GoCompliant

**The modular Governance
Risk & Compliance Solution**

GoCompliant
Offering

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Mission and Principles

GoCompliant combines all elements of a cohesive Governance, Risk and Compliance (GRC) framework such as risk inventories, controls, assessments, risk events, mitigation measures and more. It helps to raise risk awareness throughout the company and to focus on the essential parts within GRC.

Modular solution
(pay what you use)

Easy to implement with optional configuration parameters

Industry-agnostic

Direct end user involvement

Comprehensive Dashboards

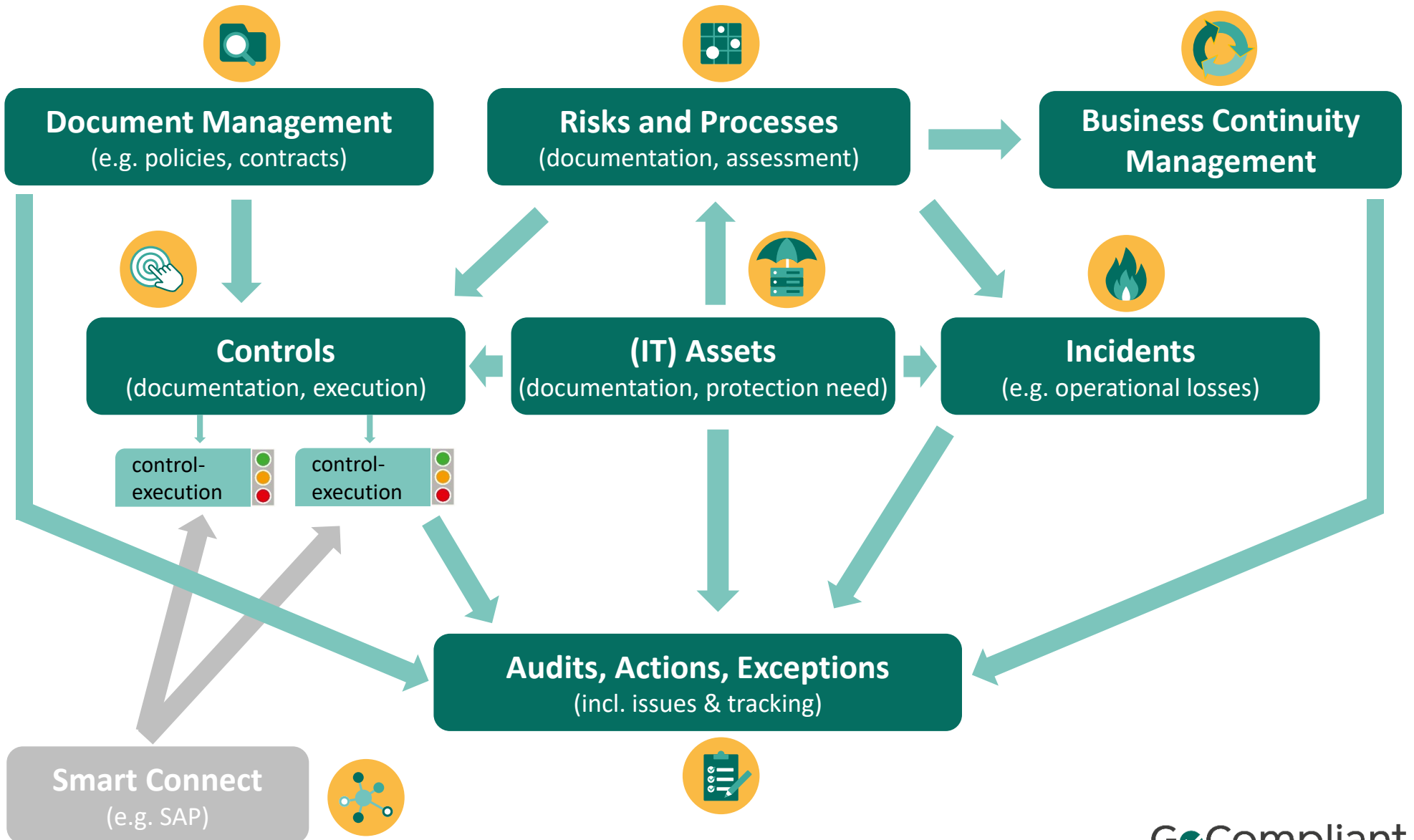Integrated Reporting functionality

Technical Interfaces
(e.g. SAP)

On-premises
or Cloud (SaaS)

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Modules

Document Management
(e.g. policies, contracts)

Risks and Processes
(documentation, assessment)

Business Continuity Management

Controls
(documentation, execution)

(IT) Assets
(documentation, protection need)

Incidents
(e.g. operational losses)

control-execution

control-execution

Audits, Actions, Exceptions
(incl. issues & tracking)

Smart Connect
(e.g. SAP)

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Screenshots

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Logos, colours, texts etc. are configurable

Control Execution
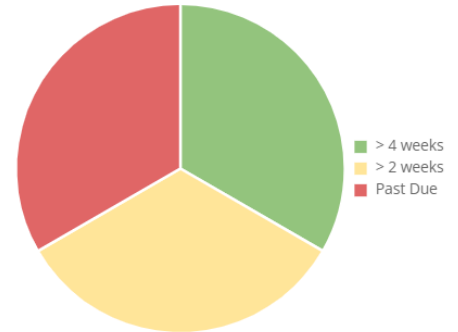
[OP-320] Currency rates import to internal system

