

Risk and Audit Management Software Since 1999

Symbiant is a modular software solution designed for risk and audit management. Modular means each component can act independently whilst sharing common data. This means the solution can be expanded as your requirements develop. For example you might start by using the action tracking module, users who login will only see that module. At a later date you may switch on Audit assessments, you will instantly be able to share and use data you have already entered on to the system, you can still restrict who has access to each module, this keeps the system clean and uncluttered.

Symbiant Cloud. The solution is hosted on our cloud platform. A cloud platform is a group of servers that are connected together to give extra resilience to the service. If a server or component fails the other servers take up the load. Our main services are hosted at Reynolds House in Manchester, UK. We backup our clients' data each night and send the encrypted files to another data centre in Nottingham, UK. All client data is stored in mainland UK.

Our contracts are a revolving 30 days, which means there are no long term tie-ins. You can cancel at anytime giving just 30 days notice.

What this means for you is, our solution is flexible and can be customised to meet your requirements. It's affordable with prices starting at only £200 per month with no minimum term commitment. It's up and ready to use instantly with all the IT and security issues already taken care of.

Some of our clients

Symbiant is so versatile it is used across all sectors of industry and is so affordable it is used by charities.

Charities to Banks, public sector to PLC.

The Harrods logo is written in a green, cursive script.The logo for CONCERN worldwide, with "CONCERN" in large green letters and "worldwide" in smaller green letters below it.

FRUIT OF THE LOOM®



Save the Children®

The logo for Rothschild, featuring a small square icon with a star and the text "ROTHSCHILD".

Grafton Group plc



Why Symbiant?

Pay Less Get More

The term you get what you pay for, doesn't always mean if you pay more you get better. Some solutions really are ridiculously overpriced. For some you're paying for the sales people, the marketing teams, debt, etc. Symbiant has none of that. We are a streamlined debt free software development company with no excess fat. Everything goes into our software and looking after our clients. Our product is so good we have no need for sales people, it literally sells itself.

We have been successfully trading since 1999. With Symbiant the only hidden surprises are our exceptional service and amazing software. We have no hidden or extra charges, our time and help is freely given.

Our software is the most advanced on the market, we are perpetually developing our solutions to make them better and keep them up to date with client requirements and technology.

Unlike other vendors we do not charge our clients for our latest software, our users get upgraded for free whether it is new features or new modules. Once you're a client we do our best to keep you happy.

We have no set up fees and you can cancel with just 30 days notice. You can try our solutions on a no obligation 30 day free trial, to arrange this please visit our website and click on the free trial link.

<https://www.symbiant.co.uk>

Working Papers

Plan an audit with time sheets and dynamic assessment questionnaires, you can also add risks and any related control assessments. The working papers module is flexible and allows you to build and plan in sections that make sense to you.

Working Papers File Modules Options Help Amy Smith

Security Audit ISO 27001

Owner: Amy Smith **Reference:** GHT54 **Date:** Feb 11, 2016

Additional Information: The Audit Team is to conducted a process-based audit, focused on significant aspects/risks/objectives as required by ISO 27001. The audit methods to be used are interviews, observation of activities and review of documentation and records. The structure of the audit will be accordance with the audit plan and audit planning process.

Contents

- Overview
- Mind Map
- Engagement Letter
- The Team and notifications
- Audit Paper
- Related risks and control tests

Audit Paper

Audit Name	Details	Test	Result	WP Ref.	Ex'n Ref.
ISO IEC 27001					
Data Centre Audit	The Audit Team is to conducted a process-based audit, focused on significant aspects/risks/objectives as required by ISO 27001. The audit methods to be used are interviews, observation of activities and review of documentation and records. The structure of the audit will be accordance with the audit plan and audit planning process.	Security Audit		1.1	
		Have you reduced the risk of theft, fraud, or misuse of facilities by making sure that all prospective employees understand their responsibilities before you hire them?	Yes All checks are up to date.	1.2	
		Do you use contractors	Yes	1.3	
		Have you reduced the risk of theft, fraud, or misuse of facilities by making sure that all prospective contractors understand their responsibilities before you hire them?	Yes	1.4	
		Have you reduced the risk of theft, fraud, or misuse of facilities by making sure that all third-party users understand their responsibilities before you allow them to use your facilities?	No Third party checks are not carried out, it is assumed the contractors will carry out these checks.	1.5	1
		Do you screen all contractors before you hire them, especially when they will be asked to provide sensitive services?	No It is assumed the firm supplying the contractors already do these checks	1.6	
		DEFINE SECURITY ROLES AND RESPONSIBILITIES		1.7	
		Do you have a security Policy?	Yes	1.8	
		Are your organization's security roles and responsibilities defined in accordance with your information security policy?	Yes Policy enclosed	1.9	2, 3
		Please explain what you do		1.10	

