

CoreStream Compliance Manager

Flexible Compliance Support

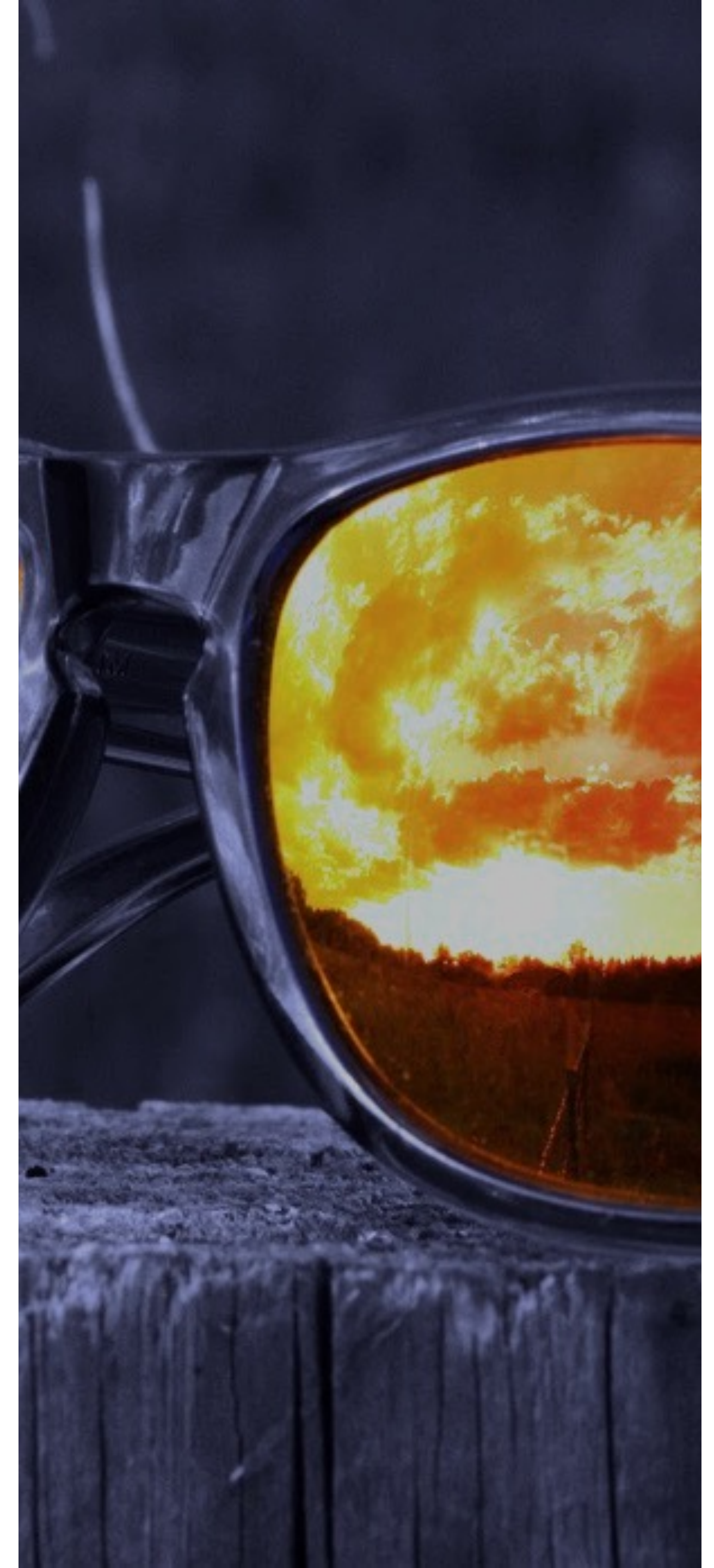
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CORESTREAM

