

GoCompliant

A modular Governance,
Risk & Compliance Solution

GoCompliant Offering

«GoCompliant combines the various 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.»

GoCompliant Offering

A modular, comprehensive solution to link the elements of a GRC framework



Modular solution
(pay what you use)



Easy to implement (out-of-the-box), but with optional configuration parameters for specific demands



Applicable for
Financial Industry and
industrial companies



Direct end user
involvement



Comprehensive
Dashboards



Integrated Reporting
functionality








Technical Interfaces
(e.g. SAP)



Can be implemented
as on-premises
solution or as Software
as a Service (SaaS)

GoCompliant Offering

A modular, comprehensive solution to link the elements of a GRC framework

-  Controls
-  Issues & Actions
-  Operational Losses
-  DMS - Document Management System
-  Risk Assessment
-  Smart Connect



Screenshots

Modern Layout

Responsive Design on all Devices

My Pending Items 📄 Raise Action 📄 Quick Reportings

Control Tasks

Performances 1 5 Signoffs 0

Performances	Responsibility	OU	Due Date
[BC-003] Business Recovery Plan (BCP)	Jan Weiss	RM	18.06.2020
[MA-003] Trading Book Review	Jan Weiss	RM	26.06.2020
[MA-002] Market Risk Limits	Jan Weiss	RM	26.06.2020
[BC-001] Emergency Handbook Review	Jan Weiss	RM	29.07.2020
[CR-001] Completeness of Credit application an...	Jan Weiss	RM	01.08.2020

Due Dates

Legend: ■ > 4 weeks (green), ■ < 2 weeks (orange), ■ Past Due (red)

Actions

Pending 2 Raised By Me 1

Action	Type	OU	Due Date
Ensure 4-eyes-principle throughout Market Risk ...	Risk & Control S...	RM	30.06.2020
Implement new firewall solution	Risk & Control S...	RM	30.09.2020

Due Dates

Legend: ■ > 4 weeks (green), ■ < 2 weeks (orange)

09:24 85%

GoCompliant

Control Tasks

Performances 1 5 Signoffs 0

Performances	Resp...	OU	Due Date
[BC-003] Business...	Jan W...	RM	18.06.2020
[MA-003] Trading ...	Jan W...	RM	26.06.2020
[MA-002] Market ...	Jan W...	RM	26.06.2020
[BC-001] Emergen...	Jan W...	RM	29.07.2020
[CR-001] Complet...	Jan W...	RM	01.08.2020

Actions

Pending 2

Action	Due Date
Ensure 4-eyes-principle through...	30.06.2020
Implement new firewall solution	30.09.2020

Role specific menu

- 1 Menu Pending Items
- 2 Dashboards for Managers
- 3 Role specific Admin Menu

The screenshot shows the GoCompliant Risk Assessment: RCSA 2020 interface. The sidebar menu on the left is highlighted with three numbered circles: 1 for 'Pending Items', 2 for 'Dashboards', and 3 for 'Admin'. The main content area displays a risk assessment table for Market Risk, including a table of inherent estimations and a table of control plans.

Risk Assessment: RCSA 2020

[1] Market Risk Filter

Description: The risk of experiencing losses due to factors that affect the overall performance of the financial markets in which the company is involved.

ID	Risk	Score	Impact	Probability	Actions
[01-01]	Equity Market Risk	Medium (36)	Low (10)	Low (10)	🔍
[01-02]	Interest Rate Risk	Medium (36)	Low (10)	Low (10)	🔍
[01-03]	Commodity Risk	Low (25)	Low (25)	Low (25)	🔍
[01-04]	Foreign Exchange Risk	High (57)	High (57)	High (57)	🔍

Description: Risk is Applicable Yes No

Comment:

Inherent Estimation

Probability	Impact	Score
4 Likely	3 Moderate	High (57)

Measures / Evaluation Basis

Area	Control Plan	Control	Periodicity	Receiver Groups	Status
ALL	A5-0029	Market Risk Limits	Working day	Risk Management	Active
ALL	A5-0028	Trading Book Review	Working day	Risk Management	Active
ALL	A5-0023	Fx rates import to core system	Working day	Middle Office	Active

Residual Estimation

Probability	Impact	Score
3 Possible	3 Moderate	Medium (60)

Administrator Screens

Example: Control Plans

The screenshot displays the 'Control Plans' section of the GoCompliant administrator interface. The page features a dark sidebar on the left with a user profile for 'Jan Weiss, RM' and a list of navigation items. The main content area has a green header with the title 'Control Plans' and a '+ New Control Plan' button. Below the header, there are filters for 'Template: (None Selected)' and 'Setup Status: Active Or On Hold'. A search bar and an 'Export...' button are also present. The central part of the screen is a table listing various control plans.

ID	Status	Area	Control Name Main Language	Periodicity	Receiver Groups	Distribution
AS-00233	Active	ALL	[SU-320] Fx rates import to cor...	Working day	Middle Office	29.06.2020
AS-00232	Active	ALL	[AA-001] Asset Allocation Kont...	Weekly	Risk Management	29.06.2020
AS-00230	Active	ALL	[MA-001] Independent Recon...	On Demand	Middle Office	
AS-00229	Active	ALL	[MA-002] Market Risk Limits	Working day	Risk Management	29.06.2020
AS-00228	Active	ALL	[MA-003] Trading Book Review	Working day	Risk Management	29.06.2020
AS-00227	Active	ALL	[LI-001] Liquidity Gap Analysis ...	Monthly	Risk Management	01.07.2020
AS-00226	Active	ALL	[LI-002] Liquidity Risk Limits	Monthly	Risk Management	01.07.2020
AS-00225	Active	ALL	[LI-003] Contingency Funding PL...	Annually	Risk Management	01.01.2021
AS-00224	Active	ALL	[IN-001] Interest Rate Gap Ana...	Monthly	Finance & Operations	01.07.2020
AS-00223	Active	ALL	[IN-002] Interest Rate Risk Lim...	Monthly	Finance & Operations	01.07.2020
AS-00221	Active	ALL	[BC-001] Emergency Handboo...	Annually	Risk Management	01.01.2021
AS-00220	Active	ALL	[BC-002] Business Impact Anal...	Annually	Risk Management	01.01.2021
AS-00219	Active	ALL	[BC-003] Business Recovery PL...	Annually	Risk Management	01.01.2021
AS-00218	Active	ALL	[PH-001] Physical Access Con...	Annually	IT Access Control	01.01.2021
AS-00217	Active	ALL	[IT-001] Separation of Duties	Annually	Risk Management	01.01.2021
AS-00216	Active	ALL	[IT-002] Remote Access	Annually	IT Access Control	01.01.2021
AS-00215	Active	ALL	[IT-003] Shared Accounts	Annually	IT Access Control	01.01.2021
AS-00214	Active	ALL	[IT-004] Service Accounts	Annually	IT Access Control	01.01.2021
AS-00213	Active	ALL	[IT-005] Access Control for Mo...	Semiannually	IT Access Control	01.10.2020
AS-00212	Active	ALL	[IT-006] Access Rights Review	Annually	IT Access Control	01.01.2021

Contact

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