

# ComplianceLine 24-Hour Reporting Service



**Compliance Concepts, Inc.**

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## COMPLIANCELINE

### SERVICE OVERVIEW

ComplianceLine engages in the business of providing 24-hour toll-free telephonic answering, reporting and tracking of compliance concerns to assist in the identification of possible unethical, illegal or questionable behavior.

**Utilizing the combined 35 plus years of experience**, Compliance Concepts, Inc. and the ComplianceLine staff offer an affordable alternative to the development of an internal reporting process.

In addition to fulfilling the Federal government's guidelines, ComplianceLine provides an efficient and independent means of identifying and resolving employees' concerns regarding potential misconduct.

### FEATURES INCLUDE

An integral component of an effective compliance program is the establishment of a reporting mechanism that provides employees with a means by which to voice their concerns on compliance and other regulatory issues without fear of retribution. ComplianceLine tailors the calling process to "keep the door open" while maintaining the caller's anonymity.

01. 24/7/365 Call Center.
02. Unique Toll-Free number with Customized Greeting.
03. NO Call Queues Ever Used. Every Call answered by LIVE operator.
04. International Access via Direct Toll-Free or International Toll-Free Service.
05. Online Case Management for Reporting and Analysis.
06. Customized Directives to ensure calls are handled the way You Want It.
07. Immediate Notification 24 Hours-a-Day for Severity situations.
08. Senior Management with Over 35 Years Combined Experience.

### RISK SPECIALISTS

Calls are received 24 hours a day, 7 days a week, by professional Compliance Risk Specialists (CRS). CRS are skilled in the art of interviewing and documenting information via telephone. Each new CRS must complete 120 hours of in-house training before ever being allowed to field live calls for ComplianceLine customers.



### COMPLIANCELINE OBJECTIVES

The objective for ComplianceLine is to: 1) act as an integral component of the client's compliance program in order to assist with the detection and resolution of reported concerns; 2) Provide an avenue for employees and/or others to report serious concerns or violations, perceived or known; 3) Receive all calls as defined by the client's scope of service and protocol; 4) Treat all callers with respect in a professional and courteous manner; 5) Provide the client, and caller, with knowledgeable and skilled Compliance Risk Specialists trained in relative compliance issues.

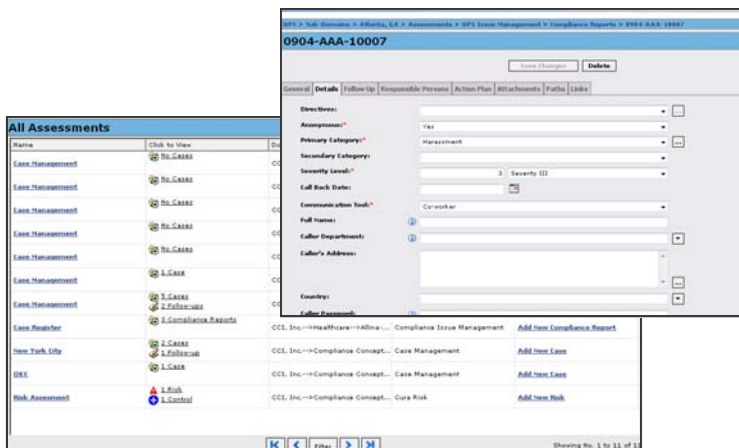
## SOFTWARE PLATFORM

The Compliance Concepts software platform, utilizing cutting-edge technology developed by Cura Software Solutions, instills the processes in the organization that allow for the assessment, management and monitoring of any Risk, Control, Event and Compliance items by using multiple frameworks and methodologies.

### BUSINESS FEATURES

- **Management of all Risk and Compliance** within one flexible, configurable solution. The CCI Web Platform (SaaS and ASP) service provides easy access to information with the ability to configure custom workflows.
- **Clarity Through Convergence.** CCI enables managers to improve their understanding of the compliance issues and exposures facing the business at an operational and strategic level.
- **Virtual Autonomy.** CCI enables each department to track its data in its own unique workflow, parameters, calculations, and metrics. This allows staff to retain responsibility and independence in their business areas.
- **Improved efficiency** through simple to use e-mail notification and web interfaces. The solution streamlines the identification, assessment, review and treatment processes.

**Enhanced business decision** through superior reporting and analysis.



### COMPLIANCELINE MODULE SPECS

The ComplianceLine module is one of several exclusive methodologies developed by CCI that can be loaded into the web platform and made available to your users.

### RxRAC FEATURES INCLUDE

- Complete configuration of parameters
- Customized views, workflows and steps
- Key Risk Indicators
- User Defined Metrics
- Link between elements in the system
- Tasks, actions, notifications and escalations
- Full Audit Trails
- Analysis and extensive reporting
- Trending and Snapshot capabilities
- Import / Export functionality
- Unlimited Hierarchy operational setup

For more information contact  
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-or-

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