ComplySci

Roles, Groups Scopes & Workflows

SCOPE GROUP

Full dynamic oversight of your compliance program

ROLE

Categorizing employees by their roles, responsibilities, and reporting structure is foundational to compliance. After all, the compliance oversight of employees depends largely on how they have been identified and categorized within the enterprise.

The ComplySci Platform reflects the structure defined in your HR platform, giving the compliance team maximum flexibility in establishing roles, groups, the scope of information management can see, and workflows.

Dynamic compliance management with sophisticated permissions ensures that compliance processes are always in line with organizational structure.

ROLES

Roles define the functionality accessible to an employee, based on position, responsibilities, monitoring requirements, oversight, etc.

- Makes it easy to move an individual from one role to another or assign roles for new hires.
- Solves the staff turnover problem by ensuring that workflows of supervision and approvals are in line, regardless of the individual sitting in a particular seat.

GROUPS

Groups organize employees according to your firm's particular needs or preferences (such as business line, geography, department, etc.).

- Leverage groups when organizing oversight. Certain supervisory roles or groups can be authorized to oversee certain groups of employees, applying the related rules and workflows that are appropriate for each group.
- Distribute certifications, set pre-clearance requirements, or configure business rules by group.

SCOPES

Scopes define the employee data that each supervisor is allowed to access and monitor.

- Ensure that only people who are authorized to oversee certain roles or groups are given access to that data.
- Maintain your information barriers while ensuring alignment between supervisory roles and the data they oversee.

WORKFLOWS

Workflows follow business rules that are organized to reflect your firm's internal processes.

- Leverage roles, groups and scopes to grant appropriate permissions.
- 100% configurable based on your unique business needs. Workflows are easy to design and define and can be created in just minutes.
- Define workflows across all activities or for each specific activity type (i.e., pre-trade clearance, G&E, OBAs).
- Can be organized with as many layers of approval as your business requires.

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