CCL
co-comply

Incident Manager

Our Incident Manager module is part of our core™ compliance suite, providing enhanced levels of oversight and control, as well as delivering internal efficiencies and process improvements.

Effective incident case management is a complex activity combining process, task and document management. Regulators no longer want to see simple spreadsheet based logs, but a full audit trail from receipt to completion of the case, including evidence of the internal root cause analysis and, where applicable, the remediation activity performed to prevent future occurrences.

Our Incident Manager provides an out-of-the-box solution that includes:

- Pre-defined incident types with self-configuring forms and workflows.

- The ability to record operating losses and reportable breaches to drive internal reporting processes.

- Easily filter and view all incidents enabling your resources to focus on critical items or those that are overdue.

- View the full "case" from a single screen, including the ability to raise, assign and track associated tasks.

- Full integration to our Monitoring Manager ensuring monitoring issues are fully recorded and managed through to completion.

THE COMPLIANCE CHALLENGE

Effective error, breach and complaints management is not only an increasing regulatory imperative, it is an essential part of a compliance framework. Simply logging an incident in a spreadsheet without undertaking and being able to evidence thorough root cause analysis and remediation activity, leaves the firm vulnerable to increasing risk, future fines and an inability to defend itself against regulatory challenges of insufficient oversight.

Can you meet the compliance challenge?

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Incident Case Management: Features and Benefits

The out-of-the-box features included in the Incident Manager module include:

- Centrally track and manage all incidents across office locations, regions and time-zones.

- Replace spreadsheets and manual files with automated workflows and document management, releasing compliance resource from manual record keeping and filing.

- Record and monitor root cause analysis and remediation activities across the firm to complete the evidence trail.

- Electronic forms ensure data is captured in a consistent way improving management information and trend analysis.

- From trading errors to client complaints and monitoring issues, all can be centrally recorded and managed.

- Attach back-up evidence to incidents and their tasks, such as a letter of complaint and the firm's response.

- Reduce your regulatory risk and reputational damage by ensuring incidents are processed within the regulatory guidelines and client or investor expectations.

About CCL Co-Comply

CCL Co-Comply was formed to provide financial firms with integrated solutions to help them manage and implement the continual onslaught of regulations that they face.

For more information visit our website at: www.ccl-cocomply.com

or to arrange a demo email: enquiries@ccl-cocomply.com

REDUCE REGULATORY RISK:

Implement a clear and simple auditable workflow process for managing the firm's incident management process, evidencing root cause analysis and remediation activity. Real-time dashboards ensure you focus on critical and overdue incidents.

INCREASED EFFICIENCY:

In this competitive regulatory environment compliance recruitment costs are soaring. Ensure your compliance team is spending its time adding value advising the business when incidents occur, rather than record keeping or manually filing the evidence of activities undertaken.

DELEGATED REVIEWS:

Need to allocate tasks to business owners? The module is available from any location enabling anyone in the firm with appropriate access to review the incident and any supporting evidence, and to respond to any action that should be taken. The whole process can be undertaken without sensitive information being disseminated across the firm via email.

IMPROVED OVERSIGHT:

The easily accessible dashboards enable management to quickly and easily view the number of outstanding incidents and associated tasks, ensuring that those approaching regulatory deadlines are prioritised and dealt with quickly. Root cause analysis and remediation tasks can be easily created and assigned to responsible owners regardless of whether they are internal or external to the organisation, whilst compliance and senior management can centrally oversee the progress and analyse the outcomes.