Internal Control Management

Discover why 50,000 professionals have switched to easy2comply™
Presentation Objective

- Provide an overview of our Internal Control building blocks
- Offer insight into the look and feel of the application
- Showcase how you can easily use our software
Who Is it for?

- Our Internal Control software has been designed with the needs of the Internal Control Manager in mind and can be used by:
  - Internal Control Manager
  - Control Owners
  - Line Managers

- No project is too big or too small
  - It can be used by small groups (1 – 5 users) all the way up to the whole enterprise (10,000 users)

- Implementing our software has never been easier!
Internal Control Management

Organizational Structure

Controls Documentation

Sign-Off

Tasks, Notifications and Messages

Reports and Management Dashboards
Organizational Structure

This is where you define your organizational structure. Our software combines a dual hierarchy: one for your business units, departments and locations, and one for your processes and activities.

You can also look at your business horizontally across the enterprise. This feature allows you to drag and drop parts of your business into simple structures to ease reporting and comparative analysis.
Organizational Structure

Each Unit can be documented in terms of Owner, Sign-Offs and Attachments

Structure can be built with no limitation to the number of levels
Define Financial Accounts

We define the material financial accounts within the system.
Process Structure

Process is documented in terms of Risks / Controls, General Information and Attachments.

Structure can be built with no limitation to the number of levels.
Flowcharts

Process Documentation can also be added as an attachment (Word, Visio, etc.)
Narrative

The narrative is automatically created by the flowchart, showing process, sub-process, risks and controls.
Control your Risks by linking the relevant controls to the specific risks and determining the level of effectiveness. 
Set the control owner, key control, type, frequency and test plan. 
Schedule the control testing process.
Documentation Process

- Risk
- Impact
- Likelihood

- Activity in Place
- Owner
- Key Control

- Test Plan
- Control Testing
- Deficiency Level
Risk Assessment—AS 5

Assessment performed according to a 5 x 5 matrix generating a Risk Score
Here you can see the risk...

...together with the associated set of controls mapped to the risk
Controls can be fully documented and tested as needed.
Sign-Off

Plan your Sign-Off process, and include units, processes and controls

Sign the relevant items (Topics) within the pre-defined due date and read the declaration

Review the signatures and approve the whole process based on those signatures
Sign-Off Process

- Define
  - Topics
  - Declaration
  - Due Date
  - Participants

- Sign
  - Declare
  - Comment
  - Reject

- Review
  - Reminders
  - Reports
  - Statistics
Sign-Offs

All Topics wait to be signed by Signers before a specific Due Date.
Topic Details

Sign-Off Details: Remediation -- Webpage Dialog

Topics
- Deficiencies in internal control
- Event not meeting the provisions of the Inspector
- Exceptional accounting operations
- Registration commitments / obligations of the Company
- Significant events

General Details

- Sign-Off Template
- Name:
  - Event not meeting the provisions of the Inspector
- Topic Manager:
  - David Milles (david)
- Creation Date: 25/10/2009

Description

Do you know about event of non compliance with the provisions of the Inspector?

Signing Statement

I certify that I've reported on the events of not meeting the provisions of the Inspector.

Participants
- Boris Cohen (oren)
- Boris Levin (admin3)
- Denis Levy (bli)
- Erik chevalier (admin8)
- Frank Vanderberg (admin9)

Topic Participants
- Frank Griffin (frank)
- Daniel Dopont (admin2)
- Gidi Farkash (admin)
Tasks, Notifications and Messages

Create and follow up on Actions:
1. Link Actions to your Control
2. Each Action has an Owner and a Due Date for follow up
3. New Messaging feature

Define your own Alerts (for example):
1. Missed Due Dates
2. Approaching Control tests
3. Changes to your data

Notifications are sent directly to your email inbox with a link taking you to the software
**Tasks Management**

All Actions and Tasks are listed under the Organization’s Action Plan. Actions are listed according to status, owner and due date.

An individual action can contain multiple sub-tasks, each allocated to a different owner with a different due date.

<table>
<thead>
<tr>
<th>Task Type</th>
<th>Status</th>
<th>Description</th>
<th>Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td>Open</td>
<td>Sample sub-task 1</td>
<td>admin</td>
</tr>
<tr>
<td>Primary</td>
<td>Open</td>
<td>Sample sub-task 2</td>
<td>admin</td>
</tr>
<tr>
<td>Secondary</td>
<td>Open</td>
<td>Sample sub-task 3</td>
<td>john</td>
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</table>

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<thead>
<tr>
<th>Task Type</th>
<th>Status</th>
<th>Description</th>
<th>Responsible</th>
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<td></td>
</tr>
<tr>
<td>Secondary</td>
<td>Open</td>
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</table>

**Configuration**

- Logout
- Refresh
- Theme
- Language
- Help
- Search

**Action Plan Tasks**

<table>
<thead>
<tr>
<th>Organizational Unit</th>
<th>Status</th>
<th>Control ID</th>
<th>Control Subject</th>
<th>Responsible</th>
<th>Due Date</th>
<th>Organizational Unit</th>
<th>Process</th>
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<tr>
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<td>RR-2-31</td>
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<td>jones</td>
<td>17/06/2010</td>
<td>Site 1</td>
<td>7 Payment Process</td>
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</tbody>
</table>

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Notifications and Messages

Software comes with the ability to generate reminders, alerts and notifications regarding Action Plan due dates and scheduled control tests.

These notifications are delivered directly into the user’s email.
Reports and Dashboards

Built-in Reports are pre-defined report templates that can be generated and exported to multiple file formats.

Management Dashboards are colorful and interactive charts generated by our powerful charting engine.

Excel Reports are templates created by the User that define precisely the data wanted to be seen.

Reports and Management Dashboards
Dashboards
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Reports and Management Dashboards
Thank you

For more information, please contact:

Sales@checkpoint.com