



GLOBAL COMPLIANCE MANAGEMENT SOLUTION (GCMS)













360° view of Regulatory Compliance Obligations, Corporate Event along with Compliance Evidences across all global entities along with Real Time intuitive dashboards enabling Board to take pre-emptive measures to control Risks

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THE PROBLEM STATEMENT

Regulatory Risks are amongst **TOP 3 BUSINESS RISKS*** globally as there are multiple laws (*Central, State, Municipal & Industry Specific Rules*) applicable which are changing frequently, are difficult to understand, involves multiple stakeholders (*internal / external*) to manage

 Legal Know how	<ul style="list-style-type: none"> • Deciphering Law books, rules, sections into Regulatory obligations • Comprehensiveness of coverage, language constraints, interpretation • Availability of expert legal advisor with localised know how..
 Multiplicity of laws	<p>Basis geographies, jurisdictions, regulators, locations, industry, nature of business, etc</p>
 Increasing Legal Complexities	<ul style="list-style-type: none"> • Frequent changes in laws • Introduction of new Regulations, Sections, Provisions • Availability of information in timely manner
 Data Consolidation & Management	<ul style="list-style-type: none"> • Tracking applicability and reporting of compliance entity, business, location, department wise • Ensuring data is secured & audit-able
 Co-ordination for compliance	<ul style="list-style-type: none"> • Internal - Within teams, departments, geographies, group companies, • External - Clients, vendors, service providers, auditors, etc
 Reporting Requirements	<ul style="list-style-type: none"> • On average, business needs upto 40 compliance reports annually • AGM, Board Meetings, Audits, M&A, Loans, Due diligence, etc
 Business impacts of Non-Compliance	<div> <div>  <p>License Revocation</p> </div> <div>  <p>Heavy Penalties</p> </div> <div>  <p>Imprisonment of KMP</p> </div> <div>  <p>Reputation Losses</p> </div> <div>  <p>Employee Attrition</p> </div> </div>

* [Allianz Most Important Business Risks 2020](#)

INTEGRATED SAAS PLATFORM

TWIN SOFTWARE ARCHITECTURE

- Use Regulatory Intelligence in multiple products - GCMS, CAMS, CSMS
- Push Regulatory updates seamlessly to each client / user
- Control Quality / consistency in Regulatory Intelligence

Centralised Software for creating, maintaining & updating Global Regulatory Intelligence; provides feed to all our RegTech Solutions

GLOBAL REGULATORY INTELLIGENCE (RI)

- Workflows for creation, approval updation & audits of RI
- Copy of Bare Acts, Codes, Regulations Standards, draft regulations, codes of practice and guidelines

STANDARDISED INPUTS

Well Researched, tested, comprehensive formats (62 columns, 5 sheets) to create & update Regulatory Intelligence; **logical segregation of Compliance Obligations in 12 Headers**

REGULATORY UPDATES & IMPACT ASSESSMENTS

- Workflows to research, approve and analyse & update each regulatory change by different stakeholders
- Change Impact, copy of doc issued by Regulators & change history is created & maintained for all future references

Hosted in AWS DC, India

API BASED INTEGRATION

Allows options to correct, audit Regulatory Intelligence proactively / basis feedback

HOSTED ON AMAZON WEB SERVICES

REGULATORY UPDATES & CHANGES ARE AUTO PUSHED

RegTech Solutions gets Real time Regulatory update feed; without any manual intervention

Enterprise Solutions

GLOBAL COMPLIANCE MANAGEMENT SOLUTION

Centralised framework to manage an extensive range of regulatory obligations across entities globally; efficiently manage cross geography, functional and industry mandates

Professional Solutions

COMPLIANCE AUDIT MANAGEMENT SOLUTION

RI integrated with audit framework to help audit firms to ensure auditors are aware of all provisions of various laws applicable on clients, automate regulatory audit processes

COMPLIANCE SERVICE MANAGEMENT SOLUTION

Help Firms offering compliance service to manage their service deliveries, workflow of interaction between compliance team and client, client service and plethora of other services

Could be hosted at any of 60+ AWS DCs globally (in compliance with data localisation requirements; currently in India & Frankfurt)