Post Review Summary Exceptions

- The companies used to provide contractors have signed a declaration stating they carry out the required checks.
- Have you seen evidence of the policy, can you provide a copy
- Policy attached

Related risks and control tests

Risk	Control	Test	Result	WP Ref.	Ex'n Ref.
Customer Service					
Customer complaints	Staff Training	How do attendees rate the courses?	Don't make much difference most users believe the courses do not enhance their product knowledge	1.1	
		Did all the managers attend the courses they were due to	No (supply details) Max Goodwin and Julie Crabtree	1.2	
		Do users need more or less training	Need More (supply details) Organisational skills, time and management.	1.3	1

Post Review Summary Exceptions

- There are no further courses in this area. May need to look at alternatives.

Audit Assessments

Create audit questionnaires from templates or as required. Give ownership of questions to auditors.

Assessment File Modules Options Help Amy Smith

Audit Report

Name	Category
Data Centre Audit	ISO IEC 27001

Date	Lead Auditor	Reference
February 4, 2016	Amy Smith	

Details
The Audit Team is to conduct a process-based audit, focused on significant aspects/risks/objectives as required by ISO 27001. The audit methods to be used are interviews, observation of activities and review of documentation and records. The structure of the audit will be accordance with the audit plan and audit planning process.

Division Global

Notify	Location	Notes
Matt Smith 00077 07079955	Symbiant	

Assistant Auditors Ben Combe Start Date Feb 29, 2016 End Date Mar 5, 2016

Objective Confirm that the management system conforms with all the requirements of ISO 27001. Confirm that the organisation has effectively implemented the planned quality management system, to confirm that the management system is capable of achieving the organisation's policy objectives

Scope All of Department

Additional Overview of the Department The department has been active for 17 years and all IT processing, sales generation and matters affecting company data and storage are originated here. There are forty staff employed on a full time basis. A well organised and structured Quality Management System exists and ISO certification has been of benefit for general business administration and in the tendering process.

Next Audit Due Feb 4, 2017

Questions

Security Audit

Have you reduced the risk of theft, fraud, or misuse of facilities by making sure that all prospective employees understand their responsibilities before you hire them? assigned to Ben Combe answered by Ben Combe

No
 Yes

All checks are up to date.

Choose file...
Create a Tracked Issue for this response...

Do you use contractors? assigned to Ben Combe answered by Ben Combe

No
 Yes

Additional comments...

Choose file...
Create a Tracked Issue for this response...

Because you answered "Yes" to "Do you use contractors", please also answer:

Because you answered "Yes" to "Do you use contractors", please also answer:

Have you reduced the risk of theft, fraud, or misuse of facilities by making sure that all prospective contractors understand their responsibilities before you hire them? assigned to Ben Combe answered by Ben Combe

No
 Yes

Additional comments...

Choose file...
Create a Tracked Issue for this response...

DEFINE SECURITY ROLES AND RESPONSIBILITIES

Do you have a security Policy? assigned to Ben Combe answered by Ben Combe

No
 Yes

Additional comments...

Choose file...
Create a Tracked Issue for this response...

Because you answered "Yes" to "Do you have a security Policy?", please also answer:

Are your organization's security roles and responsibilities defined in accordance with your information security policy? assigned to Ben Combe answered by Ben Combe

No
 Yes

Policy enclosed

1. BS EL.pdf

Choose file...
Create a Tracked Issue for this response...

