



INCIDENT TRACKING

DEMONSTRATE STRENGTH IN COMPLIANCE

OCR Solutions Incident Tracking

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OCR's Incident Tracking System provides a platform for your employees to self-disclose identified errors and demonstrate corrective actions. The solution also enables you to implement a uniform and consistent corporate-wide policy and internal review process; you are able to evaluate all incident reports, audit findings, identify corrective actions and when necessary, prepare voluntary disclosures for the government.

Key Benefits

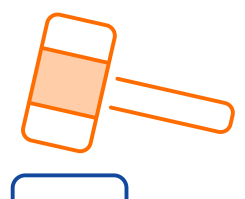
- Enables you to easily and confidentially track and manage incidents or matters of concern across your entire organization
- Provides management reporting and tracking of Matters Under Review (MUR) by compliance officers, auditors, or legal staff
- Record type of incident and related details
- Configures compliance workflow steps to allow you to quickly and effectively address identified concerns
- Prepare, file and track voluntary disclosures sent to the regulatory government agency

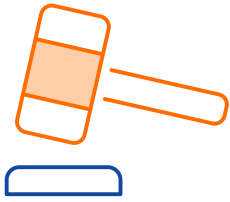
About OCR

As the foremost expert on Governance, Risk and Compliance (GRC) for international trade, OCR is trusted by Fortune 500 multi-national corporations, government agencies, and small businesses worldwide, to ensure compliance for cross-border transactions through a comprehensive solution that improves operations, complies with government regulations, saves money and provides a competitive advantage.

OCR'S CLIENTS SPAN DIVERSE INDUSTRIES,
INCLUDING AEROSPACE, ELECTRONICS AND DEFENSE

For more information or a demo, please contact us at sales@ocr-inc.com





FEATURES	BENEFITS
REVIEW WITH CONFIDENCE	<ul style="list-style-type: none"> Assign the investigation to the correct personnel in compliance, legal, or functional staff with relevant due dates at various levels of the incident review Identify possible corrective actions that address the core issues causing compliance concerns Disseminate the required corrective actions to relevant stakeholders Assign completion dates for implementation of corrective actions Provide an auditable account of the incident investigation, track it from discovery, verify the violation, identify corrective action and issue a final report Additional corrective actions or further investigatory steps can be assigned and tracked to completion based upon the U.S. Government's response
IDENTIFY REGULATION OR AGENCY INCIDENTS OR ISSUES OF CONCERN	<ul style="list-style-type: none"> Dual use control under EAR Military controlled goods under ITAR or EAR Office of Foreign Assets Control (OFAC) sanction Anti – boycott compliance (BIS 6051-P) Foreign Corrupt Practices Act (FCPA) Bureau of Alcohol, Tobacco, Firearms, and Explosives (BATFE / ATF)
EXTENSIVE MANAGEMENT TRACKING CAPABILITIES	<ul style="list-style-type: none"> Provide executives of compliance and legal departments with added visibility Comprehensive oversight of investigative activity such as weekly, monthly or quarterly summary of incident types Configurable dashboard with alerts and notifications delivers a total overview of the process in an easily accessible, single location Ability to dive deeply into additional details within Pending Transactions including incidents with status: <ul style="list-style-type: none"> - Matter Under Review, Voluntary Disclosure Filing, Internal Audit Review, Management dashboards include reports, alerts, and notifications for upcoming tasks and corrective actions
SEAMLESS INTEGRATION WITH OTHER THIRD PARTY SYSTEMS	<ul style="list-style-type: none"> Open standards, insert open API, integration ready Seamless real-time integration with Oracle, SAP and other ERP, CRM, Supply Chain Management, or other enterprise systems Integration support for any system including client developed software
SECURE COMMUNICATION	<ul style="list-style-type: none"> Support secure access protocols and user authentication to Active Directory using LDAP, SAML 2.0 and Single Sign-On (SSO) tools Secure web forms support any secure transmission with 256 bit encryption and storage in a Relational System (RDBMS), such as, MS, SQL or Oracle Need to know information permissions assigned based on role Robust access control

Trade Compliance is Your Responsibility, Automating the Process is Ours



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