OUR GLOBAL LEGAL COVERAGE

Indicative list of countries GCMS can cover

NORTH AMERICA

- COSTA RICA
- GUATEMALA
- MEXICO
- U.S.A

EUROPE

- | | | |
|-----------|---------------|------------------|
| • AUSTRIA | • HUNGARY | • PORTUGAL |
| • BELGIUM | • ICELAND | • ROMANIA |
| • CYPRUS | • IRELAND | • RUSSIA |
| • CZECH | • ITALY | • SLOVAKIA |
| REPUBLIC | • LUXEMBOURG | • SPAIN |
| • DENMARK | • MALTA | • SWEDEN |
| • FINLAND | • NETHERLANDS | • SWITZERLAND |
| • FRANCE | • NORWAY | • UKRAINE |
| • GERMANY | • POLAND | • UNITED KINGDOM |

ASIA PACIFIC

- | | |
|--------------|---------------|
| • INDIA | • MALAYSIA |
| • BRUNEI | • MYANMAR |
| • BANGLADESH | • PHILIPPINES |
| • CHINA | • SOUTH KOREA |
| • CAMBODIA | • SINGAPORE |
| • HONG KONG | • SRI LANKA |
| • INDONESIA | • TAIWAN |
| • JAPAN | • THAILAND |
| • MACAU | • VIETNAM |

SOUTH AMERICA

- ARGENTINA
- BRAZIL
- COLOMBIA
- PERU
- VENEZUELA

AFRICA

- | | |
|---------------|----------------|
| • ALGERIA | • NIGERIA |
| • BOTSWANA | • SENEGAL |
| • GHANA | • SOUTH AFRICA |
| • IVORY COAST | • SUDAN |
| • KENYA | • TANZANIA |
| • LIBERIA | • TUNISIA |
| • MALAWI | • UGANDA |
| • MOROCCO | • ZAMBIA |
| • MOZAMBIQUE | • ZIMBABWE |
| • NAMIBIA | |

MIDDLE EAST

- BAHRAIN
- EGYPT
- ISRAEL
- KUWAIT
- OMAN
- QATAR
- SAUDI ARABIA
- TURKEY
- UAE

OCEANIA

- AUSTRALIA
- NEW ZEALAND
- PAPUA NEW GUINEA



**70+ COUNTRIES
COVERED**



**100+ LEGAL
PARTNERS**



**3,500+ LAWS
MAPPED**



**500+ LEGAL
PROFESSIONALS**

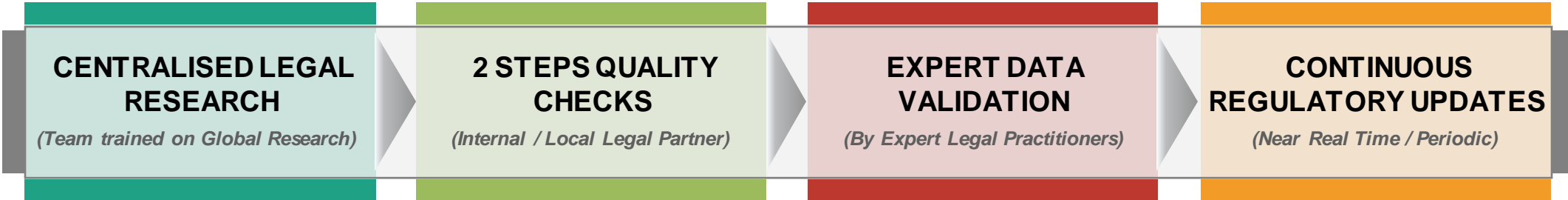
SALIENT FEATURES

- ✓ Comprehensive coverage across federal, state, local & industry specific laws
- ✓ Simplified legal language for easy understanding
- ✓ Categorisation of compliance basis its nature and actions required
- ✓ Event Based advisory helps identify compliance requirements across laws
- ✓ Risk categorisation of compliance basis penal provisions defined in laws
- ✓ Continuous legal research and auto updation of compliance obligations with impact assessment



