

5 REPORTS

EVERY COMPLIANCE LEADER
SHOULD USE TODAY



Prepared By:
Onspring

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FINDING YOUR DIAMOND-IN-THE-ROUGH



Depending on your role and your organization's tools, it's likely you're either swimming in reports or are desperately searching for data to fill one. Neither are ideal situations.

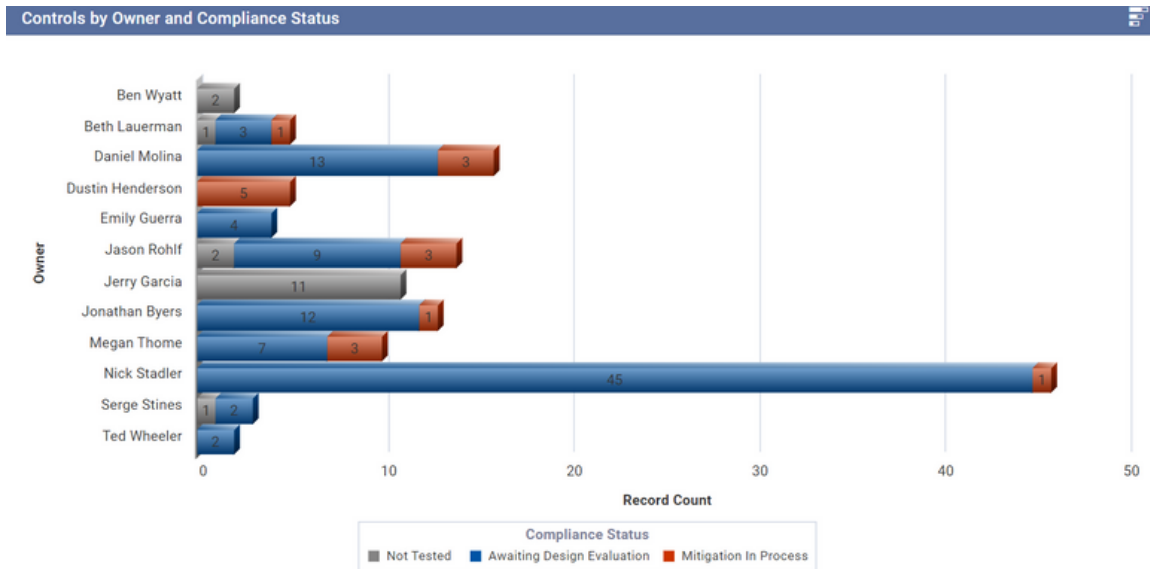
Or perhaps the time and labor you spend composing reports leaves you with no energy to curate meaningful insights from your hard-earned data.

So what's a smart, hard-working, go-getter like yourself supposed to do?

Focus on reports that drive decisions and use smarter, better tools to curate data, so you can focus time on insights and actions.

In this guide, you'll find the five most valuable reports for compliance leaders today, and why they can be game-changers for you too.

01 CONTROLS BY OWNER & COMPLIANCE STATUS



With so many moving parts to your role, you need immediate visibility into the holistic controls landscape. Additionally, as a leader you need an understanding of the quantity of work assigned to each team member so you can best diversify and manage workflow.

Problem: Compliance leaders need to determine the distribution of controls across owners, identify where control testing is still in progress, and where issues or concerns reside within the control environment.

Solution: This real-time report presents all controls subject to evaluation by both assigned control owner and the overall compliance status.

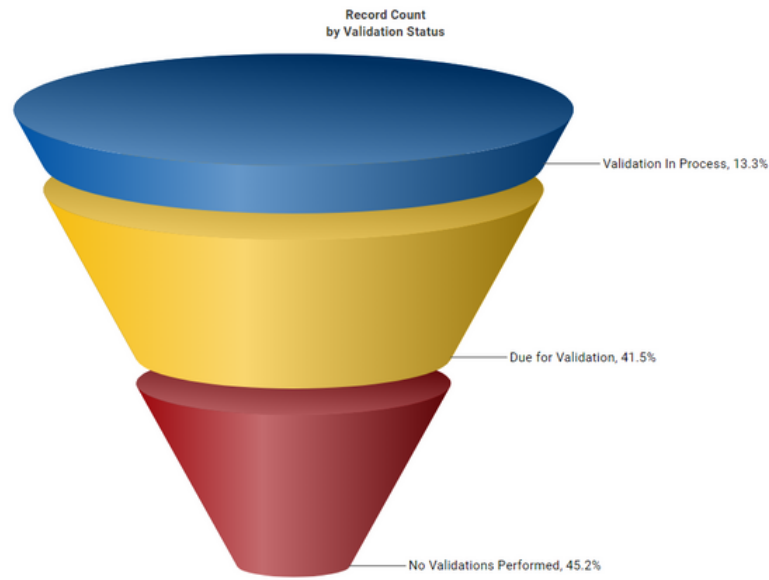
Benefit: Demonstrate your compliance posture in the context of any impacted organizational element by modifying this report to see controls grouped by regulations, departments, control type, processes, and others.

Data Needs:

- Controls list
- Review phases for controls
- Assigned control owners
- Status of each control

02 CONTROLS BY VALIDATION STATUS

Controls by Validation Status



To prevent an organization from scrambling to identify root causes when issues arise, best-in-class compliance teams frequently conduct reviews of all controls to confirm operations are active and valid.

