

Simply Office 365 Compliance Officer Room



Manage core compliance control room functions, such as monitoring and testing, regulatory reporting, and error and breach management.

Compliance control and oversight

The Compliance Hub's **Compliance Officer Room** enables you to manage all of your critical compliance control room activities using a purpose built activity list and calendar.

All activities include reminder emails and the ability to schedule activities on a recurring basis. The Compliance Officer Room will simplify the management of your compliance processes, release your staff from manual record keeping activities, and protect your company by enforcing rigorous controls and enhancing management oversight.

Features



Monitoring Programme

Schedule your compliance monitoring programme, record the findings and any remediation action required. Attach evidence of the monitoring and where required, schedule follow up Case Management activities to address any errors or breaches.



Reporting Schedule

Schedule the company's regulatory filing calendar, including any mandatory internal board reports, such as the Annual AML Report.



Case Management

Track and manage any case that requires compliance intervention such as Trading Errors, Fraud / AML alerts, or Client Complaint.



Complaint Management

Utilising the Case Management service, this extends the service to enable the case to be correctly classified for regulatory reporting purposes.



Document Library

A version controlled library for securely storing any control room documents such as regulatory reports that have been filed, risk logs, or documents evidencing a case. Compliance can also use the library for storing internal compliance documents, including source policies and procedures, and regulatory change documents.



Risk & Conflict Registers

Define and record your compliance risks and your conflicts register. Associate risks to your monitoring programme and any recorded errors and breaches, providing a complete picture that can be demonstrated and evidenced.



External Access

If you work with external Compliance Consultants then the Compliance Officer Room can be configured to allow them controlled access to your information, helping them to provide improved monitoring services and providing you with a single golden source of information.



The **Compliance Hub** brings everything you need to manage your compliance into one place. All of your registers, calendars and activities, with connected compliance intranet services available for all your staff.