REGULATORY INTELLIGENCE - HIGHLIGHTS

Multi Step curation & updation process; ensure quality & consistency



Bifurcating Obligations basis regulatory expectations

ONE TIME (~8%)	RECURRING (~30%)	ON-GOING (~50%)	EVENT BASED (~12%)
Licenses, Approvals, Registrations, etc	Monthly, Quarterly, Bi-Annual, Annual Filings	Registers, Procedures, Displays, Provisions, etc	Launches, Intimations, Modifications, etc
Usually High Focus Area		Often missed in manual compliance reporting	

Risk Categorisation basis Penal Provisions & Business Impacts

EXTREME	HIGH	MEDIUM	LOW
<i>Imprisonment / Operational Impacts</i>	MONETARY PENALTY		
Create custom <u>5x5 RISK MATRIX</u> ; plot entity wise <u>IMPACT</u> & <u>LIKELIHOOD</u> for each compliance obligation			



Create awareness of regulatory obligations

- Comprehensive coverage of all applicable laws
- Simplified language for easy understanding of compliance obligations
- Common checklists for consistent approach



Establish authority & responsibility matrix

- Enable accountability, checks and controls
- Bring all internal and external stakeholders on common platform
- Configurable forms, fields, and workflows



Single platform for compliance controls

- Report adherence with compliance
- Manage document with role based rights to upload & download
- Mails for event base alerts, notifications & escalations



Reduce Risks with proactive monitoring

- Real time configurable reports and dashboards
- Centralised visibility into non compliance, issues and inefficiencies
- Enables proactive control & better decision making

SYSTEM FUNCTIONALITIES

Build on most advanced platform & hosted on AWS, our solution is feature rich, intuitive and easy to use

Workflow Management

- 5 layers of defence - Performer, Approver, Group Owner, CXO & Auditor
- Compliance Organogram in-line with reporting structures, cross functional collaborations
- Role based access at each level
- Approve, Reject, Reallocate compliance tasks
- Integrate 3rd parties (Vendors & Service providers) for compliance reporting
- Track expenses, interest, penalty, service fee
- For event base compliance, restrict trigger rights, define if approver required & approver

Auto Populated Calendars

- Gets Auto populated for entire fiscal in January; enables effort planning & budgeting
- Real time auto updation basis legal changes
- Colour coding on lines of heat map for each date basis compliance status and criticality
- Compliance Surveys are auto triggered on last date of the period; configure periodicity basis criticality and maturity of the function
- Define Pre & Post compliance dependencies along with target dates for different user
- Intuitive calendar with list view options

Document Management

- Define type of documents & maximum size of documents allowed to be uploaded
- Configure Compliance proof policy for performer & approver for 14 categories of compliance
- Advance search for download basis multiple parameters; download multiple documents
- User can upload multiple documents, tag them as Evidence, Supporting doc & Working Sheet
- Add Confidentiality tag for each document
- Temper proofing of document - Once uploaded, deletion, modification not allowed

Intuitive Reports & Dashboards

- Interactive dashboards with drill down, trend charts, location & function wise heat maps
- Global Heat Map with drill down to country & state levels
- 5x5 Risk chart basis custom risk categorisation
- "Matrix Report", an innovative report builder.
 - Allow users to create & save multiple report templates with 10 filers and ~40 columns
 - Download report in Excel, CSV, Pdf
 - Schedule report for auto mailing on defined date & time every week / month

Value Added Innovative Features

- Integrated Ticket Centre allowing users to raise support tickets, get resolution, rate responses
- Manuals, Videos to help user learn the system
- Option to customise Notification, Reminder settings; define frequency & periodicity
- Internal chat Application: chat with other active users, leave offline messages
- Audit Trails for changes in compliance status by user & User rights, settings by Admin
- Contact Directory
- Customise Regulatory Update mailer frequency

