



## Global Financial Industry Solution

Public corporations have learned that effective compliance risk management requires a combination of board and management oversight with a programmatic approach. An integrated program linking governance, risk, and compliance activities across multiple lines of business has been difficult to achieve.

In discussions with our customers, the most frequent questions asked are the following:

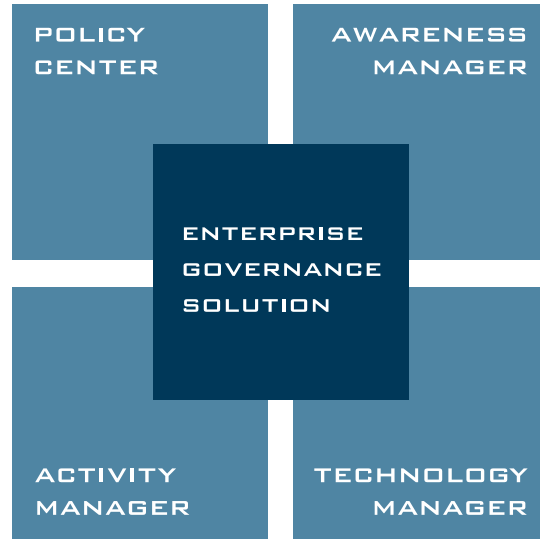
- How do we know if we are meeting compliance requirements?
- Is our compliance and risk management program effective?
- How do we identify and measure critical risks to the organization?

### Today's Challenge

The challenge is two-fold: First, develop operational processes to ensure conformance with numerous laws, rules and regulations, and company best practices, and secondly, provide the capability to achieve compliance to those processes across all lines of business.

### Polivec Solution

The four areas critical for effective compliance programs are: policy creation and management, employee awareness and attestation, technical monitoring and activity monitoring. Polivec's innovative product platform, called the Enterprise Governance Solution (EGS), integrates functions using a modular architecture allowing customers to implement standalone solutions for priority problems or as an integrated suite.



**Policy Center**– EGS Policy Center manages the lifecycle of regulatory documents and policies (create, review, update) in a single repository. Bidirectional mapping links regulations to policies and policies back to regulations allowing policy developers a means to identify gaps as well as know the origin of specific policy statements.

**Awareness Manager** – EGS gives policy owners and compliance staff an efficient solution to access, distribute, capture acceptance and measure employee understanding.

**Technology Manager** – EGS Technology Manager manages adherence to policy in areas of security settings on computers/network devices, database transactions and events generated by devices or applications.

**Activity Manager** – EGS Activity Manager creates schedules and tracks critical tasks to ensure compliance. This can include frequent and infrequent tasks and associates artifacts with results to manage conformance.





### Polivec Enterprise Governance Platform

Policy Mgmt | Tasks | Incidents | Reporting | Administration

Current User: [Name] | Logout

#### Document List

Click on the document name to view details about the document and to perform additional document specific tasks.

Current Filter: DocumentID Public

Document List

Document	Review	Stage	Category
Security Controls Standards	1.0	Draft	
SQL User Password Policy	1.0	Draft	
Hardware Configuration Policy	1.0	Draft	
Network Usage Policy	1.0	Draft	
PCI Security Audit Procedures	1.0	Draft	

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#### Incidents

Schedule

##### Open Incidents by Priority

##### Policies by Stage

##### Incidents by Week

#### Filters

Enter: [Text]

Priority: [Dropdown]

Created By: [Text]

Assigned To: [Text]

Created From: [Date Range]

SO: [Text]

Apply Filter

Number	Summary	Status	Created	Priority	Type	Assigned To
100001	SQL	Closed	1/10/2007	Low	Manual	South, Dan
100002	Travel Task @ 10:45 AM Incident	Open	1/10/2007	Low	Manual	South, Dan
100003	Physical Security Check of Server Room	Open	1/10/2007	Medium	Schedule	Ferguson, Dan
100004	Flash on File	Open	1/10/2007	Low	Manual	Heider, Ken
100005	Weekly Review of Defects	Open	1/10/2007	High	Schedule	South, Dan
100006	Weekly Review of Defects	Open	1/10/2007	Medium	Schedule	South, Dan
100007	Physical Security Check of Server Room	Open	1/10/2007	Medium	Schedule	Ferguson, Dan
100008	Weekly Review of Defects	Open	1/10/2007	High	Schedule	South, Dan
100009	Physical Security Check of Server Room	Open	1/10/2007	Medium	Schedule	Ferguson, Dan
100010	Weekly Review of Defects	Open	1/10/2007	High	Schedule	South, Dan
100011	Weekly Review of Defects	Open	1/10/2007	High	Schedule	South, Dan

11 tasks found, displaying all tasks.

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Current User: [Name] | Logout

#### Incidents by Priority

#### Misc Information

Open Incidents: 11

Incidents Opened Today: 0

Incidents Closed Today: 0

#### Policies by Stage

#### Incidents by Week

#### Open Incidents by Category

#### Overall Policy Awareness

Accepted: 100%

#### Incidents by Source

#### Open Tasks by Priority

#### Outstanding Awareness Policies

