Compliance Insights Tool

Compliance Insights Tool… is Our Leading Web-based Monitoring Tool Which is Being Effectively Used by Clients for Over a Decade

Key benefits / features:

Central repository

- Acts as a central repository of laws, compliances, statutory forms, licenses and evidences
- Risk-based classification of obligations based on impact, likelihood and local enforcement trends etc.

Clear assignment of compliance roles and responsibilities

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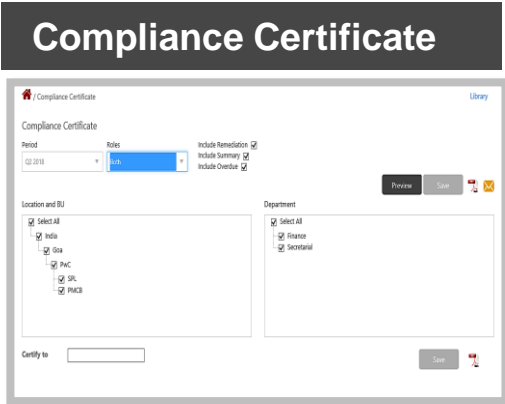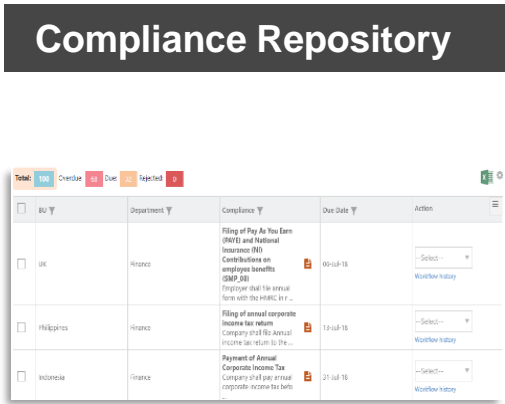- Enables creation of maker-checker
- Defined escalation levels

Customized dashboards and reporting

- Customizable dashboards, compliance status and exception reports
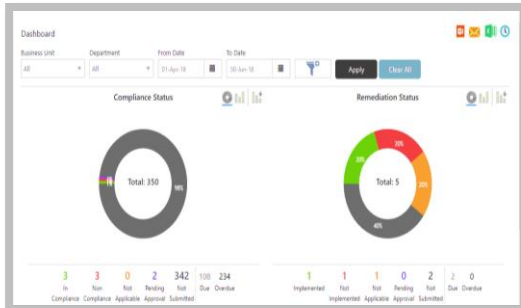- Enables drill down from readily available links
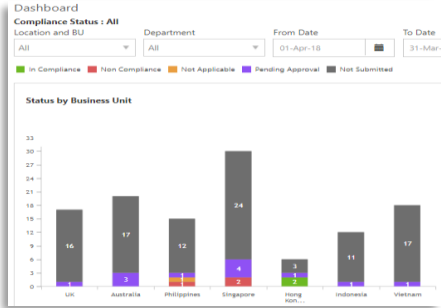
Effective compliance management

- Customizable alerts and reminders
- Presence of comprehensive audit trail

Sample Screenshots

Compliance Repository

Compliance Certificate

Compliance Monitoring Dashboards

Key Differentiators

Robust Technology Roadmap

Clear technology roadmap defined for the tool in terms of technology enhancements, upcoming version releases and planned upgrades

Sophisticated Reporting Capabilities

The tool supports customizable dashboards, compliance status and exception reports, enables drill down from readily available links, and supports auto-creation and scheduling of management presentations

Audit Module

The tool also supports an audit module which enables organizations to set up audits / reviews to assess adequacy, rigor and correctness of compliance certification in the tool

Mobile App Support

Tracking of compliances on the go, through mobile app support. Supports compliance dashboards, reports, notifications, from the mobile app

In-house legal and technical expertise

Dedicated team of 100+ legal and technological professionals to provide seamless legal and technological services

Compliance Insights Tool Capabilities...Enables Tracking of Individual Compliance Tasks and Responsibilities

- **User friendly interface** saving time and effort.

- Features like setting up **uploading of evidence (challans, acknowledgements, etc.)** and setting up comments as mandatory before submission of compliance.

Compliance Actionable with link to Compliance Master which captures all details

Enables uploading of evidence for compliance

Submitters comments captured

Technical Requirement – Compliance Insights Tool

Hardware requirements

Sr. No.	Hardware	Configuration (each server)
Single Server deployment (Suitable for up to 150 users)		
1	Web Application and Database all on the same server	Processor: 4 Core or Above RAM: 16 GB HDD capacity: 1 TB
Multi Server deployment (150 to 300 users)		
1	Web Application on one server	Processor: 4 Core or Above RAM: 16 GB HDD capacity: 1 TB
2	Database on the second server	Processor: 4 Core or Above RAM: 16 GB HDD capacity: 500 GB
Multi Server deployment (suitable for above 300 users)		
1	Web Application on one server	Processor: 4 Core or Above RAM: 32 GB HDD capacity: 2 TB
2	Database on the second server	Processor: 4 Core or Above RAM: 32 GB HDD capacity: 1 TB

Technical Requirement – Compliance Insights Tool

Software requirements

Windows OS
Windows Server 2016

Microsoft SQL Server
Microsoft SQL Server 2014/2016 (64 bit edition) – Standard Edition

Requirement	Description
SMTP IP or FQDN	Host, Username, Password, Port
Browser supported	Chrome v59.0, IE v11, Firefox v54.0
Active Directory	Both the servers – application and database will need to be a part of AD.
Service User	AD Service user with Admin rights on Application server
SQL user	dbowner rights to the service user on SQL Server
DNS Entry	GRC URLs (FQDN) entry on the DNS server (application and api urls)
VPN/RDC/WebEx access to the PwC team	PwC team will do the application installation/patch up gradation using one of these modes. This access will be required regularly for support purpose also.

Technical Requirement – Compliance Insights Tool

SSO Configurations

Options	Prerequisite
Direct AD integration	App server to be present in AD domain and have connectivity with AD, service account to configure in IIS
ADFS	Version : ADFS 3.0/4.0 versions are supported Certificates : Token signing and decrypting certificates from ADFS server ADFS XML : Federation metadata XML from the ADFS server ADFS URL : ADFS Sign In URL and $realm values
Azure AD	App registration on Azure portal, client Id for the app
Google	App registration on Google dev portal, client Id for the app
External user	If none of the above options are available, users will be created at application level to enable forms based authentication