



Financial Services

*OneSumX for
Policies and
Procedures*



Today's compliance professionals face a complicated landscape of ever-changing regulatory requirements. They face the challenges of monitoring for changes, mapping responsibilities and ensuring effective communication internally, and demonstrating their successful management in audits or examinations. The critical task of assembling, revising and distributing risk-based policy guidelines and procedures and providing the organization with the visibility and accountability it needs is crucial.

The ideal policy and procedure management system will enable your organization to adapt to changing regulations on an on-going basis. It will have a reliable, dynamic platform that not only stores and archives documents, but also provides user-friendly features that allow compliance personnel to work collaboratively. Something more than a document repository

system is needed to meet the critical effectiveness required of a well-managed compliance program. A dedicated policy management system designed to take on the complexities inherent in identifying, tracking and updating the laws of your business is required.



The OneSumX for Policies and Procedures solution is a centralized platform to help your organization proactively manage compliance policies and procedures. Its web-based design allows you to easily manage policies and procedures across multiple authors, business units and geographic locations.

Managing Manuals Your Way

Creating and editing manuals is easy with a Microsoft Word™- like interface. Editorial users are assigned the roles of publisher or editor. When a draft version is completed, it is published and made available for users with reader access to the final version, either online or offline in Word or PDF formats.

Multiple Options for Disseminating Exactly the Information Needed

The flexibility to create and share customized manuals in real-time allows you to proactively manage the needs of multiple business units, divisions and departments. Several deployment options add efficiency to how your organization communicates and understands its policies and procedures.

Greater Control of the Audit Trail

A leading cause of risks to policies and procedures is the failure to effectively control the audit trail. Our Policies and Procedures solution gives you the process and controls you need—from accessing prior versions to creating a report of policy changes for regulatory examinations.

Reference Material When and Where It's Needed

Policies and procedures are often enhanced with external references and supplementary materials. External links to these materials can be created easily within the content.

Continuously Updated Content for Compliance with Current Regulations

In addition to the Policies and Procedures platform, we offer content solutions for the securities and financial industries sectors. Written by seasoned compliance professionals and risk management experts, the content provided in our Policies and Procedures solution is based on cited references to a variety of regulators and agencies, including FINRA, NYSE, SEC, and various federal banking regulations. Additional policy manuals are focused on Safety and Soundness for lending, activities and operations and provide details on the areas of law expected to be covered in an exam.

Organizations need a flexible, transparent and accountable process to manage Policies and Procedures that incorporates continuously updated content and best practices to maintain compliance with current regulations. OneSumX for Policies and Procedures is a component of Wolters Kluwer's OneSumX suite that delivers a single view of risk articulated across the entire organization, providing a common language, approach and methodology for risk management.

Whether you require expertise, a content source or automation, Wolters Kluwer can help you build a regulatory intelligence strategy and process that monitors regulatory change and measures impact on the business. We can do this quickly, while implementing appropriate policy, training, and control updates. And, when we're done you can be confident in your responses to your regulator.

About Wolters Kluwer Governance, Risk & Compliance

Wolters Kluwer Governance, Risk & Compliance (GRC) is a division of Wolters Kluwer which provides legal, finance, risk and compliance professionals and small business owners with a broad spectrum of solutions, services and expertise needed to help manage myriad governance, risk and compliance needs in dynamic markets and regulatory environments. The division's prominent brands include: AppOne[®], AuthenticWeb[™], Bankers Systems[®], BizFilings[®], Capital Changes, CASH Suite[™], CT Corporation, CT Lien Solutions, ComplianceOne[®], Corsearch, Expere[®], GainsKeeper[®], LegalVIEW[®], OneSumX[®], Passport[®], TyMetrix[®] 360, Uniform Forms[™], VMP[®] Mortgage Solutions and Wiz[®].

Wolters Kluwer N.V. (AEX: WKL) is a global leader in information services and solutions for professionals in the health, tax and accounting, risk and compliance, finance and legal sectors. Wolters Kluwer reported 2016 annual revenues of €4.3 billion. The company, headquartered in Alphen aan den Rijn, the Netherlands, serves customers in over 180 countries, maintains operations in over 40 countries and employs 19,000 people worldwide.

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