Whitepaper

Compliance As A Service

Increased regulation of private and public organisations

As the pace of globalization continues to increase, most industries and organisations are faced with enhanced regulatory requirements issued by both international and national bodies.

Some regulations have even been driving growing demands from business partners, like the new Data Protection law (GDPR) which is driving the need for audit statements or certificates (ISAE3402 & ISO27000) for IT security and GDPR compliance (ISAE3000).

Furthermore, it is important to emphasise, that customers and society in general expect that organisations are able to meet these new requirements, with potential non-compliance driving huge direct and indirect consequences.

Compliance capabilities are in high demand

Most organisations outside the financial and pharmaceutical industries are not particularly experienced when it comes to how they embrace compliance. An increasing number of organisations have experienced that it is expensive (and challenging) to build internal compliance capabilities, and that it is hard to retain the relevant staff, as compliance capabilities are in high demand.

As a consequence, professional service providers within Legal, Consulting and Audit are experiencing an increased demand for compliance services, and most recently a noticeable uplift in requirement for Compliance as a Service.

Compliance As A Service

The most common revenue driver within Legal, Consulting and Audit is based on billable hours. As clients increasingly use their own resources to solve some of their daily challenges this has driven professional advisors to evaluate potential new revenue streams, where some services are based on a subscription model.

Subscriptions are popular and represent an attractive opportunity to deliver predictable revenue and earnings. The relationship between the subscriber and the service provider also enables ongoing dialogues to further develop the scope of the services delivered.

IT Platform to support Compliance As A Service

DPOware has developed a user-friendly cloud solution, available to everyone over the internet which is delivered for a fixed monthly charge.

The solution is flexible and includes all relevant features and functionality. The same solution is capable of supporting simple organisational structures as well as complex organisations.

The solution supports parent-child account structures, and service providers can create an entire portfolio of accounts under the same parent account. The unique security enables employees delivering Compliance as a Service to work on multiple accounts without having to log in and out all the time, in a safe and secure way.

The preferred language is maintained at user level, and DPOware currently supports 18 European languages.

As most organisations request one IT platform to support multiple compliance areas, DPOware is designed for multiple frameworks and currently more than 20 standard frameworks including ISO27000 for IT security, ISO9000 (Quality Management) ISO31000 (Risk management) Anti Bribery etc. are supported out of the box.

Users are able to modify existing frameworks and add new ones to the platform, as frameworks are stored at account level. DPOware partners are able to develop company versions of frameworks which are then only available for the partner's own customers.

The solution includes a range of reports and data-views, and the automated generation of activities helps ensure that compliance documentation is up to date.

User-friendly setup and assessment menu

The user interface to support set-up and assessments is based on a matrix which has the following five areas: **Documents** (definition of company practice through policies, procedures and controls, and compliance assessments), **Systems** (definition of which data is included in which systems and archives and risk assessments), **Processes** (definition of processes, process groups and purpose of processing as well as risk assessments), **Privacy by Design** (documentation and assessment of projects) and **Training** (definition of e-learning courses and their assignation to user groups).

All definition and assessment screens are developed to guide the user through the processes and, where required, it is possible to extend the standard scope by enabling relevant additional features.

All assessments can be printed out as pdf documents and include a risk profile with the following four perspectives: **Financial** perspective, **Reputational** perspective, **Operational** perspective and **Data privacy**. All perspectives are represented by a risk score which is based on assessing the impact and probability for each perspective.

All analysis is revision-controlled to deliver a full audit trail on who has changed what and when.

Risk and gap records can be created with reference to the assessments with appropriate actions to define the activities which need to be carried out to address the risk or gap.

