

## Compliance's Internal Control Management (ICM) Integration Capabilities

### Introduction

ICM is a control and risk management and automation solution. It includes capabilities to integrate with other applications and data that can be used in control and risk processes within ICM. Often, control processes, analysis and decisions depend on information from other sources. ICM integrates with these other sources without programming.

Graphical tools make basic integration easy and flexible without programming and significant IT involvement. This basic integration includes include:

- Information in databases or other data sources
- Integration with an external application's data
- Information in XML format or pre-defined Web Service
- Wizards for email, MS Office and other applications are included
- Business process integration with BPM / workflow

Programmatic interfaces are available for more custom integration as well.

It is common for an internal control process to touch many other applications and business processes. The integration discussed above provides access to these processes and applications. Applications such as Financial (Solomon, JDE, Great Plains, Lawson), ERP/ERM (Oracle, SAP), IT (Protivity, ACL), Reporting/Data Analysis (Business Objects, Crystal, ACL, SAS), and Business Process Management (Ultimus, Lombardi, Hyperion) are examples of this.

Information can be retrieved as required or synchronized with ICM. This information is used by ICM's sophisticated BPM for true automation of internal control.

The following sections provide more detail about the integration capabilities of ICM.

### Using Data in Other Applications

It is often desirable to gather and update information housed in other systems from a control process. ICM includes mechanisms for this integration.

### Detail Fields

ICM includes custom defined fields called detail fields to store this information and has automated agents that can retrieve the data without expensive programmatic integration projects. These detail fields can store current data for use in ICM and its processes.



Data for Detail fields is updated routinely from other applications or pulled on demand in a control process using the graphically configured database, XML or web service automation agent. Custom programmatic interfaces are available as well. This data is available for use in any control process.

## **Audit Points**

ICM includes Audit Points auditing processes and data external to ICM. This captures control information in external processes and applications. Compliance Audit Points put transactional control information (on transactional controls and control activities) a click away for executives, managers and auditors, allowing them to quickly validate who performed each task and when, along with the results and other details.

Control boils down to accountability and Compliance Audit Points provides a record of control and makes those responsible for control accountable for it.

Audit Points are updated using BPM workflow and graphically configured web services.

## **Continuous Control Monitoring**

Compliance provides Continuous Control Monitoring (CCM) for the automatic validation of internal controls, thus supporting internal control optimization and continuous improvement. CCM monitors information in other systems and improves controls through rapid detection and systemic resolution where violations are managed and resolved using business process automation workflows. The ICM CCM solution routinely scans transactional data for violations of business rules associated with internal controls.

CCM is a control level Control Automated Procedure (CAP) and just one of many control automation techniques available in ICM. Once configured the system is self sufficient with minimal administration and can perform thousands of fully automated control checks without human assistance. The workflow ensures each issue is managed per a user specified policy with all audit evidence and results captured within the ICM framework. These results are available from both within the system and in real-time reports.

A graphical business rules wizard provides allows business users to define business rules and processes to monitor. Integration does not require programming.

## **Reporting**

The Reports Module retrieves ICM data as well as data from other systems for comprehensive control reporting. The graphical reports editor generates tabular or graphical reports defined by business users.

ICM reporting integrates information from various sources for internal control. ICM includes a library of pre-defined reports that can be extended to include enterprise data to meet custom reporting needs.

## **Documentation Systems**

Control information is most commonly stored in documents. ICM includes a document management system for control documents. This module provides all the required capabilities for managing control documents from ICM. If a customer prefers, an existing third party document management system can be integrated with ICM to replace the standard ICM Documentation Module.

## **BPM and Workflow**

ICM is a BPM (Business Process Management) based automation solution that is easily integrated with other applications. Graphical automation agents are available for the following:

- Database
- Email
- Web Services
- .Net Code
- XML
- Application specific (MS Office, SharePoint, SAP...)

These agents include graphical trainers for easy configuration. They are accessed as part of the process and perform their tasks automatically as required.

ICM has advanced BPM tools and capabilities that can be integrated into an existing infrastructure. Administrative and end user tools are easily plugged into portals and other applications allowing users to manage ICM from existing familiar interfaces.

### **Custom Integration Solutions**

ICM includes a detail **Enterprise Integration Kit** for customers that would like to create tightly integrated solutions with other applications. This allows for the creation of very specific custom solutions. These solutions require programming and would involve IT.

Compliancy's Professional Services offers custom integration solutions and support. We have years of experience with analysis and integration services for internal control and compliance.

For more information, contact your Compliancy representative.

### **About Compliancy**

Compliancy specializes in custom tailored risk and compliance automation solutions by leveraging a company's investment in existing controls, processes and compliance programs. Processes and controls unique to the company and industry can be easily automated and standardized to accelerate process completion, more effectively manage risk and lower the cost of management.

Large multi-national, mid-size companies and government agencies choose Compliancy because of its greater flexibility and cost effectiveness. Compliancy's Internal Control Management (ICM) platform makes it simpler to automate and integrate both a broad range of GRC requirements such as Sarbanes-Oxley, FCPA and OMB 123 and internal processes such as Financial Close Management. Compliancy can custom tailor the right program to best fit a company's needs and budget whether on-premise or Software-as-a-Service.

For more information, please visit our website: [www.compliancy.com](http://www.compliancy.com)

For inquiries or additional information, contact: [info@compliancy.com](mailto:info@compliancy.com) or call +1-919-806-4343.

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