

ComplianceManager™ for SOx

SOLUTION FLYER



The ComplianceManager™ platform utilizes enterprise work management and regulatory-specific business intelligence to automate, optimize and manage company-wide compliance activity. This allows our clients to rapidly perform compliance tasks, reduce costs and improve employee productivity. With ComplianceManager, customers efficiently and effectively validate process performance within the rubric of government & industry regulations, internal company policies and auditor oversight. The ComplianceManager business intelligence engine drives each discrete compliance action to ensure process performance excellence across the organization.



Automated End-to-End Workflow



Real-time Dashboards, Reports & Narratives



Secure, Rapid Deployment & SAS-70 Certified



Repeatable Certification Framework

ComplianceManager is a secure log-in, ASP (web-based) application that leverages identity and role-based technology to route, monitor and track all user tasks within the system, which provides our customers with on-demand audit trails and documented accountability for compliance at the process-owner level.

The intuitive user interface and 4-tier reporting features place the entire, enterprise-wide compliance project at our customer's fingertips. This enables centralized and rapid adaptation to changing circumstances in operational or organizational structure, while maintaining integrity of compliance efforts and corporate cultural standards. ComplianceManager works within our customer's existing compliance framework to simultaneously enhance value in the Finance, Internal Audit, Legal, Compliance, HR and IT organizations as well as Operations.

ComplianceManager™ for SOx is business intelligence software that guides users step-by-step through a proven certification framework to accelerate compliance with the Sarbanes-Oxley Act ("SOx"). A scalable system that can handle hundreds of business units globally, it can be quickly deployed due to its intuitive web-based user interface, enterprise work management platform and real-time reporting capabilities.

Designed by former chief executives, compliance officers and "Big 4" CPAs, the *ComplianceManager* end-to-end automated workflow was specifically created to increase productivity, reduce costs, and promote sustainable results. Incorporating COSO, COBIT, AICPA and other industry standards, *ComplianceManager* provides the level of comfort and transparency demanded by Boards of Directors and independent auditors year after year.

Document Type	Pending Tasks	Pending Updates	Remaining Due Date	Next Due
1 Assessment Controls	2000	2000	06/15/2004	43
2 Remediation	2100	500	07/01/2004	0
3 Remediation Controls	2100	500	08/01/2004	0
4 Remediation Updates	500	25	11/01/2004	0
5 Test Plans	200	65	11/15/2004	0
6 Test Updates	88	101	12/15/2004	0

ComplianceManager™ for SOx

PRODUCT FEATURES & FUNCTIONS

- ✓ **Automated End-to-end Workflow**
Increases productivity and efficiency with enterprise work management
- ✓ **Scalable Platform**
Aligns with every company's existing audit process regardless of size
- ✓ **Project Management & Flexibility**
Plans, tracks & monitors SOx projects at multiple or changing business units
- ✓ **Risk Identification**
Automatically assigns quantitative risk to controls based on key attributes
- ✓ **Pre-populated Content**
400+ control activities (pre-mapped to COSO ERM) prevent & detect risks
- ✓ **Data Migration**
Accepts migrated data from existing compliance logs or legacy systems
- ✓ **Key Controls & Audit Scoping**
Dynamically identifies key controls based on CAVR & company-specific risks
- ✓ **Walk-Through Testing**
Identifies control gaps and compliance environment changes based on surveys that are routed, tracked & logged automatically
- ✓ **Test Procedures**
Generates dynamic test plans with sample size, evidence & version control
- ✓ **Remediation Plans**
Includes system-driven remedial actions to close gaps in material controls
- ✓ **Dashboards & Reports**
Provides real-time reports, alerts and dashboards with drill-down analyses
- ✓ **Documentation**
Generates dynamic control activity flowcharts, narratives & local procedures
- ✓ **Certification**
Documents internal audit history, certifications & sub-certifications
- ✓ **Document Management**
Maintains a centralized document repository; searchable by multiple data tags
- ✓ **Archiving**
Instantly retrieves records from prior projects & uses selected data as a baseline for new SOx projects

For More Information or to Schedule a Demonstration, Please Contact Your MARK Representative or one of the following:



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*"Our employees appreciated ComplianceManager's simple user interface and automated tools, which enhanced not only their performance, but also their understanding of our overall control environment."
- Kevin Bates
Controller of Pope Resources*

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