Problem: With the number of controls an organization has in place, it can be near impossible to keep an accurate list of controls that are current, validated or in review.

Solution: This real-time report provides the compliance team with validation that control owners have confirmed if controls are implemented, not implemented, or a compensating control is used.

Benefit: Compliance teams can use this information to focus on independent testing plans that identify potential issues and concerns.

Data Needs:

- Controls count
- Validation status (formula)

03 OPEN TEST REPORTS BY TEAM MEMBER

My Open Design Tests

Record ...	Control	Assigned Tester	Design Te...	Design Test Re...	Overall Status	
<input type="checkbox"/>	DT-139	3.1.10	Patrick Gregg	Follow-up	Open	In Process
<input type="checkbox"/>	DT-140	3.1.10	Patrick Gregg	Initial	Open	In Process
<input type="checkbox"/>	DT-144	PG	Patrick Gregg	Initial	Open	In Process
<input type="checkbox"/>	DT-148	3.1.12	Patrick Gregg	Initial	Open	In Process
<input type="checkbox"/>	DT-253	CP2.14	Patrick Gregg	Initial	Open	In Process
<input type="checkbox"/>	DT-259	CP1.2	Patrick Gregg	Initial	Open	In Process
<input type="checkbox"/>	DT-265	CP1.2	Patrick Gregg	Initial	Open	In Process

My Open Operating Tests

Record ...	Control	Assigned Tester	Operating Test Re...	Overall Status	
<input type="checkbox"/>	OT-191	3.1.10	Patrick Gregg	Open	In Process
<input type="checkbox"/>	OT-693	CP2.14	Patrick Gregg	Open	In Process
<input type="checkbox"/>	OT-694	CP1.2	Patrick Gregg	Open	In Process

A critical aspect of every compliance program is testing controls to ensure they meet the stated objectives and operate as expected.

Problem: In many organizations, the responsibility of testing controls is distributed across multiple individuals, who are left juggling tasks without an efficient method to track and prioritize their work queue.

Solution: These lists provide your control testers a consistent format for managing their individual responsibilities, and dynamically present data based on the team member.

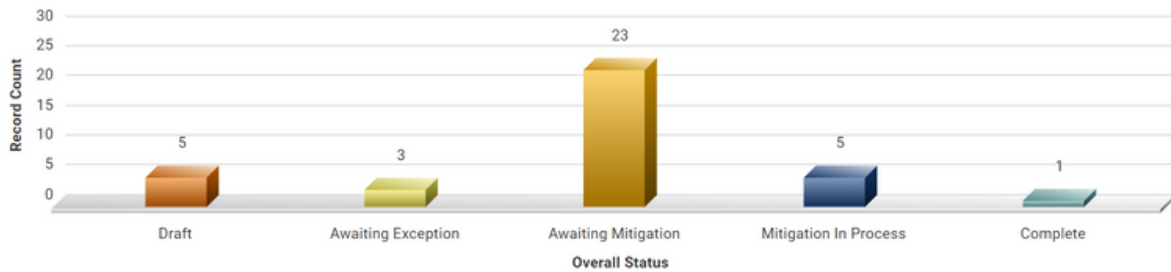
Benefit: Individual status changes in these reports feed into higher-level status reports, providing leadership with increased visibility, efficiency and consistency across all testing plans.

Data Needs:

- Tests assigned by individual
- Controls associated to tests
- Test phases
- Status of tests

04 COMPLIANCE FINDINGS BY OVERALL STATUS

Compliance Findings by Overall Status



Filter By		Create Content					
Title	Primary Owner	Primary Re...	Severity	Detailed Finding	Overall Status	Related Control	
Additional PCI Coverage needed	Ted Wheeler	Compliance	High	Control testing determined that system logging processes need to be expanded to specifically monitor PCI-impacted date	Mitigation In Process	P1.10	
Encryption not enabled		Compliance	High	The configuration was turned off	Awaiting Mitigation	SOC2 3.1	

A key output of the controls testing process is the identification of findings and issues within the control environment that compliance team members will need to resolve.

Problem: Without a constant flow of updates from myriad test owners, leaders lack critical visibility into findings across the organization.

Solution: This real-time report allows you to monitor the status of all findings noted during the evaluation process. Modify this report to see organizational elements impacted by the issues, such as regulations, departments, control type, processes, and others.

Benefit: Track compliance findings through their entire life cycle by automating results based on ineffective control tests. This proactively ensures issues are properly assigned in real time and resolved.

Data Needs:

- Complete Design Test
- Complete Operating Test

05 ACTIVE CONTROLS BY INHERENT RISK RATING



Knowing the risks confronting your business is part of compliance's role; and so is knowing the controls put in place to mitigate the impacts of those potential risks.

Problem: Most organizations don't have the means to connect their controls to inherent risks in a meaningful or actionable manner.

Solution: This real-time report visualizes the relationship between your organization's risk and corresponding controls.

Benefit: Evaluate the distribution of controls based on risk significance, prioritize controls based on their risk level, and identify controls that do not have a related risk.

Data Needs:

- Controls classification
- Risk tolerance
- Related inherent risk

NEED HELP WITH REPORT CREATION?



Onspring is no-code process automation software that connects data and teams to improve business intelligence, governance, alignment & resilience.

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