



Roles, Groups, Scopes, and Workflows

Dynamic compliance management with sophisticated permissions ensures compliance processes align with your organizational structure.

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.



ROLES

Roles define the functionality accessible to an employee, based on position, responsibilities, monitoring requirements, oversight, or other activities relevant to your firm.

- 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 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, or department).

- 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 preclearance requirements, or configure business rules by group

Align compliance activities with your firm's roles, responsibilities, and reporting structures to ensure comprehensive oversight and document your compliance program.

COMPLY™



SCOPES

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

- Ensure 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, such as trading preclearance, cryptocurrency transactions, gifts and entertainment disclosures, outside business activities, or other compliance activities relevant to your firm
- Can be organized with as many layers of approval as your business requires

Contact us to
learn more at
sales@comply.com



COMPLY™