



BPS Compliance is an automated tool to **manage** all compliance activities while leveraging industry best practices. **Flexible** planning tools along with **powerful** execution support and **reporting** enable users to overcome the challenges of rolling out and **maintaining** an appropriate and effective compliance framework.

BPS Compliance is available on its own, or as part of the BPS Suite, the industry's foremost enterprise suite of applications for compliance, risk management and audit.

Planning

Configurable and customizable repository of compliance planning tools supporting an enterprise-wide approach to compliance activity.

All compliance activity begins with a blueprint. Blueprints are templates that can be used for different compliance activities, such as SOX 404 assessments, NASD 3013 questionnaires, Risk Self Assessments, and many more. Blueprints consist of the constituent parts of a compliance activity: its name, description, owner, classification within the organization, risks and controls, test questions, and other contextualizing parts. Combined, they represent a risk planner's factory and offer rapid enterprise risk modeling; by building blueprints once and scheduling them over many quarters (or other units of time), organizations will gain much efficiency.

BPS Compliance also provides templates for certifications and attestations. As many of these require different legal language, BPS supports a repository to store and manage legal language collections, along with workflows designed to ensure that only approved languages are in use. Similar to blueprints, certification templates can be classified according to organizational structure and other contextualizing parts.



Key Benefits

- Increase understanding of operating risk by linking compliance activity results back to a common library of risks and controls.
- Facilitate continuous improvement by integrating compliance activity with other systems.
- Realize cost and resource savings by identifying overlap of regulatory compliance activity.
- Quickly respond to changing regulatory requirements through a highly adaptable framework.
- Gain up-to-the minute insight into enterprise risk with real-time reporting engine.
- Aligned with COSO and CobiT frameworks and PCAOB recommendations.

Key Features

- Easily model and launch all manner of compliance activity, from a single quarter's worth of assessments to an organization-wide process modeling exercise.
- Quickly launch assessments and execute assessments on individual risks, controls, or any combination of the two.
- Track failure in compliance through issues and action tracking functionality.
- Access constituent compliance artifacts such as risks, controls, assessments and certifications; all customizable and configurable.
- Facilitate compliance planning with blueprints and certification templates which can be reused, reconfigured or distributed as needed.
- Multi-dimensional classification of compliance activities across multi-organization hierarchies
- Integration with BPS OpRisk and BPS Audit products to offer a complete platform for integrated risk management.
- Fully integrated Document Management System makes it easier to provide supporting evidence to compliance attestations at various levels.
- Rich internet application technology provides an intuitive user experience and is easily customized to an organization's unique needs.

BPS Compliance



Execution

Quick and easy tools to launch a quarter's assessments in a reusable way.

The screenshot displays the 'Assessments/Certifications' module. On the left is a 'Hierarchy Navigation' pane with a tree view of organizational units. The main area shows an 'OrgHierarchy' table with columns for Profile, Status, Name, Node, Start Date, End Date, Complete, and Issues. The table lists various departments and their associated assessment periods.

Profile	Status	Name	Node	Start Date	End Date	Complete	Issues
AsiaPac Distributed			Finance	3/20/07	3/23/07		1
BUCS			NY and NJ	3/20/07	3/23/07	3/20/07	
Mainframe			Bridge and Mezzanine Financing	3/20/07	3/23/07	3/20/07	
CRIS, ICE, ICYS & Glacier			Controllers	3/20/07	3/23/07		3
Legal Settlements			Services	3/20/07	3/23/07		
Cash Management			Cash Management	3/20/07	3/23/07		
IT Certification			Finance	3/20/07	3/23/07	3/20/07	
Business Certification			Services	3/20/07	3/23/07		

Blueprints and Certification Templates can be launched again and again into different assessment periods. As compliance understanding increases, improvements are made to blueprints and certification templates that can be immediately realized in existing as well as future assessments.

Upon execution, resources identified to assess or certify the process, risk or control receive alerts through email advising them of their tasks. From a single detail page with all supporting data, these business users complete their activities.

BPS Compliance goes one step further providing the ability to associate evidence templates to blueprints, supporting a streamlined approach to compliance. Combined with historical views of past assessment results, organizations can quickly realize the benefits of an easy-to-use and reusable compliance process.

Issue and Action Tracking

Collect and manage issues and action plans as part of a comprehensive approach to integrated risk management.

Issues are used to capture all types of organizational concerns from compliance failures to general operating risk concerns. Pre-defined or custom-defined hierarchies combined with other types of classifications can be applied to issues, which makes it easy to identify common concerns and reduces duplicate effort. This integrated approach to issue collection and management provides an organization with insight into compliance gaps and systemic root causes of compliance failures.

Issue management combined with action tracking provides organizations with all the tools needed to quickly and easily address any concerns that arise. Pre-defined workflows for issue management and action tracking ownership are easily customized to meet any organization's needs.

Reporting & Analytics

Up-to-the-minute tools to enhance understanding of organization-wide operating risk activities

Through continuous collection and analysis of data from multiple sources both internal and external to the organization, **BPS Compliance** provides users with quick and intuitive access to the key information they need to conduct their duties. Whereas most systems focus on the collection of data, they often fall short when it comes to making practical use of it to support organizational compliance and overall risk management activity. This results in extended timelines and delays, additional compliance costs, and ultimately greater risk exposure.

BPS Compliance goes beyond state-of-the-art to provide a proprietary reporting and analytics solution that delivers enhanced usability via ad-hoc reporting, dynamic drill-down, intelligent multi-dimensional analytics as well as unique visualization capabilities. This provides a single, integrated and useful source for accessing key intelligence and optimizing an organization's integrated risk management.