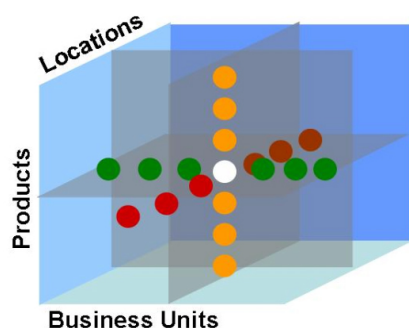


## Governance & Compliance Management

EVeDENCE™ Governance & Compliance management enables business executives, risk and compliance managers in Financial Services organisations to obtain multi-dimensional views of enterprise gap analysis to manage their compliance and regulatory challenges.

EVeDENCE is a web-based capture and analysis assessment portal which provides enterprise-wide diagnostics and visibility of configurable governance and compliance requirements, collaboration, document management, issue, risk, dependency and action management, exception management, personalised dashboards and alerts to serve the needs of stakeholders and regulators.



EVeDENCE rapidly brings together diverse requirements and regulatory mandates into themes. It has pan-enterprise capability to assess and evidence compliance trends in the lines of business and regions.

EVeDENCE dynamically updates and derives ratings and overall gap analysis assessments and priorities at elected multi-dimensional combinations throughout the enterprise.

EVeDENCE manages details using a thematic approach and provides secure portal access to stakeholders.

EVeDENCE strengthens regulator, stakeholder and team relationships with role-based exception reporting and validation.

EVeDENCE supports business alignment with the target approach, strategy and policies.

### Personal Dashboards

Enhance situation awareness, visibility and reach with:

- Personalised real-time visibility for each stakeholder's view of gap analysis and compliance across the business and need-to-know knowledge relevant to their role
- Information and status indicators

- Alerts for data capture tasks, review tasks and management tasks
- Dashboard indicators and email based alerts
- Security management ensures only authorised people can view outputs, enabling visibility and on-demand reporting to external third parties such as auditors and regulators.

### 3D Vision EVeDENCE

- Configurable multi-dimensional framework (eg 3D cube of Business Units, Locations, Products)
- Data capture and population based on qualitative and quantitative probes
- Support for distributed data capture contributors
- On demand configurable management information to senior executives (the consumers)
- Processing and display of results at each intersection
- Generation of real-time EVeDENCE views
- Traffic Light result colour coding, calculated from underlying data and configurable algorithms
- The EVeDENCE Heat Map assesses risks based on compliance data collected through on-line automated surveys and diverse corporate data
- A Heat Map of Assessment Ratings for every intersection on the grid can be viewed
- Allows drill down to collaboration stores, issues management and tasking functionality at each cell in the Heat Map.

### Governance & Compliance Reports

- Standard and customisable templates for Governance & Compliance Report generation
- Hyperlinked online reports with drill down to response data capture
- Hardcopy PDF reports and exports to Microsoft Excel.

### Priority Reports

- Displays a prioritised list of every requirement and business combination for one or more assessments (e.g. Data Quality, Customer Satisfaction, Security, Credit Compliance)
- Provides Status of Assessment Completions.

### Assessment Rating Reports

- Rating Report for each Assessment displaying a ranked list of business areas across the enterprise
- Displays overall rating and ratings of major and minor categories
- Detail drill down into actual data inputs.

## Requirements Repository Manager

- Transform the Compliance Requirements into a manageable online system to generate assessment forms
- Facilitates ongoing risk management of business – not just a single initiative to meet regulations (e.g. Basel II)
- Create and manage one or multiple Assessments
- Structure an unlimited hierarchy of questions linking to requirements, categories, groups for each Assessment
- Configure results rules and result aggregations rules, e.g. use and display average value, highest value, lowest value
- Create standard roll-over text on ratings
- Create a framework which may include same questions on same area by one or multiple respondents
- Assign accountabilities to the whole Assessment or detail requirement
- Collaborate on requirements for drafting, knowledge sharing and task management
- Enables requirements to be tracked and managed as themes for increased visibility
- Ability to model and compare requirements and compliance status for different regulators.

## Business Rule Configurator

- Configure business rules for reviewing and aggregating assessment results and alerts based on results, risks, issues and actions
- Traffic light reporting controls and configurable status indicators
- Variably weight questions, requirements, categories and overall assessment.

## Risk, Issue & Dependency Management

- Raise, classify and report on risks, issues, assumptions and dependencies
- Manage and resolve issues in context as they occur and change
- Translates your Risk and Issue methodology
- Facilitate a vision of the 'big picture'
- Highlights 'hot spots', where clear accountability actions need to be raised and tracked.

## Document Repository

- Document repository and search with full text search on stored and cached content
- Document filtering and alerts.

## Empowered Collaboration

- Anyone in the organisation can use, easily understand, review and communicate information in the workspaces
- Integrate comments, threads, actions, documents into workspaces
- Accountability and role based management
- Flexible security management
- Quick access to personalised view of all relevant actions, issues, collaboration and documents across the system
- Build and share lessons learned
- Audit trail on system changes and interactions
- Proactively informs "need to know" users of key information.

## System Integration

- Supports integration with relevant internal systems, such as data and analysis from internal risk and middle office systems

## Product Suite Integration

Integrate EVeDENCE™ with ViSeBILITY™ for Program Management from Empowered Systems, to transform gap analysis into a remediation and improvement roadmap for planning, tracking and management.

### Empowered Systems Limited

Empowering the enterprise Control Environment.



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