



LogicGate is a powerful process and workflow management platform that transforms mission-critical risk and compliance activities by enhancing controls, increasing flexibility, and reducing risk. Each use case on LogicGate is managed as a self-contained 'Process', which contains all of the rules, workflow, logic, and reports to run each process effectively. LogicGate's standard best practice process templates listed below can be rapidly deployed to any LogicGate environment as stand-alone process applications, or can be linked together for greater insights and visibility.



## Enterprise Risk Management (ERM)

### Workflows:

Risk Register, Risk Assessments, Risk Mitigation

### Description:

Risk teams can build a robust risk register by defining potential risks associated with activities across the enterprise. Capture everything from vendor interactions and finance, to sales and marketing activity. Using the risk register, easily create and assign assessments to stakeholders from across your business units. Emails are automatically triggered to risk owners, and follow-up reminders are sent when their assigned task is coming due. Capture quantitative risk dimensions such as impact and likelihood to standardize scoring across your various business units. Qualitative questionnaires ensure critical commentary is added to risk data. Build powerful heatmap reports to see risk trends over time.

### Linkable Processes:

Policy Management



## Policy Management

### Workflows:

Policy Inventory, Document Versions

### Description:

LogicGate's policy and procedure management process provides a centralized repository that enhances collaboration and improves the quality of controls across the enterprise. Our proven workflows ensure effective policies, procedures, and other control documents can be requested, written, updated, and followed by your lines of business. The process ensures the right employees are reviewing and approving key organizational artifacts.

### Linkable Processes:

Enterprise Risk Management, Compliance Action Plans, IT Risk, Employee Compliance



## Internal Audit

### Workflows:

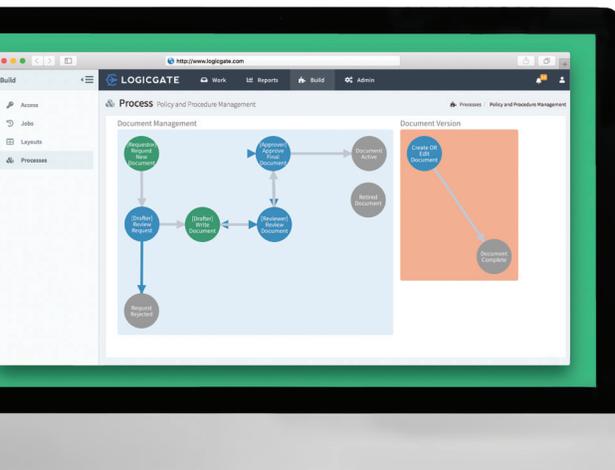
Audits, Control Documentation, Questionnaires, Findings, Action Items

### Description:

Our audit management process can be used by internal audit teams to efficiently and effectively run an end-to-end audit. Create audits of many different types and use the audit to drive document requests and questionnaires to business users. Use the process to log and disposition findings and then create action plans with accountability assigned to action items.

### Linkable Processes:

Compliance Action Plans





## IT Risk

### Workflows:

Business Processes, Systems, Third Parties, Controls, Threat Actors, Threat Events, Threat Mappings, Risk Assessments, Risk Mitigations

### Description:

Use LogicGate's information risk process to drive workflow that identifies and captures relevant business processes and information assets across the enterprise. Pinpoint relevant technology assets and classify their underlying data by risk level. Customize your inventory of threat actors and threat events and configure rules to assess for capability, intent, and targeting. Use the repository of control frameworks to ensure compliance with industry best practice standards. Map controls to business processes, assets, and risks and identify deficiencies versus standard frameworks such as NIST, COSO, ISO, to name a few. Define custom risk appetites which determines mitigation strategies applied to risks over a particular tolerance level. Then create accountability by assigning mitigation activities with due dates to the lines of business.

### Linkable Processes:

Policy Management, Third-Party Risk Management



## Third-Party Risk Management

### Workflows:

Vendor Repository, Vendor Risk Assessments, Third-Party Risk Register

### Description:

LogicGate's vendor risk assessment process allows organizations to more effectively manage third-party risk and track vendor relationships. Using our process, you can create and assign third-party risk assessments for vendor onboarding or quarterly/annual updates. Simply enter the email address of the vendor and LogicGate will send them a link with an assessment to complete. Automated rules will route the completed assessment to the correct work queue, notifying the appropriate parties. Our template risk questionnaire can be configured to match your unique business rules with a simple drag-and-drop interface.