Regulatory Compliance

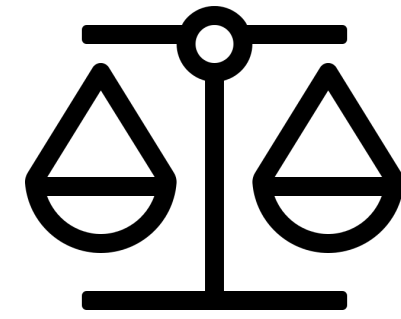
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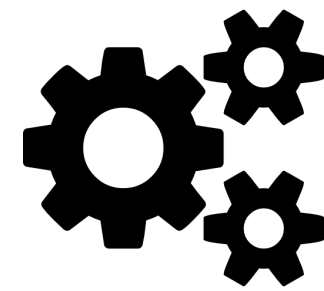


The CoreStream Platform

The power to consolidate and link all your
Governance, Risk and Compliance activity...



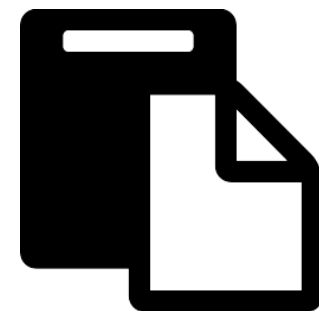
Risk
Management



Controls
Management



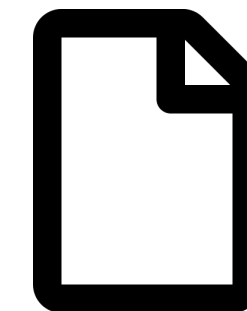
Action
Management



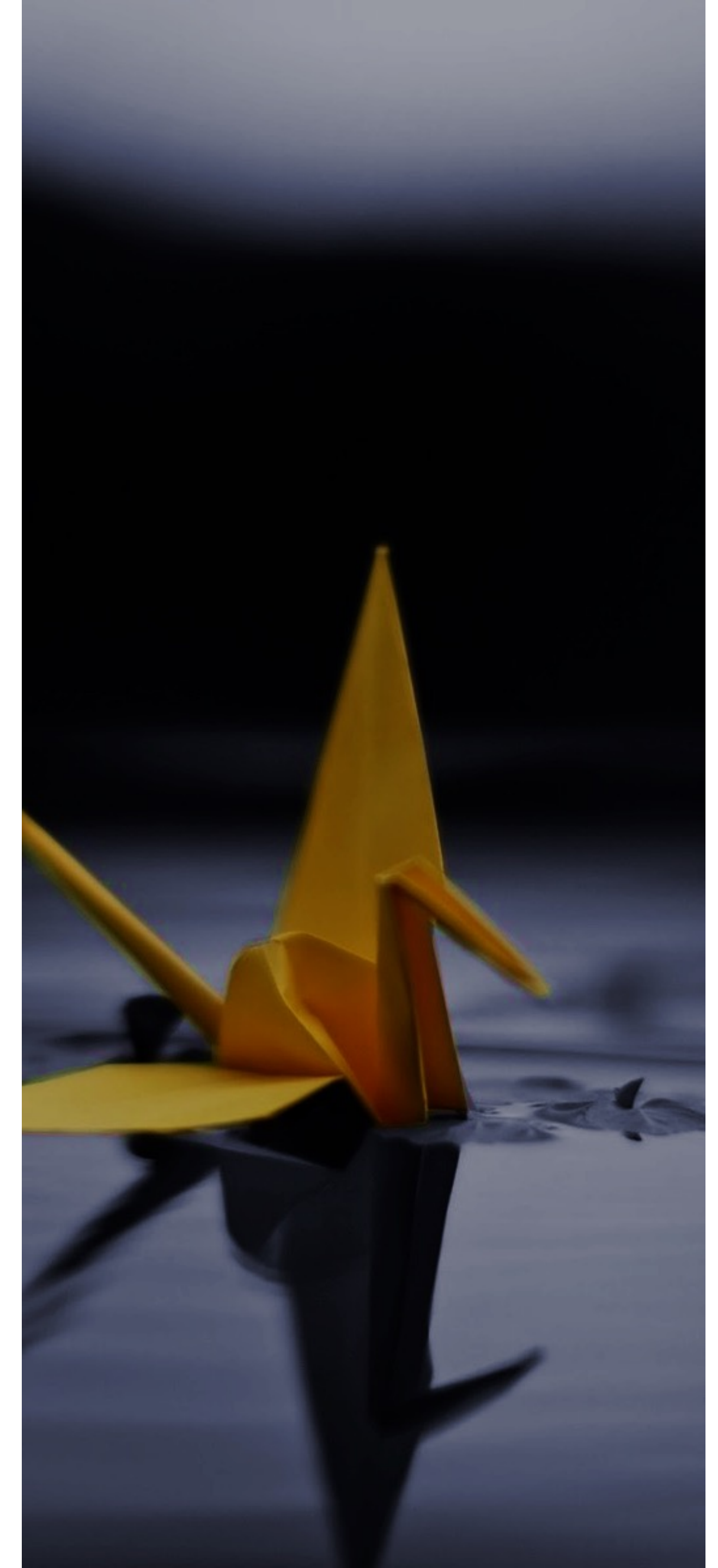
Regulation
Management



Information
Asset
Management



Case
Management



