DATA SHEET

SARBANES-OXLEY COMPLIANCE MANAGEMENT

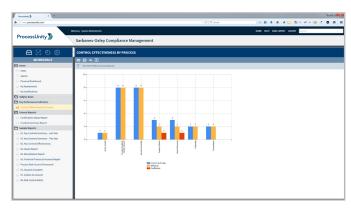
Ensure Effective and Efficient SOX Compliance with Cloud-Based Automation

Organizations today continue to wrestle with the financial and operational costs of conducting, documenting and reporting on their Sarbanes-Oxley (SOX) compliance assessments.

ProcessUnity's cloud-based SOX assessment solution provides secure, cost-effective, automated support for critical components in a compliance program – from business process documentation, risk evaluation and controls definition, to issues management and controls and assessment testing. Additionally, ProcessUnity streamlines the review and validation of assessment results for both internal teams and external auditors.



SOX Compliance Remediation Report



Control Effectiveness by Process

Seamless Migration from Legacy and Manual Applications Eirms with first generation SOX software can easily

Firms with first-generation SOX software can easily migrate their existing documentation and processes to the cloud, and gain the new features and frameworks they need for less that it costs to maintain their existing solution.

Organizations currently using spreadsheets, homegrown databases, or legacy SOX software can move to ProcessUnity and leverage powerful workflow, notifications, scoring methodologies and interactive dashboards to reduce day-to-day busy work, streamline executive reporting and breeze through audits.

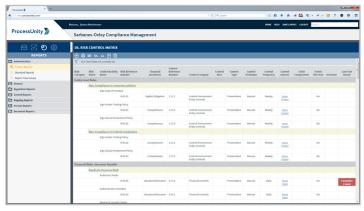
Powerful Compliance Automation

ProcessUnity enables organizations to:

Determine Assessment Scope & Focus – Review selected business processes, controls or systems with detailed descriptions and supporting documentation

Develop a Risk Control Matrix – Link processes to risks and significant accounts and associate risks with mitigating controls

Flag Shared Controls – Quickly and easily implement a 'test once, satisfy many' relationship between controls



Risk Control Matrix

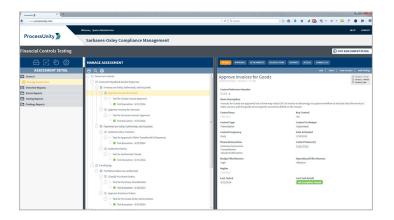


Evaluate and Mitigate Risks – Capture risk frequency and impact with automated risk-score calculations and categorize risk levels for associated business processes

Perform Assessments and Control Tests – Conduct process-, system- and control-focused testing at a global, regional or line-of-business

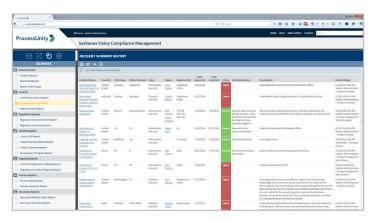
Track and Communicate Program Progress – Use interactive reports and dashboards to monitor the state of compliance, including assessment timetables, completion status, testing progress and pass/fail results

Manage Issues Resolution – Automate status updates for issues/gaps and leverage workflow and notifications to resolve issues



Conduct Internal Reviews – Review and approve completed walkthroughs and test results and prepare for external audit

Streamline Auditor Review – Enable remote access to released assessments statuses, results and documentation; interact with external auditors directly in the application with documents request and issues capabilities



Incident Summary Report

Perform Ongoing Controls Development – Facilitate collaboration between key stakeholders for the ongoing development and activation of internal controls, complete with version tracking and audit trails

ProcessUnity makes the move to the cloud quick and painfree. Our migration and import capabilities ensure flawless data transition to our secure platform. Plus, our system is completely configurable by business users, so organizations can run their program the way they want.

Get Started with Next-Generation SOX Compliance

Take the first step to the cloud today. Contact us at www.processunity.com/contact to schedule a live Sarbanes-Oxley Compliance demonstration.

