

ETHICS & COMPLIANCE CULTURE MANAGEMENT

Regulators are leading a drive to raise ethical standards across financial services by requiring firms to implement an “Ethics & Compliance Culture”.

Great culture doesn’t happen by itself, it has to be planned and managed!

Determining Compliance Culture

Ensure your firm identifies its current culture and drafts a plan to improve it, measures success against the plan and reports to Senior Management.

Employee Training

Identify the employees requiring ethics and culture training and show that they both undertook the required training, but also that they certified their ongoing compliance.

Senior Management Reporting

Record the outcomes of ethics/compliance culture compliance both on an ad-hoc and recurring basis.
Present the firm’s overall ethics/compliance culture status to senior management along with specific exceptions /violations.



FLEXIBLE & LOW COST

Flexible

GRC-Maestro uses Templates, so each client can manage their ethics & compliance culture across the group, individual countries or department level:

- **Standard** - Use pre-built Templates covering standard laws and regulations
- **Copy & Edit** – Use existing Templates and edit for your own requirements
- **Customise** – Build new Templates based on client specific IMAs

Low Cost

GRC-Maestro has a range of price plans to give users great compliance software at a low cost.

There are no hardware requirements or software to install, just log in through any browser.

[For More Details:
Contact Us](#)

KEY FEATURES



Rule Checking: Contractual/Internal
Run rules on question answers to flag potential breaches/internal controls.



Process Management
Use dynamic questions/responses to ensure processes are followed.



Incident/Breach Management
Assess potential breaches and manage them to resolution.















Reports/Business Intelligence
Maintain compliance records and produce on-line/Excel/PDF reports.

STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports your ESG Governance requirements across your organisation.

The platform has powerful compliance monitoring and breach identification/management. Customised checks, controls and record keeping are built into your Maestro-Templates.

 AUSTRALIA Australian Security & Investment Commission	 CYPRUS Cyprus Securities and Exchange Commission	 IRELAND Central Bank of Ireland	 LUXEMBOURG Commission de Surveillance du Secteur Financier	 MALAYSIA Securities Commission Malaysia	 MALTA Malta Financial Services Authority
 SINGAPORE Monetary Authority of Singapore	 HONG KONG Securities and Futures Commission	 GUERNSEY Guernsey Financial Services Commission	 JERSEY Jersey Financial Services Commission	 UNITED KINGDOM Financial Conduct Authority	 USA Securities & Exchange Commission Financial Industry Regulatory Authority

ASK, RESPOND, REVIEW, ASSESS, REPORT AND RECORD

ASK

Information required to assess compliance with regulations, internal policies, legal requirements or record keeping

RESPOND

Respondent answers questions and attaches documents as required (pre-submission validation)

REVIEW

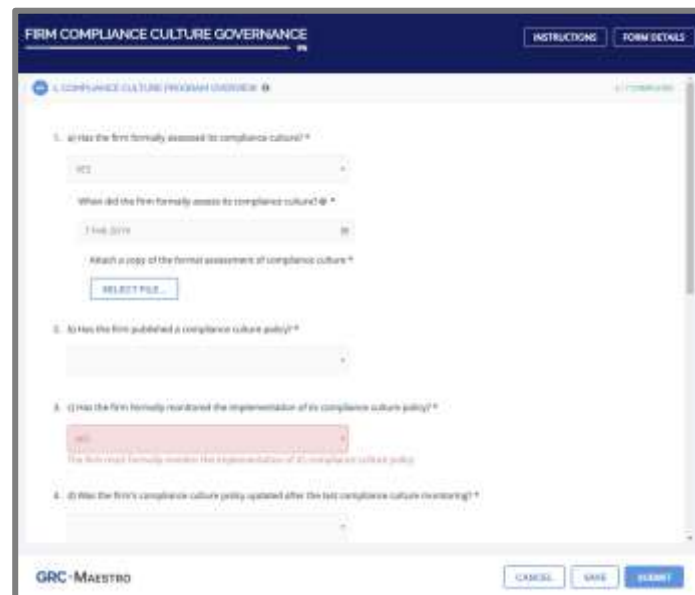
Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form)

ASSESS

Management review of Incidents to determine Breaches/Non-Breaches with reason for assessment required

REPORT

Provide regulators and management with reports showing internal controls, results of monitoring, breaches/non-breaches etc.



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