

Policy Management

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

A recent FCA investigation into the controls around money laundering, terrorist financing and sanction risks, uncovered the fact that half of those surveyed had gaps in their Policies & Procedures.

Our Policy Management module provides a platform to store, change and publish all of your firm's policies regardless of location or regional variations, and, with rigorous version control, any changes can be easily tracked and evidenced to regulators or auditors.

"Policy Anarchy" is reduced as employees can easily access the centralised library, reducing the need to download copies to their local drives, and, as they only have visibility of approved and published policies, there is reduced risk that they accidentally read old and obsolete policies or access new versions that are yet to be approved.

Finally, the co-comply Attestation Service is fully integrated to the Policy Management module. Just updated your compliance manual? Easily create and

THE COMPLIANCE CHALLENGE

Governance starts with the firm's policies. But how many firms implement their policies as isolated documents sitting on a network drive containing a set of "dos" and "don'ts"?

Policies are central to a firm's governance approach and form the key control within a compliance framework. The challenge is to effectively manage the governance of your policies, including communicating change to your employees.

Can you meet the compliance challenge?

issue an electronic attestation to your employees, even just a targeted group, with a link to the new manual that the employee can click. We even record the version of the manual the link refers to completing the audit trail. As we never delete any documents, you can always access an historic attestation request for an employee to evidence you notified them of the new version, and they responded that they had read and complied with it – a fully integrated framework.

Published Policy Dashboard

Published Policy/Procedure									
<input checked="" type="checkbox"/> Active	Type	All	Region	All	Category	All			
Name↑	Type	Region	Category	Status	Version	Active	Actions		
Best Execution Equities.pdf	Published Policy	Europe	Investing and Trading	Checked In	3.0	<input checked="" type="checkbox"/>			
Code of Conduct.pdf	Published Policy	Europe	Corporate Governance	Checked In	1.0	<input checked="" type="checkbox"/>			
DEMO COMPANY COMPLIANCE MANUAL.pdf	Published Policy	Europe	Compliance Manual	Checked In	1.0	<input checked="" type="checkbox"/>			
Records Management.pdf	Published Policy	Europe	Corporate Governance	Checked In	1.0	<input checked="" type="checkbox"/>			
Remuneration Statement.pdf	Published Policy	Europe	Corporate Governance	Checked In	1.0	<input checked="" type="checkbox"/>			
Senior Manager Manual.pdf	Published Policy	Europe	Compliance Manual	Checked In	2.0	<input checked="" type="checkbox"/>			
Stewardship Code.pdf	Published Policy	Europe	Corporate Governance	Checked In	2.0	<input checked="" type="checkbox"/>			

Policy Management: Features and Benefits

The out-of-the-box features included in the Policy Management module include:

- Centrally record all of the firm's policies regardless of location or region.
- Version manage changes to policies and control the timing of their publication to the firm's employees.
- Embed a standard template for new policies encouraging good governance and consistency across the firm.
- Encourage employee participation by providing a single location where they can access published policies.
- Reduce regulatory risk caused by old and obsolete policies being in circulation.
- Use the integrated Monitoring Service to define a recurring calendar of policy reviews and assign these to the appropriate business owner.
- Use the co-comply Employee Attestation module to provide a robust audit trail by linking the employee response to the absolute version of the policy.

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:

Reduce "policy anarchy" by providing employees with a single accessible policy library regardless of their location. Reduce the need to download and store local copies that then become outdated, obsolete and may violate new regulatory rules.

• INCREASED EFFICIENCY:

In this competitive regulatory environment compliance recruitment costs are soaring. Take advantage of the inbuilt document management capabilities and reduce the time spent locating, amending, publishing and filing policy documents.

• POLICY GOVERNANCE:

Use the Monitoring and Testing service to define a recurring calendar of policy reviews and tests. Assign a review task to the appropriate business owner, be that compliance or another business area. Either way, the real-time dashboards will ensure you maintain central oversight that the periodic policy reviews and testing is being executed, and that any identified issues are addressed in a timely manner.

• IMPROVED OVERSIGHT:

With a single integrated platform that encompasses the Policy Management, Monitoring and employee Attestation services you can increase and evidence your oversight capabilities. Easily demonstrate to regulators and investors how the firm manages its policy reviews, communication of new or changed policies to employees and the monitoring and testing performed to ensure continued compliance.