

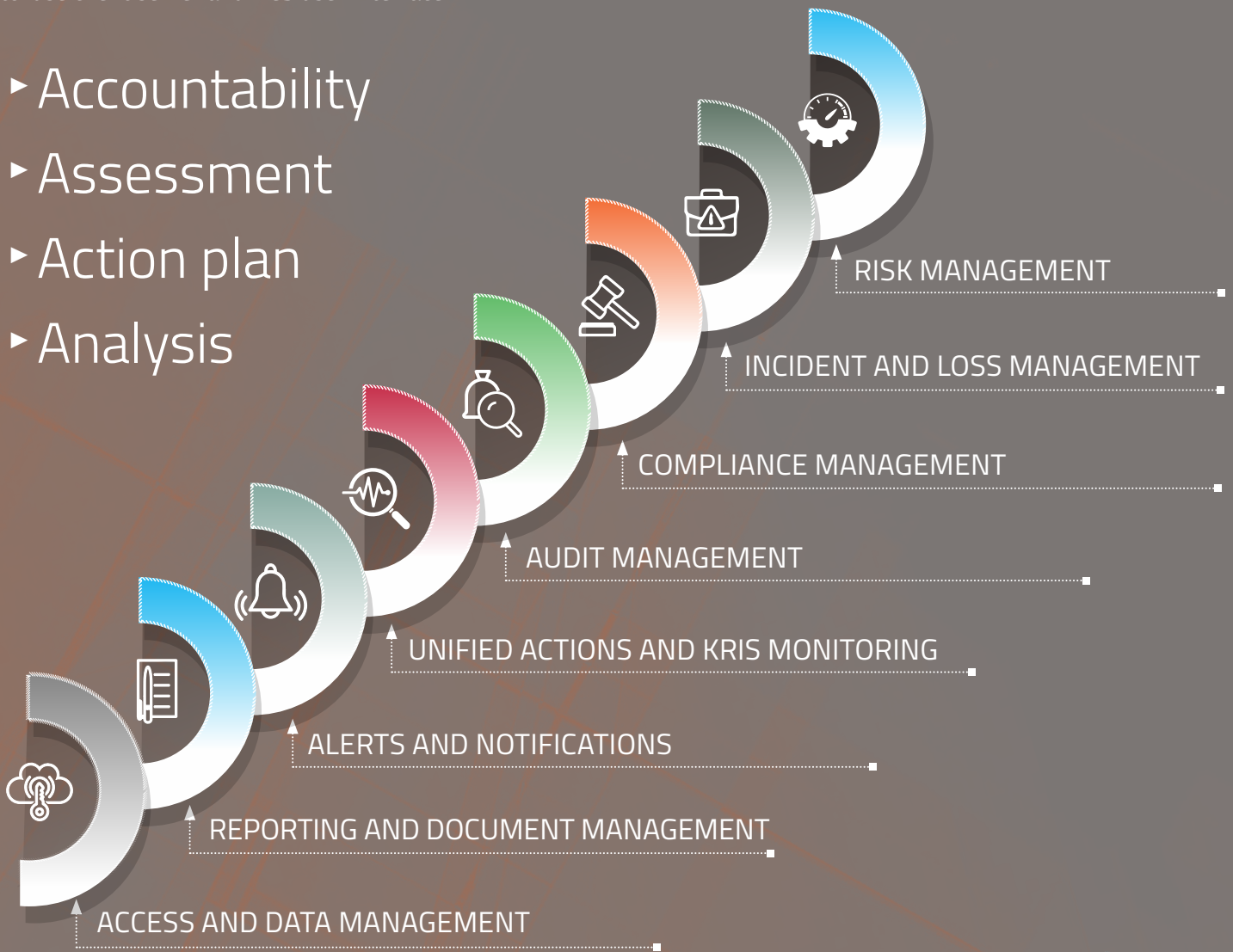


Governance, Risk and Compliance Management

Mastering your Risk Environment

iSPIRAL's RCMS Solution provides everything you need to free yourself - and your organisation from worry. A complete management solution, it creates an effortlessly functional and auditable environment: integrating risk and compliance with effective management, and significantly reducing the time and costs required to manage both risk and compliance activities. Our RCMS Solution Suite comprises five core (1-5) and three supporting (6-8) modules, as well as an easy-to-use client server and web user interface.

- ▶ Accountability
- ▶ Assessment
- ▶ Action plan
- ▶ Analysis



▶ **BENEFITS**

- ▶ Integrated Approach
- ▶ Common Universe View
- ▶ Common Assurance Framework
- ▶ Dual User Interface
- ▶ Efficient, Continuous and Controlled process
- ▶ Unified actions Management



WHO WE ARE

iSPIRAL is a leading provider of Regulatory Technology, staffed by an expert team of AML Compliance and Technology professionals. We're here to ensure our clients are able to comply effortlessly with all local and global compliance regulations, and to assist in the fight against illegal activities including organised crime, terrorism, human and drug trafficking.



RCMS SYSTEM MODULES

Risk Management

- Custom methodologies for different types of risk assessment
- Strategic and detailed risk assessment; business impact analysis
- Threats, vulnerabilities and controls evaluation; self-assessment capability
- Risk surveying, rating and monitoring; key risk indicators' definition and monitoring
- Risk response action plans; responsibilities

Incident & Loss Management

- Incident registration and management
- Enterprise portal user interface for incident registration; detailed data registration
- Incident analysis and monitoring; loss definition per incident; allocation of loss
- Definition of required actions; delegation of accountability; reference to related risks

Compliance Management

- Compliance obligation definition; compliance requirements register and analysis
- Definition of required actions; delegation of responsibility and accountability
- Reference to related risks

Audit Management

- Audit planning and scheduling
- Resource planning and scheduling; timesheet management
- Standard and custom audit programs and checklists
- Tracking of recommendations, defined actions and non-conformances
- Data and work-paper document archive; reference to related risks

Unified Actions & KRIs Monitoring

- Grouping and categorisation of actions from all modules
- Monitoring of action status and progress; updating of action activities and progress
- Delegation of responsibility and accountability
- Tracking of actions' updates and non-conformances

Alerts & Notifications

- Range of pre-configured alerts
- Alerting via email or text message
- User dashboard with pending items for action; ad hoc alert generation

Reporting & Document Management

- Standard reports; ad hoc reports
- Attaching, accessing, sharing and searching documents
- Reporting tools for privileged users

Access & Data Management

- Parameterised universe and methodology definition
- Comprehensive role, user and data access model
- Template libraries; active directory integration