

Awareness and evaluation software

controls reporting

Why Controls Reporting?

Effective controls and procedures are key to ensuring things are done right

"If what gets counted gets done – then I worry many of our controls are not actually being applied"

"We have great policies, but I fear no-one knows they exist or where to find them." "The new fraud policy was widely publicised and discussed when it was launched two years ago – how do we ensure it is still top of mind?"

"How can our Audit and Risk Committee get comfort that our people are aware of, understand, and are applying our key policies and procedures? "

"For too long we have assumed people know about and apply our controls – reality is that this is simple wish-full thinking. We need to do better."



What does Controls Reporting give you?

A tool to enable an ongoing programme of awareness, understanding and compliance reporting on your controls framework by:



Mapping controls to the roles which need to be aware of and comply with those polices and procedures.



Targeted and efficient reporting rounds where people are reporting on their awareness and compliance with controls. They can also identify opportunities for improvements.



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Proactive tracking of any corrective actions.



Informative and engaging reports for senior leadership and boards, providing comfort that the controls framework is actually working.

■ Report Build	ler	REPORT SOURCE Controls Reporting Survey July 2019	
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Insert Free Text		Author: Nick Brooks, The ComplyWord Audit and Purpose: Date: 1 Need of Compliance Risk Committee awaitmess and effectiveness 21 Jul 2019	Recent training on ComplyWorld's Conduct Risk policies appears to have contributed to there being very few issues with the Anti-fraud and Conflicts of Interest Policy. We've identified a need to better resource our managers to ensure
Insert Image	1	Pedrat commet Pedra Balance Cadapations competende Cadapations and an 2009 A Control patients and an	their teams are aware of, understand and apply key Health and Safety policies. Ful deala of the issues identified in our controls reporting round are set out in Appendix 1 to this report.
Results Overview	0	Results: Status of corrective actions: Status of corrective actions: 78% Operational 15 13% 144	Corrective Actions for the 'partially completed and hot down' response are being protochedy tracked using the Controls forycoming tool. Managers with outstanding corrective actions are required to update these at least every month. Our next controls recting ported will track an update on progress made with resolving unrelated to the second protocol will be partial to the area of health and safety inductions for the emerging control will be partial to the area of health and safety inductions. Brue regenerations are the partial tracked by the partial second and the partial second by the partial second by the second by th
Results by Group	40	Shirt dow 9 8% 12 Attempts 1 Image: Shirt dow 9 8% 5 Nonethington 1	HI Health and Safety Policies 🔗 🔗 😂 🖨
Results by Controls		Overall levels of awareness and effectiveness are good. Business areas where improvements are required are the Operations South Island Group and the Health and Safety Group.	Patt
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		A Health & Safety Group A 1/1 ■ 18/10 Propher Originations Originatio	H Conduct Risk Policies

Interested in finding out more about tools to help to do things right?

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