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CORESTREAM

Regulatory Compliance

Intuitive technology for business

1

Intuitive

We believe technology should be intuitive in order to encourage user adoption and improvement outcomes

2

Flexible

Our platform is flexible and adaptable to ensure that we can meet our customers' unique requirements at a low cost.

3

Quality

We have a relentless focus on quality from pre-sales through to delivery and support.

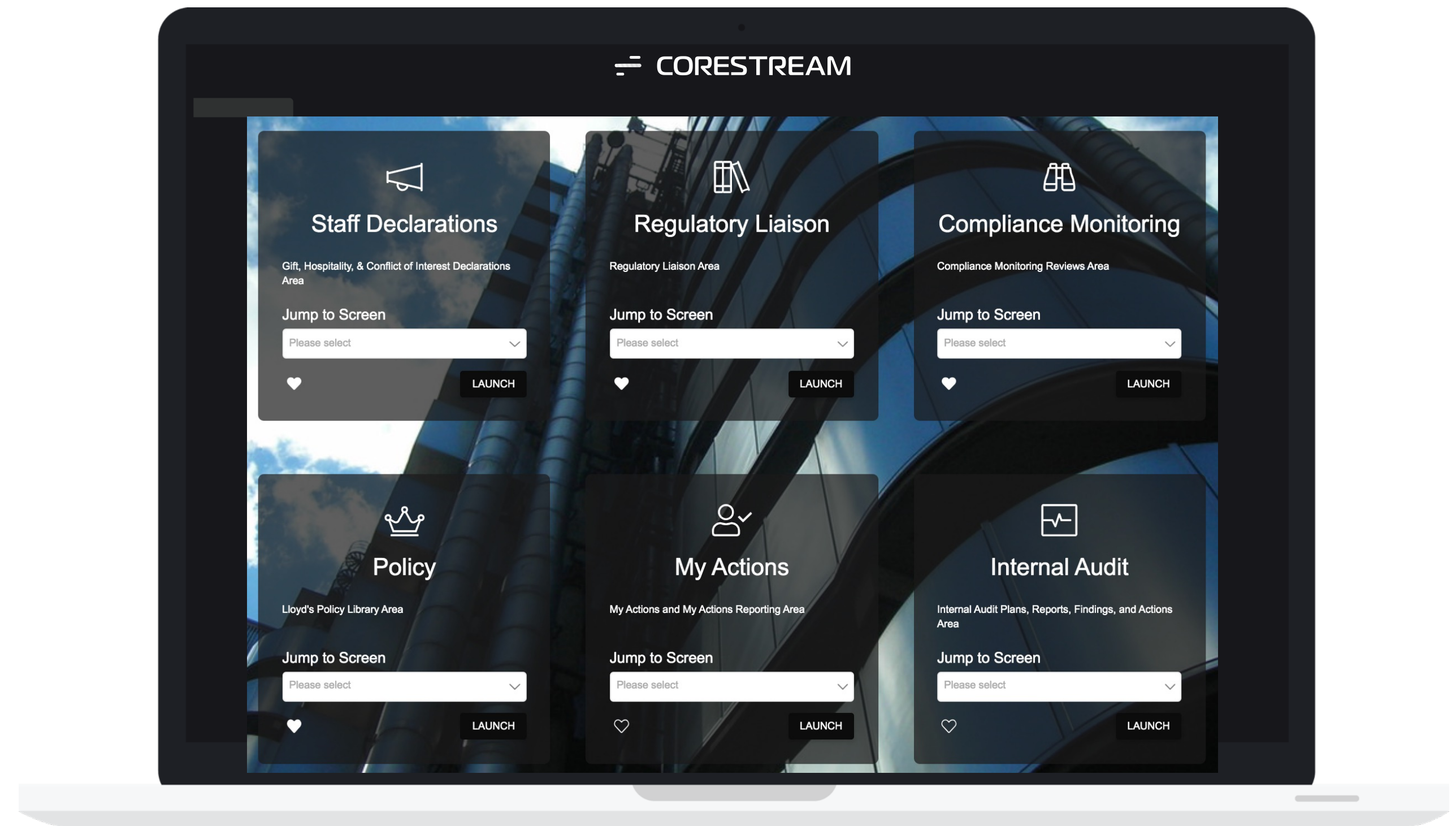
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CORESTREAM

