

# About Unified Compliance

Unified Compliance is the integration of processes and tools to aggregate and harmonize all compliance requirements applicable to an organization. The defining requirements include the ability to [achieve the goals outlined in this StratML rendition]

The Unified Compliance Framework is used by leading organizations in every sector of business and government and is the most widely used GRC framework in the world. Using the UCF, our customers make faster and more informed decisions, streamline compliance initiatives, and net a 40% to 50% reduction in compliance-related costs. Thousands of companies rely on the Unified Compliance Framework to streamline their GRC initiatives.

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## Unified Compliance Framework (UCF)

### Stakeholder(s):

#### Dorian Cougias :

*Co-Founder — Compliance Critical Mass — In the spring of 2004, Unified Compliance co-founder, Dorian Cougias sat in a Miami conference room as blue-chip CIOs cited eerily similar complaints about the crushing mass of compliance mandates they had to address. Globalization, regulation, and increasing business complexity made their compliance challenges a nightmare. Sarbanes-Oxley was law. HIPAA was coming. It seemed like new laws and requirements were popping up every day. The process was manual and the risk of error was enormous. Project silos. Duplication. Skyrocketing costs. Uncertain results. Like an overtaxed transit system, each route traveled from A to B, but the network as a whole was hugely inefficient.*

#### Companies :

*The Challenge — Why, Dorian asked, should companies waste time and money starting from scratch each time a new regulation was introduced? Why should they handle each regulation separately when they had already addressed it in a previous requirement? If you could find the common elements between compliance mandates and show where they overlapped, why couldn't you leverage the pieces you already had in place? You could select the new mandates, see the immediate impact, and easily assess the risk. That would dramatically simplify the process of scoping, defining, and maintaining compliance. It would save companies millions of dollars in time and resources. And that would be the ultimate game changer.*

#### Marcelo Halpern :

*Compliance Meets Courtroom — The idea of “harmonized compliance” wasn't new. There were a few attempts to harmonize compliance controls, but none actually solved the two biggest challenges: making harmonized audits legally defensible and maintaining the control lists as new requirements became law. Dorian sought out Marcelo Halpern, a partner at Latham and Watkins (now a partner at Perkins Coie). They examined other frameworks and discovered that very specific controls were combined with more general controls. This made it next to impossible to identify specific requirements for different subsets of mandates from the original laws and standards. Even worse, as each new Authority Document was added, the controls became even less accurate and more difficult to maintain. After much research, Dorian and Marcelo theorized that the only way to ensure a legally defensible compliance process was to create a unified framework with a maintainable set of harmonized controls, based 100% on compliance mandates.*

#### Organizations :

*The UCF makes it easy for any organization to scope, define, and maintain their compliance requirements, as well as gather evidence to provide proof.*

#### UCF Software Partners :

*Leading software partners like HP, RSA Archer, MetricStream, McAfee, IBM and Software AG use the UCF as the foundation of their GRC applications.*

#### HP

#### RSA Archer

#### MetricStream

#### McAfee

#### IBM

#### Software AG

## Vision

Compliance with mandates

## Mission

To enable organizations to scope, define, and maintain their compliance requirements.

## Values

**Integration:** Scope: The UCF is the only compliance database that fully integrates critical legal and technical data to meet the needs of compliance officials, subject area experts, and lawyers.

**Customization:** Creation of customized controls lists takes only seconds by selecting the specific industries, market segments, and geographies that apply to your organization.

**Definition:** Define: The UCF is built completely upon the mandates themselves, and each mandate is transparently presented to allow you to customize any Common Control to meet your specific geographic and vertical requirements.

### Transparency

**Interconnection:** Maintain: Due to the interconnected requirements established by the UCF methodology, you can automatically track the changes required by new or updated laws and quickly assess any incremental changes required, rather than having to complete an entirely new assessment. In addition, the UCF team continues to map new Authority Documents every day.

**Evidence:** Gather Evidence: The UCF is the only patented framework that enables any GRC solution to automatically gather evidence from any security solution.

**Monitoring:** This allows for the continuous monitoring, reporting, and audit data collection.

### Reporting

### Auditing

## 1. Mandates

*Define rules to extract mandates from citations.*

Extract Mandates: Define rules to extract Mandates from Citations within Authority Documents.

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## 2. Controls

*Map mandates to controls.*

Map Mandates to Common Controls: Map Mandates from all Citations to Common Controls and when necessary create new Common Controls.

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### 3. Accuracy

*Optimize the accuracy of the mapping of mandates to controls.*

Report Mapping Accuracy: Calculate the percent of match accuracy when tagging Mandates and mapping them to Common Controls.

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## 4. Implementation

*Standardize the structure for auditing implementation of the controls.*

Standardize Audits: Leverage a standardized structure for auditing the implementation of the Common Controls.

### Administrative Information

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