Risk Management

The risk management module includes a graphical interface for a rapid overview of the assessments, risk & gap record actions and controls, with full access to the underlying data-records through drill down functionality.
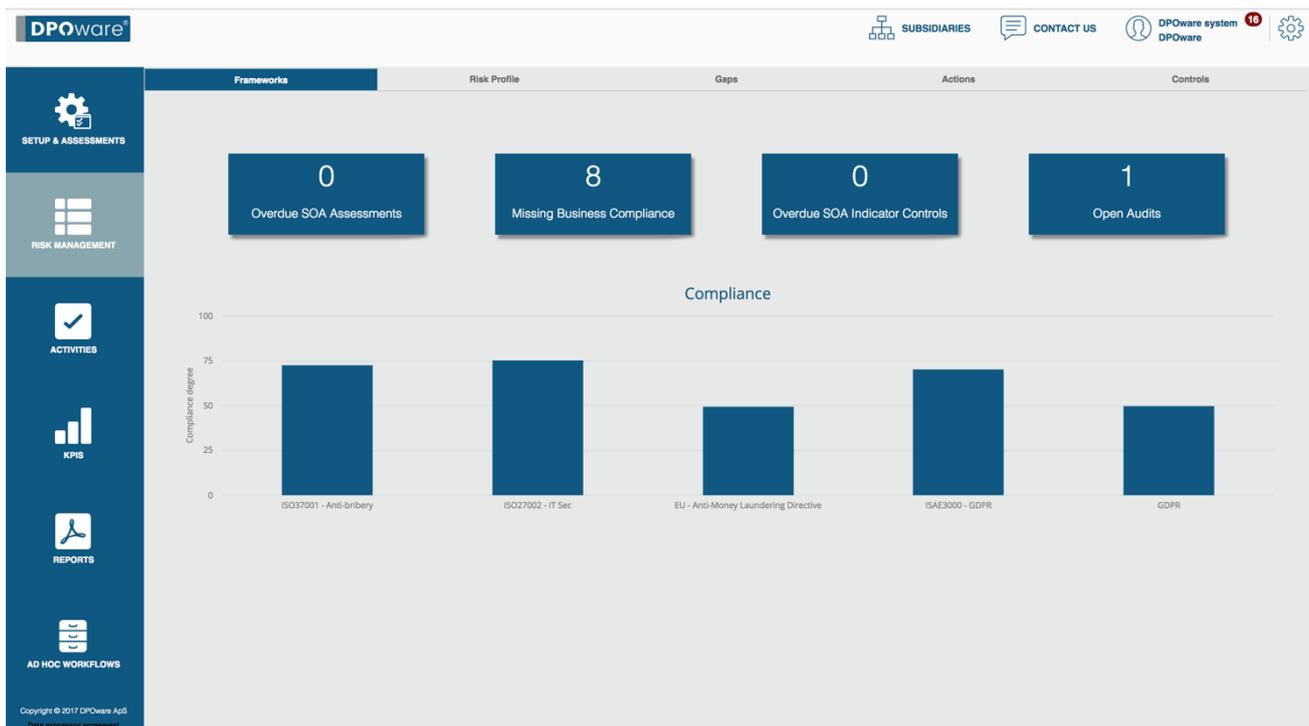

The module also provides various charts to support the prioritisation of the risk management activities.

All activities on one screen

All activities are displayed in a single view, and the solution includes a number of workflows which automatically create activities according to the unique account set-up.

When a new activity is created, the user will be notified by e-mail, and the majority of the activities can be handled directly from the e-mail client.

Users who have pending activities will receive a status mail on a weekly basis, as a reminder of the open ones.
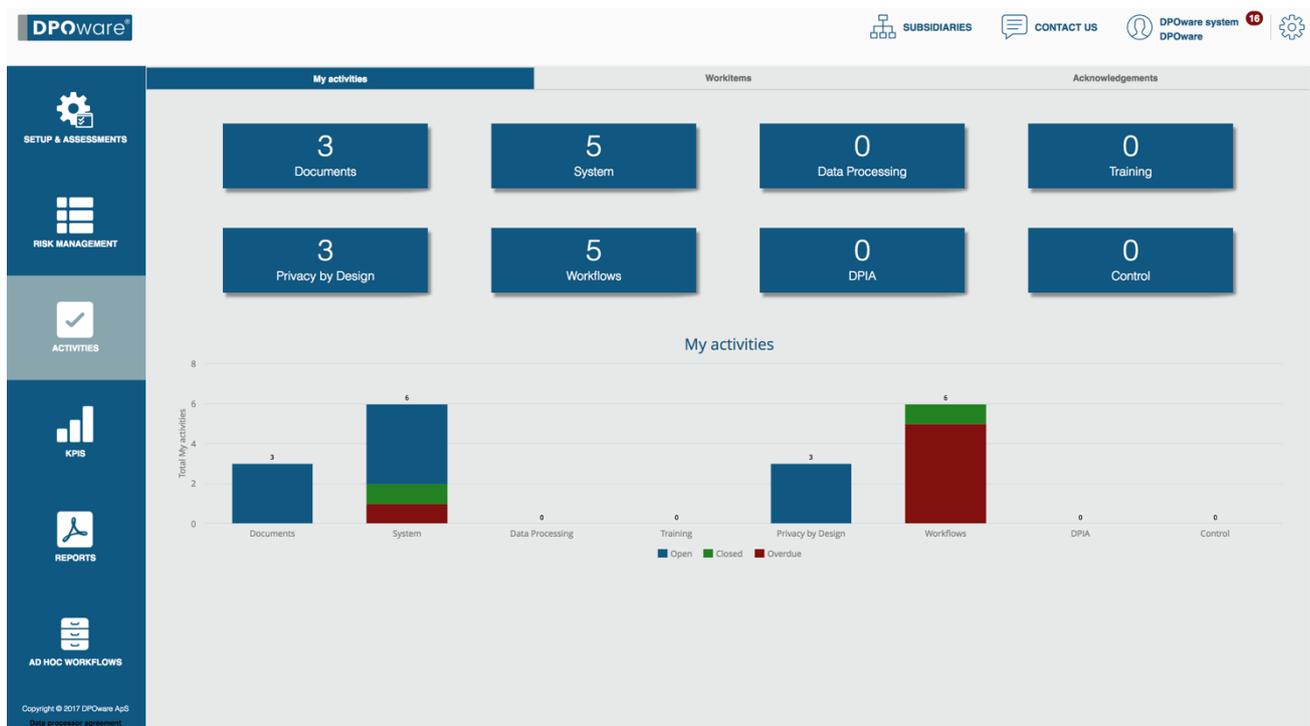