Control Task   Previous Executions   Contacts And Details

Task Id 63102 (Performance Pending)

Description & Guidance ⌃

Control Description	Ensure that all currency rates are properly loaded in the internal system.
Control Guidance	Check full list of currencies and perform the following control steps:

- retrieve the values of the daily upload file stored in location x
- compare the values shown in the system on page y with values in list x
- In case of discrepancies:
  - Adjust the wrong values in table z in the system
  - Inform IT team and Risk Management

Control Task

Coverage Period	01.02.2024 - 29.02.2024	Signoff Period	28.03.2024 - 10.04.2024
Performance Period	14.03.2024 - 27.03.2024	Signoff Receiver	Karen Taylor, FINOP
Performance Receiver	Mara Meyer, Operations Dominik Hirsch, Operations	Org Unit	CEO

Performer rating *

Comment by Performer

Attachments	Title	Type	Location	Restricted Validity	Added	By

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Risk Assessment (configurable)

[01] Market Risks			0%	

> [01.01] Equity Risk	High (16) ↗	Medium (6) ↗	☐

∨ [01.02] Interest Rate Risk	Medium (12) →	Low (4) →	☐

Risk Is Applicable ● Yes ○ No

Comment

Inherent Estimation

Probability	Impact	Score
Possible ∨	Significant ∨	Medium (12) →

Measures / Evaluation Basis

Control Plans ②   Control Tasks ⑫   Actions ① ❶   Incidents ⓪   Documents ⓪

Allocation (OU)	Control Plan	Control		Periodicity	Receiver Groups	Status	
CEO	CP-00228	↗ ⓘ [MA-003] Trading Book Review	↗	Working day	Risk Management	↗ ⊘	
CEO	CP-00229	↗ ⓘ [MA-002] Market Risk Limits	↗	Monthly	Risk Management Middle Office	↗ ↗ Active	‖

Risk Strategy

∨

Residual Estimation

Probability	Impact	Score
Unlikely ∨	Minor ∨	Low (4) →

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Risk Heatmap

Information Security Management (ISMS)

Asset: Application X (IT-Service)

Asset   Context   Baseline Protection `Draft`   **Protection Requirement Analysis** `Draft`   Security Properties   Risk Analysis   Recovery

📁 Cover Sheet   [C] Confidentiality **H**   [A] Availability   [I] Integrity   [T] Traceability

Question	Answer	Comment
[C] Confidentiality		
What types of data are processed and how sensitive are they?	○ Public information ○ Business-related information ● Personal or person-related data ○ Particularly sensitive personal data	Personal data such as names, prenames, addresses and professions of employees is stored in the application
Is the information processed in this protected object classified? If so, how?	○ Without classification ○ Internal ● Confidential ○ Secret	The data is considered confidential in accordance with the policy "Classification of data"
How would unauthorized access to this data affect the company or the data subjects?	○ Minor impacts ● Moderate to severe impacts	
Protective Need Category	**High protective need**	

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Information Security Management (ISMS)

ISMS-Issues

+ New: Issue

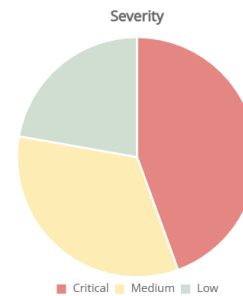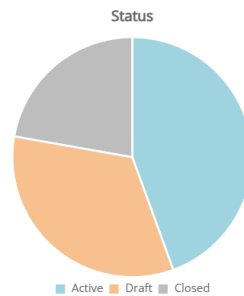| Reference ID ↑↓		Title ↑↓	Status ↑↓	Severity ↑↓	Handling ↑↓	Issue OU ↑⊟	Asset ↑↓
I12002	⧉	Employee Offboarding insufficient	⊘ Closed - Avoided	M	Avoid	CEO	Tool XY
I12003	⧉	Lack of monitoring by authorising external employees	🗋 Draft	C	Not Yet Determined	CEO	ISMS-Tool
I12004	⧉	Missing software upgrades for HR tool	☑ Accept (Approval needed)	L	Accept	HR	HR-Tool
I12005	⧉	Log4j security vulnerability					
I11801	⧉	Log4J-Security Issue					

ISMS-Overview

⤓ Quick Reportings

ISMS-Issues

Responsible Area	Status			Past Due	Severity			Handling			
	Draft	Active	Closed		Low	Medium	Critical	Not Yet Determined	Avoid	Reduce	Accept
All	3	4	2	3	2	3	4	2	3	2	2
CEO	2	-	2	-	-	2	2	2	2	-	-
HR	-	4	-	3	2	-	2	-	-	2	2
PB/IT	1	-	-	-	-	1	-	-	1	-	-

Status

Severity

Handling

▪ Active ▪ Draft ▪ Closed

▪ Critical ▪ Medium ▪ Low

▪ Avoid ▪ Not Yet Determined ▪ Reduce ▪ Accept

1) Showing Aggregated Values

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