



## Deloitte Compliance Monitor

Innovation exemplified. Compliance simplified.

Private and confidential  
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Risk Advisory



**Governance framework**, be it enterprise risk, enterprise compliance, or internal control requires all three elements of people, process and technology for the programme to be effective. The technology component in any governance framework is an enabler that inculcates the discipline and enables effective reporting of the information.

**Deloitte Compliance Monitor (DCM)** is the technology component in the compliance infrastructure. DCM captures and consolidates compliance information, thereby allowing monitoring and management of compliance requirements of the organisation.



## RISK-BASED COMPLIANCE

The Deloitte Compliance Monitor work-flow

Development of repository for regular reporting and automation for monitoring compliance performance

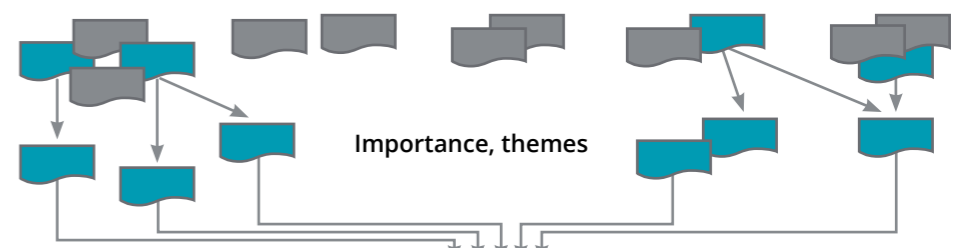


### GEOGRAPHICAL AND OPERATIONAL FOOTPRINT

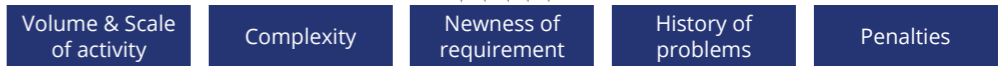
Where does the company operate



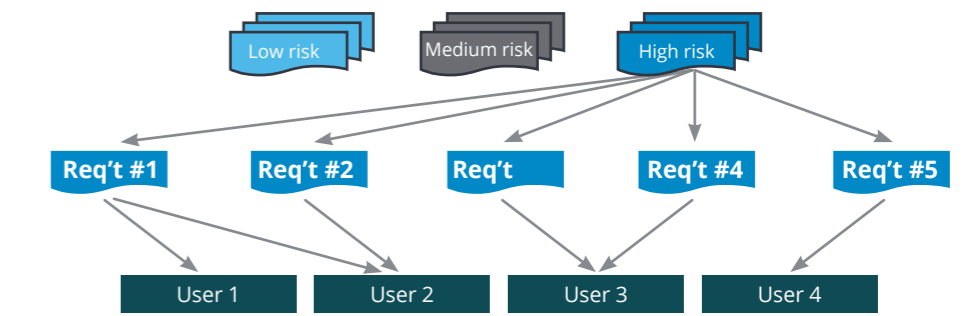
What applies to the business units operating in these jurisdictions



Importance, themes



1 - Low      2 - Med Low      3 - Med      4 - Med high      5 - High



- Develop sustainable attestation process/checklist
- Develop reporting structure and reports
- Develop process for regular updates for changes in business units, jurisdictions and legislation

### NEED FOR AUTOMATION

#### 01 CENTRALISED REPORTING

- Automation helps consolidation of all compliance related information at a central location and enables a uniform view of compliance information.
- Easy availability and access to information at the right time

The key benefits of the Deloitte Compliance Monitor are as follows:

Enhanced line of sight into compliance requirements across the organisation

#### 02 PERIODIC MONITORING

- Automation enables easy monitoring of the compliance status at all locations/functions within the organisation through various dashboards
- It also establishes discipline in terms of meeting the compliance requirements due to enablement of the alert mechanism.

Reduced exposure on fines and penalties

#### 03 STANDARDISATION

Automation enables standardisation of the compliance database, leading to common understanding and reporting of compliance information at an organisation level.

Improved ability to prevent, detect, correct, escalate, and respond to non-compliance events

#### 04 SMOOTHER COORDINATION

Automation enables smooth coordination and flow of information between various functionaries responsible for compliance risk management within the organisation.

Providing greater confidence to the board and executive management in their ability to understand and manage compliance risks

### KEY FEATURES

Dashboards to provide a consolidated view of compliance library and real-time compliance status based on the assigned roles.

Compliance calendar incorporated for time-based compliances. Function to create and track compliance in case of events and notices tagged to relevant acts and provisions.

Allows monitoring and reviewing of compliance requirements and status at the department, business unit, and corporate level.

Customised reports based on various parameters such as compliance requirement, compliance category, compliance status, compliance frequency, compliance criticality, and compliance owner can be generated through the system.

Enables uploading of compliance related documents.

Alert and escalation will be auto generated for functionaries so that compliance activities are performed in a timely manner as per the due date.

Tracking of the notices received from various competent authorities to enable timely compliance of the same.

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