USER TYPES & ROLES

Description	Performer	Approver	Group Owner	CXO	Auditor
Legal Resources					
Act / Law / Rule - Key Notes	✓	✓	✓	✓	✓
Compliance Checklists - View	Assigned to self	Assigned to team	Assigned to team	Assigned to entity	Assigned to self
Compliance Checklists - Download	Option available in Premium Version				
Act Documents - Bare Act, Rules, Amendments, Filing Forms & Formats - View & Download	✓	✓	✓	✓	✓
Key Definitions - Search & View	✓	✓	✓	✓	✓
Legal Updates - Notifications, Clarifications, Press Release, Amendments, etc	✓	✓	✓	✓	✓
Newsletter - Legal Updates	✓	✓	✓	On-Demand	On-Demand
Compliance Reporting					
Update Compliance - Date, Status, Cost, Penalties, Remarks, etc	✓	✓	✓	-	-
Approve / Reject reported Compliance	-	✓	✓	-	-
Upload - Compliance Evidence	✓	✓	✓	-	-
Upload - Compliance Worksheets	✓	✓	✓	-	-
Tag uploaded document Confidential	-	✓	✓	-	-
Report On-going check cycle	✓	-	-	-	-
Trigger Corporate Events	✓	-	-	-	-
Reports					
Matrix Reports - Create your own reports	✓	✓	✓	✓	✓
Download Reports in Excel & PDF	✓	✓	✓	✓	✓
Print Compliance Reports	✓	✓	✓	✓	✓
Save reports formats for future reference	✓	✓	✓	✓	✓
Automate generated Reports - Get reports on mail at set frequency; access based data	✓	✓	✓	✓	-
Dashboards					
Heat Maps - Entity, Location & Function wise	-	✓	✓	✓	✓
Dashboards - Analytical & Responsive	✓	✓	✓	✓	✓
Download Dashboards	✓	✓	✓	✓	✓
Notifications, Reminders & Escalations					
Reminders & Escalations - Configure own matrix	✓	✓	✓	-	-
Notifications - Status Update, Legal Update, Change of Compliance Due date, New Compliance addition	✓	✓	✓	-	-

IMPLEMENTATION PROCESS

Business Discovery & Law Compilation

- Identify project team
- Business discovery using questionnaire
- Publish list of applicable laws on business
- Workshop with functional users to understand:
 - Business operations
 - Product / Services
 - 3rd party contracts
 - Other business aspects attracting Regulatory obligations

Compliance Checklist Finalisation

- Prepare & Share compliance checklist:
 - Location wise
 - Function wise
 - Act / Rule wise
- User interactions to agree on law wise applicable compliance
- Identify Ownership Matrix:
 - Performer
 - Approver
 - Group Owner

Application Configuration

- Instance Setup on AWS
- Configure Application:
 - User Level Controls
 - Responsibility & Authority Matrix
 - Auto reports
 - Reminders
 - Escalations
 - Notifications
 - Management User
 - Compliance Auditor
- Activate End Users

User Trainings & Application Go-Live

- Classroom pilot & configuration testing
- Training of admin & Users (Onsite/Remote)
- Application Go-Live
- Post Go-Live Support
- Handing over admin control to client
- Handing over to On-going support team

Lifetime Sustenance Support



Software, Infra
Updates & Upgrades



Regulatory Research
& Updates



Legal cum
Technical R&D

On Demand Support



Operational
Support



Business Impact
Assessment



Compliance
Health Checks

ORGANISATIONAL BENEFITS OF IMPLEMENTING GCMS



OUR SOLUTION PORTFOLIO

ENTERPRISE SOLUTIONS

- Global Compliance Management Solution
- Legal Matter Management Solution
- Risk & Controls Management Solution

PROFESSIONAL SOLUTIONS

- Compliance Audit Management Solution
- Compliance Service Management Solution
- Case and Litigation Management Solution

OUR LOCATIONS



DELHI / NCR

CORPORATE OFFICE

865-A, Tower - B1, Spaze I-Tech
Park | Sector 49, Gurgaon - 122002



JAIPUR

KNOWLEDGE CENTRE

32, Gopal Tower, Dadu Marg,
GopalBari, Jaipur - 302001



MUMBAI

REGIONAL OFFICE

WeWork, JVL R, Opp. L&T
Business Park, Andheri, Mumbai



AHMEDABAD

BRANCH OFFICE

A2/512, Palladium Complex,
Praladnagar, Ahmedabad - 380015

PARTNER LOCATIONS: BENGALURU, CHENNAI, HYDERABAD, PUNE, TANZANIA

GET IN TOUCH WITH US

+91-9560-83-4141 | info@lawrbit.com | www.lawrbit.com

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