

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 – 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 – provides policy owners and compliance staff an efficient solution to access, distribute, capture acceptance and measure employee understanding.

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

Activity Manager – allows the creation of scheduled tasks and tracks critical incidents to ensure compliance. This can include frequent and infrequent tasks and associated artifacts with results to manage conformance.

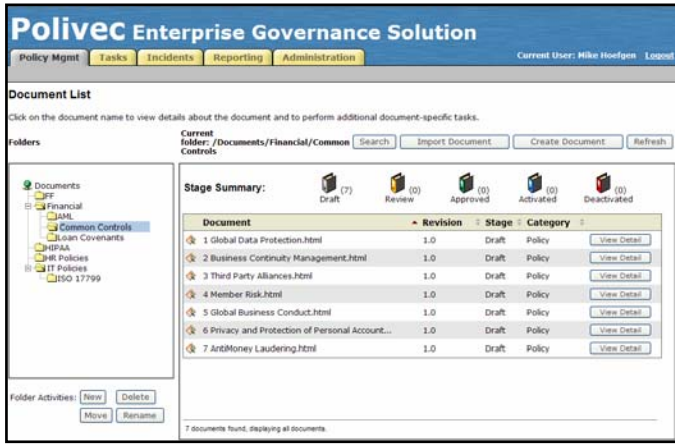


Figure 1. Policy Center
Store Policies in a common repository and manages the Policy approval lifecycle with collaborative, flexible workflow.

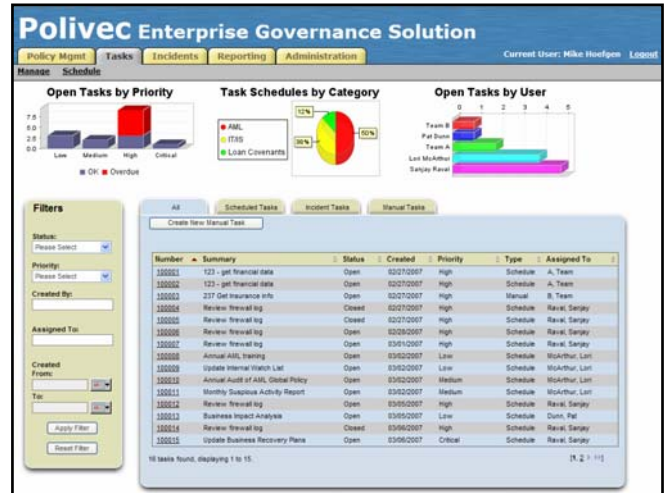


Figure 2. Task Management
Create one-time or scheduled, recurring Tasks to track and record human processes.

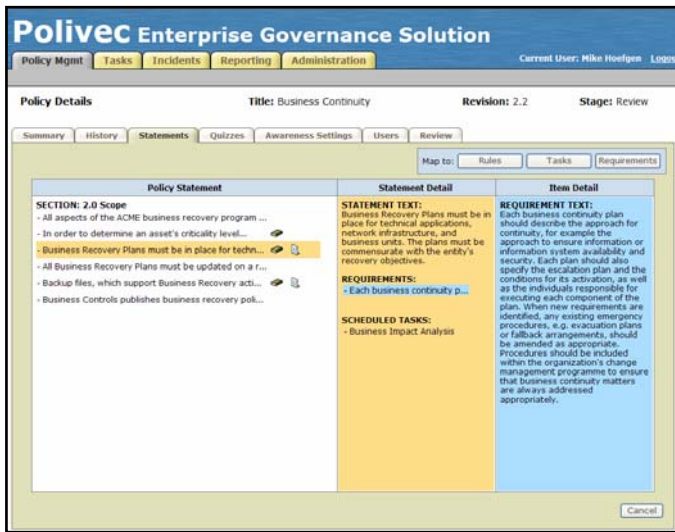


Figure 3. Policy Center
Organize and manage the Regulations and Requirements that drive your Policy environment in the online repository. Map key policy statements to appropriate regulations and scheduled tasks.



Figure 4. Compliance dashboard
Integrated, configurable Dashboards and flexible Reporting options allow for easy insight into the relationships between activities in your environment and their effect on Policy and Regulatory compliance.