

# EMPLOYEE MISCONDUCT

Staff turnover is high, and firm's traditional informal controls are no longer fit for purpose. "Trust" is no longer a management control!

Firms have to formalise their misconduct investigation/resolution and, potential, reporting to law enforcement and/or financial regulators.

## Identify

Employees should be able to report potential misconduct.

## Investigate

All reports of potential misconduct should be investigated and objectively assessed. Where necessary, this might include input from legal, HR, and regulatory experts, amongst others.

## Resolve

Every potential misconduct report should be resolved, along with a record of actions taken.

## Law Enforcement/Regulator Report

If necessary, a report of misconduct might have to be made to law enforcement and/or regulators.

## 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.



## FLEXIBLE & LOW COST

### Flexible

GRC-Maestro uses Templates, so each client can run their Employee Misconduct Management at Group/Country/Office/Division level as appropriate:

- **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 conduct requirements

### 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](#)

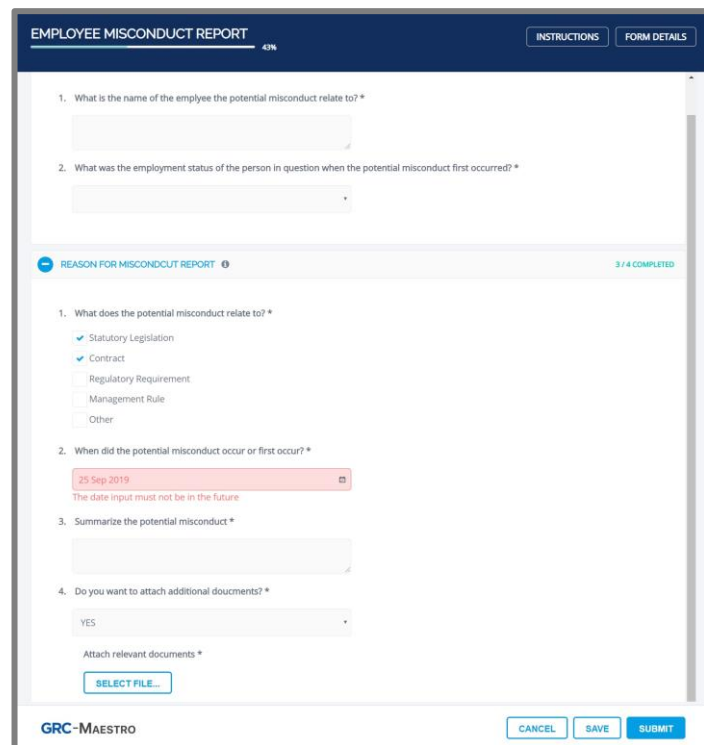
## STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports your Employee Misconduct Management 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.

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



## CONTACTS

+61 2 8006 5008 (AUS & NZL)  
 +65 9385 7455 (SGP)  
 +44 20 3286 0800 (GBR & IRL)  
 +1 617 401 8009 (USA)

[www.dynamic-grc.com](http://www.dynamic-grc.com)  
[info@dynamic-grc.com](mailto:info@dynamic-grc.com)  
<https://www.linkedin.com/company/dynamic-grc>

