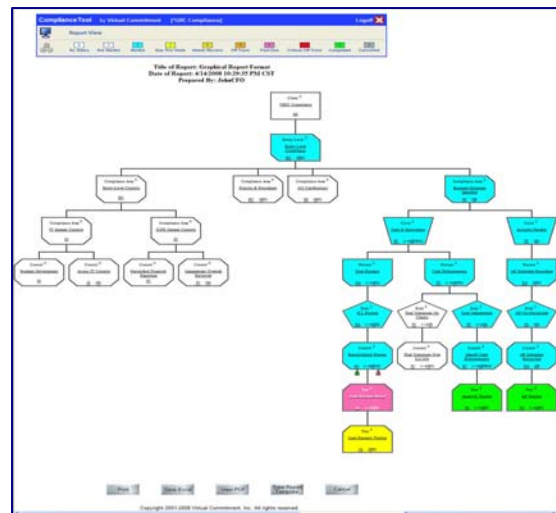


SaaS (Software as a Service) Compliance Technology Solution

Governance, Risk & Compliance (GRC) initiatives have evolved for companies beyond just Sarbanes-Oxley requiring management to take an enterprise-wide holistic approach to risk management (ERM – Enterprise Risk Management) and compliance within their organizations. Providing management with the visibility and monitoring capabilities into all areas of risk and compliance through a centralized portal allows for heightened awareness, timelier and better informed decisions, and greater assurance during the sign off process. Small or large, simple or complex, all organizations need to stay informed and manage their risks and compliance areas. Today's fast-paced and connected world demands that leaders and external advisors stay on top of all the risks and compliance issues impacting their organizations. Let the "right technology" enable your organization!

ComplianceTool™ is a secure SaaS (Software as a Service) compliance technology solution enabling companies of all sizes to cost effectively meet all of their compliance needs with a single technology solution. Utilizing a top-down risk-based approach, the technology takes you through a stepped approach through all phases of compliance beginning with the risk identification phase through the exception remediation phase and all phase in between, such as: documentation repository; best practices initial setup configurations; content provided mapped workflow benchmarking; self-assessment questionnaires; issue management tracking; testing; reporting including executive dashboard reports; color-coded status displays with email prompts; and ongoing compliance monitoring. Take a look at our software demo and you'll see how your organization can quickly become compliant cost effectively.



Key Highlights

Facilitates compliance in all areas of corporate governance & risk management

Easy to use & quick start implementations

Software totally configurable by Client which includes the reports area

Provides for direct data uploads from existing Excel Control Matrix files

Competitive price advantage with a low monthly subscription fee

Control Objective	Description	Control Objective Effectiveness
Control of Image Developer (SOX - Clear Mail)	(SOX - Clear Mail)	
Remediation Steps	C-CEI Remedial A/R activities for general ledger control account and suspense and Register of Differences	Not to be Initiated
IT Subsystem Controls	IT-CEI Remediation of Subsystem control tasks to GL control tasks at end of period with discrepancies (if any) identified and disposed of.	Not to be Initiated
Identify Cash Disbursements	C-CEI Identify all cash disbursements and dates of disbursement using an ERP system or through other methods.	Initiated
Data Separation (over 110,000)	C-CEI Computer policy defines data separation process regarding checks over predetermined limit and requires two signature authorizations.	Initiated
Program Development	IT-ACE1 Application development procedures consider control features for the new or modified applications.	Initiated
Access to Controls	IT-ACE3 Access is restricted to applications as this necessary for IT personnel to perform their duties.	No Value
Period End Financial Review	FR-CE1 Financial statements and related disclosures are prepared and reviewed by competent personnel.	No Value
Management Controls Reviewed	FR-CE2 Top-level financial entries reviewed and approved by members of senior management and/or the board and verified with preparation of the same.	No Value

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