>• Automatically assign issues to owners based on their role or manually assign responsibility</li> <li>• Use the system to assure issues are responded to and responses are reviewed and accepted</li> </ul>
Report on Compliance Activities	<ul style="list-style-type: none"> <li>• Use real time dashboards and reports to get a consolidated view of your compliance program status and results</li> <li>• Get a view of current and historic performance</li> <li>• Roll up results or get automatic updates of key information, such as issues pending remediation or responses past due</li> <li>• Email information in multiple formats, including interactive PDFs, excel files and board-ready reports</li> </ul>



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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)