Regulatory Compliance

Supporting Regulatory Obligations

The CoreStream platform supports a range of Regulatory use cases, allowing organisations to exhibit compliance with their particular obligations. With an easy to use interface, and real time reporting capability, the platform provides a single application which can be used to manage all types regulatory engagement, tailored to the way you work.



Gifts & Hospitality

A digital solution to track employee expenses policy adherence

The Challenges

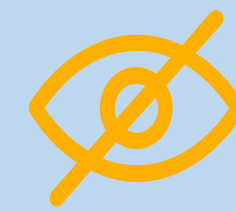


Administrative burden

Challenges with the manual coordination of Gifts & Hospitality returns across the organization

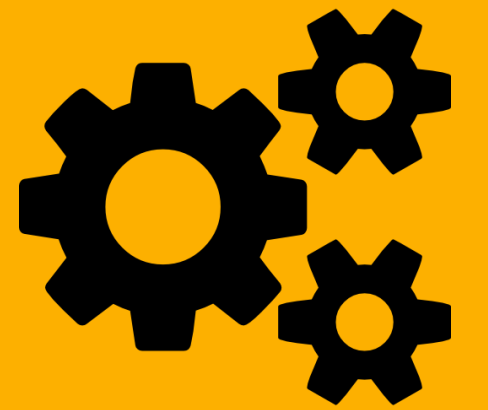
Policy Alignment

Difficulties in ensuring employee compliance to internal Expenses policies



Transparency

Lack of real time reporting to provide management with insight and one version of the truth.



The Solution

Online Interactive Forms

Users are presented with interactive forms, presenting only the questions and fields required based on end user selection. Scheduled returns can be requested by the system or entered ad-hoc by employees

Integrated Policy Rules

Policy details are built into the solution, driving adherence and highlighting non-conformance through workflow rules

Reporting

Generation of real-time monitoring and reporting of expenses information, including policy outliers and non-conformance

The Benefits



Reduced financial burden



Increased efficiency



Policy Alignment



Real-time reporting

The Challenges

Policy Template Alignment

Unable to ensure that Policies are created, reviewed and maintained in accordance with organizational standards



Control of the Policy Approval Process

Managing the approval process so that the correct internal stakeholders are notified and engaged in the Policy Approval and Review process



Employee Policy Adherence

The ability to ensure that employees are aware of, understand and comply with multiple, complex policies



The Solution

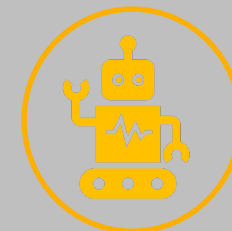
Online Policy Management

Single location for all Policies across the organization, together with advanced search features, for example: "I am a manager and I want to appoint a supplier. What do I need to be aware of?"