Standard reports and data views

The solution provides a number of standard reports and data views to support the legal requirements, both for updated data processing documentation as well as to support different compliance processes.

KPIs to monitor the good and the bad

There are 20 predefined KPIs, which have been defined to deliver an overview of compliance activities. All KPIs are supported by charts with drill down functionality to the underlying data-records, and records can be accessed directly from the KPI view.
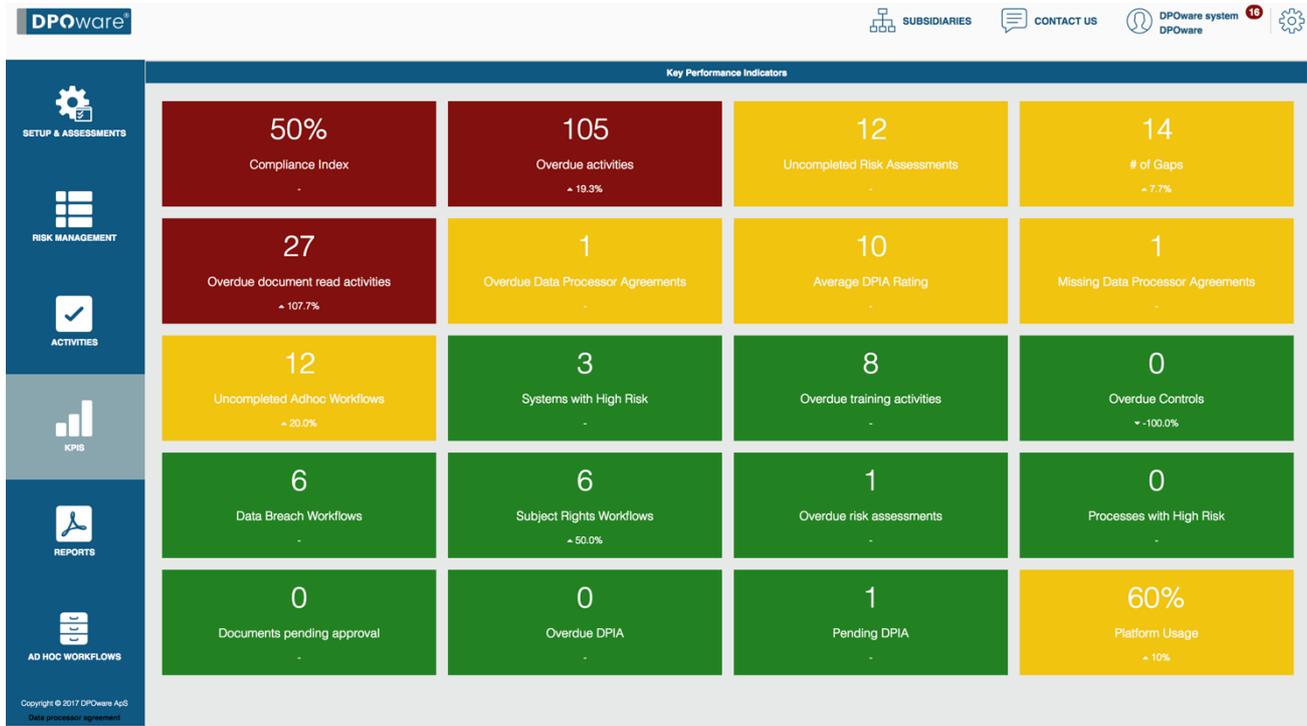
The triggers defining when a KPI should be red, yellow or green are set-up at account level, and the user can easily define the scope of KPIs which are viewable.