

ComplianceManager Audit Management



“With intelligent project workflow & productivity savings – it’s the only system you should consider buying. I highly recommend it.”

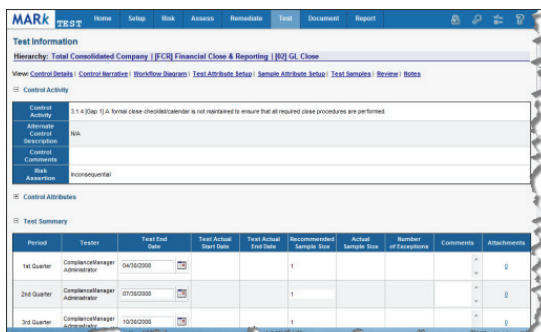
ComplianceManager’s guides you step-by-step through a proven compliance audit based certification framework. Internal control awareness and accountability, down to the process owner level, are guaranteed by leveraging the application’s “intelligent” workflow engine, which continuously routes, tracks, records, evaluates and prompts user action. Every feature for an entire end-to-end project is inside.

ComplianceManager helps you to:

- Plan & Scale an audit
- Identify Significant Accounts, Disclosures & Relevant Assertions
- Define materiality
- Select Controls to Test
- Test Operating Effectiveness
- Evaluate Identified Deficiencies
- Perform Risk Assessment
- Leverage on Work of Others
- Identify Entity Level Controls
- Test Design Effectiveness
- Maintain Test Evidence
- Manage Reporting & Certification

The intelligent engine forms the framework for your ongoing financial reporting compliance program, including SOX in US, Turbull Guidance in the UK, J-SOX, Bill 198 in Canada and all other similar financial governance regulations.

- ▣ **Risk-Based Planning** – Prioritize business units, processes & activities based on quantitative & qualitative risk weighting methodology
 - Control Self-Assessment** – Process owners self-assess and report control weaknesses to reinforce accountability & focus audit effort
 - Walkthrough & Testing** – Automated workflow with multiple approvals and clear audit trail including detailed test sample attributes



Period	Tester	Test End Date	Test Actual Start Date	Test Actual End Date	Recommended Sample Size	Actual Sample Size	Number of Exceptions	Comments	Attachments
1st Quarter	ComplianceManager Administrator	04/30/2008			1				0
2nd Quarter	ComplianceManager Administrator	07/31/2008			1				0
3rd Quarter	ComplianceManager Administrator	10/31/2008			1				0

Automated Flowchart & Narrative – Automatic generation of control flows and narratives based on control activities and changes

Audit Report & Management Letter – Standard & customizable query reports for audit and business unit management reporting

Remediation & Issues Management – Measure, track and report control deficiencies from global reporting to individual issues

The ComplianceManager Difference

3-Day Data Migration: *"In 3 business days - we are up and running around the global."* ComplianceManager uses patented technology to enable fast migration of existing data into our server while preserving your data's current format and context.

50% Audit Reduction: *"Regulatory audit time cut in half by implementing ComplianceManager."*

ComplianceManager provides a central repository for data and document retrieval, a clear readily auditable trail with date, time, action and person-stamped, and personalized user access rights to enable an efficient and controlled external audit process.

100% World Class Security: *"It's only one of the two applications we allow offsite hosting – the other vendor has to build an entire mirror hierarchy."*

ComplianceManager is hosted in a secured, SAS-70 certified environment with dedicated servers to your business. Electronic signatures capability based on robust authentication and authorization infrastructure ensures compliance with industry regulations.

\$0 IT Investment: *"...now THAT is a good ROI!"*

ComplianceManager provides an all-in Software-as-a-Service model – there is no addition cost for hosting, implementation, data migration, internal IT costs, and many hidden costs common to similar applications.

On Demand Modules: *"100% flexibility – a true on-demand model at my own pace for my evolving needs."*

ComplianceManager is built with complete flexibility to accommodate your organization needs – you can start with our SOX solution or an individual policy compliance program – each of our solutions can be fully integrated as your needs change.

1 Dedicated Project Manager: *"No more struggling with outsourced level-1 helpdesk.... My dedicated project manager is professional, knowledgeable and always available."* ComplianceManager assigns a dedicated project manager to each project – a professional compliance expert who understands your business and technical needs.

100's Management Reports: *"A myriad of standard management reports and a powerful query to create many more based on my needs."*

ComplianceManager comes standard with a list of commonly used management reports and a powerful query builder which enables you to create 100's more. Graphical dashboards and flexible reports with drill-down capability provide statistics by any data element such as control status, gaps, deficiencies, audit history, retention times at the corporate level all the way down to an individual or a task.

50% More Affordable: *"We've looked at all the so-called 'Quadrant 1' applications"*

ComplianceManager is at least 50% more affordable than the rest of market." ComplianceManager is an on-demand solution catered to corporations of all sizes and budgets. Whether you are a Fortune 500 or a pre-IPO small cap, we can deploy a solution that meets your needs.

Minimal Training Required: *"Our system administrator was trained in 20 minutes while most users do not require any training time at all... many of whom speak English as a second language!"* ComplianceManager has an intuitive, Microsoft®-like user interface which requires minimal to no training – so your team can be productive at the get-go.

1 Centralized Automated Update: *"We only need to update our documents once – no more version control headaches."* ComplianceManager's intelligent workflow automatically routes your updates based on pre-defined approval process, through the end-to-end cycle of assessment, remediation, testing, narrative, flowcharts and certification.

0 Downtime for Upgrades: *"We came back on Monday morning - and voila! – we got the latest version with the updates at no cost and no downtime."* All updates and upgrades are performed regularly – and seamlessly. There is no need for online or in-person installation and disruption to your operations – and at zero cost.