Embedded Polices

Create workflow processes in the CoreStream platform that embed the policy within – for example, an expenses approval process.



Flexible Certification Options

Traditional 'Policy Read Requests', or optimise policy knowledge transfer via a process to 'survey' employees with bite sized policy content instead



The Benefits



Improved policy knowledge transfer



Reduce policy breaches



Reduction in administrative burden amongst employees

Conflicts of Interest

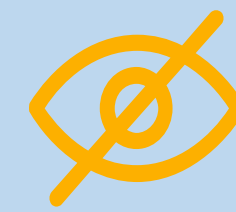
Recording and tracking employee organizational conflicts

The Challenges



Administrative Burden

Time taken to manually monitor and coordinate the annual process of Conflict of Interest returns, as well as ad hoc submissions throughout the year



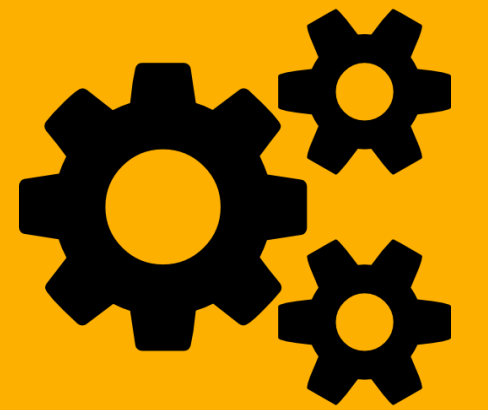
Policy Adherence

Unable to effectively react to potential or current Conflicts identified.



Identification of Exceptions

Lack of real time reporting to provide management with insight and one version of the truth.



The Solution

Online Interactive Forms

Users are presented with interactive forms, presenting only the questions and fields required to be completed based on end user selection

Issue Escalation

A clear and structured workflow based on user responses to route relevant queries to the right area of the organization.

Reporting

Interactive reporting across organizational departments to show areas of concern and focus for the Compliance function

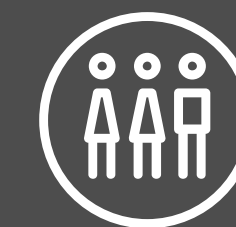
The Benefits



Reduced financial burden



Increased efficiency



Visibility of Conflict Breaches



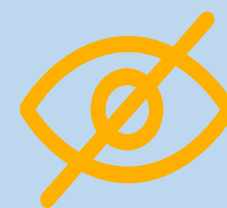
Real-time reporting

The Challenges



Co-ordination of Regulatory Responses

Managing the flow of information with Regulators and ensuring a timely and consistent responses to regulatory demands



Disjointed Action Tracking

Lack of a single process for Action Tracking meaning that activities are being lost and deadlines missed



Ownership

Inability to provide clear lines of regulation ownership and escalation across the organization

The Solution



Online Repository

The solution allows for the gathering and storage of Regulatory interactions within the same location, referenced for common topics and activities



Integrated Action Tracking

Actions are linked to the relevant Regulatory Engagement, with traceability of ownership and escalation paths.



Regulator Horizon Scanning

The solution allows for feeds of information relating to future regulatory change to facilitate forward planning and strategic alignment

The Benefits



Reduction in time spent on Actions Administration



Consistent messaging to Regulators



Real time Reporting

Dashboard Reporting

All of our Regulatory Compliance use cases are supported by interactive reporting dashboards based on real time data. These provide insights into the status and progress of workflow items and related Actions.



Data Security

CoreStream recognises the importance of data security and is proactive in managing technical and user-based risks...

- All services are fully UK hosted on private cloud infrastructure
- Enterprise-grade datacenters conform to Tier 3 TIA standards for redundancy and resilience.
- ISO27001 accreditation for technology development and hosting security.
- All staff CRB checked. Relevant operations staff have UK Government Security Clearance (SC)



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