### Linkable Processes:

IT Risk, Procurement and Contract Management



## GDPR Compliance

### Workflows:

Individual Rights Request Portal, Data Processing Activity Records, Data Breach Notifications, Data Protection Impact Assessments

### Description:

By operationalizing key requirements outlined in the EU's General Data Protection Regulation, LogicGate's GDPR compliance processes enable your organization to achieve compliance. Collect data access, data correction, data erasure, data transfer and data processing restriction requests from your customers via a public portal and track the requests through completion. Ensure the appropriate records are kept for all relevant data processing activities. React quickly after a personal data breach occurs to make sure appropriate authorities are notified within the 72 hour required window. Assess high-risk data processing operations to understand potential risks and implement safeguards as needed.

### Linkable Processes:

Third-Party Risk Management



## Business Continuity Planning

### Workflows:

Significant Business Disruptions, Critical Business Functions, Mission Critical Systems, Business Continuity Plans/Procedures, BCP Execution

### Description:

The business continuity planning process helps you prepare so your organization can continue operating in the event of a major disruption or disaster. Identify the significant business disruptions that may impact your organization. Understand what functions and systems are critical to your business and develop procedures to ensure they are resilient enough to be maintained during a significant business disruption. Once your business continuity plan is built, develop workflows to facilitate the execution of your plan and make sure the required communications are sent and appropriate steps are taken.

### Linkable Processes:

N/A



## Compliance Action Plans

**Workflows:**

Action Plans, Action Plan Items

**Description:**

Increasing regulatory enforcement actions are disrupting your core business activities — resulting in reactionary, costly engagements to prove compliance. LogicGate's compliance action plans process enables your organization to achieve compliance by ensuring compliance action items are completed on-time via an automated process driven by due dates.

**Linkable Processes:**

Policy Management, Internal Audit



## Incident Management

**Workflows:**

Incidents, Incident Tasks, Incident Communications

**Description:**

The incident management process provides a centralized location where incidents reported across the enterprise by employees, customers or third-parties can be logged, reviewed, dispositioned, and resolved. The solution helps limit risk exposures by immediately addressing known incidents and escalating to the right person. LogicGate's incident management template can be easily customized to handle the most common to the most complex incident management cases. Using our flexible workflow engine, you can tailor the process to match how you handle incidents at your business - making it ideal for anything from multi-faceted event reporting to simple case ticketing.

**Linkable Processes:**

N/A



## Employee Compliance

**Workflows:**

Employees, Certifications, Requirements

**Description:**

LogicGate's employee compliance process enables you to easily manage the many certifications and attestations that your employees are required to complete. Ensure that your employees have read all of the necessary policies, procedures, and completed other important requirements, by building an automated workflow that kicks-off periodically based on the dictated timing interval. By implementing a single source of truth for employee compliance, you can reliably and centrally track your employee's attestations and training, allowing you to take immediate action if an employee is not in compliance.

**Linkable Processes:**

Policy Management



## Procurement & Contract Management

**Workflows:**

Contract Requests, Vendor Repository

**Description:**

The procurement and contract management process helps you ensure the appropriate due diligence is performed before partnering with a new vendor or accepting a new service provider. Representatives from any business unit can submit contract requests to the procurement team via a request portal. Holistically manage contract across the enterprise by making sure that vendors are qualified and approved by Procurement before contracting begins. Securely facilitate the collection of AP details and AP set-up.

**Linkable Processes:**

Third-Party Risk Management

LogicGate's control repository includes controls, requirements, and guidelines from various standards and regulations. For each item listed below, each individual control, requirement, or guideline is stored as a separate object in a repository within LogicGate. These individual controls, requirements, or guidelines can then be linked to other processes, such as Information Security Risk Assessments or Internal Audit, to help enable compliance.

LogicGate will update the controls repository based on the latest content available for any of the following standards or frameworks: HIPAA Security Standards ISO 27001 Controls • ISO 27002 Controls • ISO 27018 Controls • NIST 800-53 Controls • NIST Cybersecurity Framework • PCI DSS Requirements • SOC 2 Trust Services Criteria 23 NYCRR 500 Requirements