

R3 Compliance as a Service Capabilities

In today's complex regulatory environment, meeting compliance has become a challenging but vital endeavor for an organization to continue to compete for business. Spearheaded by our specialized Governance, Risk, and Compliance (GRC) team, R3 offers Compliance as a Service (CaaS) solutions to help assess their compliance readiness, adhere to regulatory requirements and industry standards, and future-proof their compliance audits.

*Our GRC team has **over 80 combined years of compliance experience** helping organizations achieve their strategic objectives and navigate the interconnected nature of governance, risk management, and compliance.*

Our CaaS solutions include but are not limited to internal gap analyses, remediation, policy and process development, and training to help organizations mitigate risks and maintain a culture of compliance. Additionally, our GRC team consists of certified appraisal members, allowing us to be directly involved in assisting with external audits as well.

Our GRC team has expertise in the following frameworks:

- ISO 9001: Quality Management
- ISO/IEC 20000-1: IT Service Management
- ISO/IEC 27001: Information Security Management
- NIST 800-171/CMMC
- SOC 2
- CMMI for Development
- CMMI for Services
- PCI
- HIPAA
- ITIL

Our core CaaS offerings include the following:

- **Risk Assessments:** Our comprehensive risk assessments identify, analyze, and evaluate potential risks that could impact operations and objectives and help identify mitigation and contingency plans.
- **Gap Assessments:** For organizations just beginning their compliance journey or that have not undergone an external audit, we perform a gap assessment that evaluates your current state against compliance requirements, identifies gaps to close, and ultimately assess your compliance readiness. We then create a detailed compliance report that creates a roadmap to obtain compliance certification.
- **Internal Audits:** For organizations that already have the certification, we can conduct internal audits on a one-time or annual basis to ensure ongoing compliance and that the proper activities continue to be performed by the organization. We create a detailed compliance report for stakeholders and regulators, helping you meet compliance requirements.



- **External Audit Preparation:** We help organizations prepare for external audits and then support them through the process, interacting with the auditors on your behalf. We have extensive experience working with a couple of external audit partners but can also work with your selected auditors.
- **Remediation and Mitigation Efforts:** We can help remediate any gaps in your compliance status, from managed IT and cybersecurity services to projects for policy creation and professional IT implementation services.
- **Policy/Process Development and Documentation Management:** To give you a jumpstart in meeting compliance requirements, we develop comprehensive compliance policies and processes tailored to your organization.
- **SharePoint PAL Development:** We can design a dedicated Process Asset Library (PAL) to house your compliance documentation based on your organization's specific compliance requirements and business needs.
- **Training and Awareness:** We offer employee training and awareness campaigns to promote a culture of compliance within the organization.
- **Customized Compliance Solutions:** We can work closely with your team to design a customized compliance solution that meets a range of compliance needs.

Partnering with R3 for your compliance needs provides a cost-effective way to future-proof your compliance audits, mitigate organization risks, and reduce the operational burden on your internal teams.