Review Exceptions:
1. Have you seen evidence of the policy, can you provide a copy — Amy Smith
2. Policy attached — Ben Combe
Add update...

Review Exceptions:
1. Have you seen evidence of the policy, can you provide a copy — Amy Smith
2. Policy attached — Ben Combe
Add update...

Dynamic conditional questions. Questions appear based on previous responses

Because you answered "Yes" to "Do you use contractors", please also answer:

Raise points and exceptions to individual responses.

Review Exceptions:
1. Have you seen evidence of the policy, can you provide a copy — Amy Smith
2. Policy attached — Ben Combe
Add update...

Create remedial action with a single mouse click

Action Tracker

Give ownership of actions and track to completion. Automated emails notify users of new actions and those coming up to the due dates. Reports show you performance details and sticking points. Actions can relate to audits, controls, incidents or risks.

Reference	Summary	Division	Rating	Status	Next Due Date	Next Due Assignee	Last Modified On
120	Issue with multiple file attachments and multiple actions with multiple assignees	Global	Medium	Outstanding	13th November 2019	Paul Admin, Amy Smith, Ben Combe, Susan Macky	04 Feb 2016
74	process on ordering goods	Global / UK / Marketing	Medium	Outstanding	None Due		04 Feb 2016
15	Payments made without review	Global / USA / Finance	High	Outstanding	24th October 2017	Amy Smith	04 Feb 2016
22	Strategy not communicated	Global / Europe / Sales	High	Outstanding	15th June 2018	Susan Macky	04 Feb 2016
24	Strategic objectives are contradictory	Global / UK / Finance	High	Implemented	23rd May 2018	Ben Combe	04 Feb 2016
23	There is no mechanism for tracking the success of the strategy	Global / UK / Sales	Low	Outstanding	24th March 2019	Paul Admin, Ben Combe	04 Feb 2016
105	ISO 9001 Failure for inspections	Global / UK / Marketing	Medium	Outstanding	3rd March 2017	Amy Smith	04 Feb 2016
25	The relevant software and guide needs to be tested in anger by a user	Global / USA / IT	High	Outstanding	2nd December 2016	Paul Admin	04 Feb 2016
69	Bribery Act 2011 controls for Employees	Global	High	Implemented	None Due		10 Feb 2016
5	Leavers are still being paid	Global / UK / Finance	High	Outstanding	30th April 2018	Amy Smith	10 Feb 2016
10	No checks for duplicate payments.	Global / USA / Finance	High	Partly Implemented	25th November 2015	Amy Smith	10 Feb 2016
19	Employment contracts have not been finalised with the new team and payroll has not been set up.	Global / UK / Finance	Low	Outstanding	31st March 2016	Susan Macky	10 Feb 2016
72	Bribery Act 2011 controls for agents	Global	High	Closed Not verified	None Due		10 Feb 2016
21	Adherence to Performance Management System requirements	Global / Europe / Finance	High	Implemented	2nd June 2016	Susan Macky	11 Feb 2016
8	There is no analysis of customers and buying habits	Global / UK / Sales	High	Outstanding	30th April 2018	Ben Combe	31 Mar 2016
12	No control over credit notes	Global / USA / Finance	High	Outstanding	29th March 2016	Ben Combe	11 Apr 2016
2	Stock count by product not feasible	Global / UK / Sales	High	Outstanding	None Due		04 Feb 2016
7	TV ad production invoices are not supported by rate card and details	Global / UK / Marketing	High	Outstanding	15th November 2017	Susan Macky	04 Feb 2016

Action owners keep you up-to-date with developments and progress and can attach supporting documentation images or web links.

Action #2.2

Please read the enclosed document "Guidance Notes on Bribery Act" and create a new internal document outlining the parts of the act we need to comply with. We need a list of the risks we are exposed to.

Assigned To Susan Macky, Paul Smyth **Due Date** Saturday, September 30, 2017

Status Implemented

Paul I have put the document up on the File Manager, can you take a look, make any changes and put it back up again please. [Reply...](#)

— Susan Macky updated on Thursday, February 4, 2016

Made the revisions required and uploaded the document. [Reply...](#)

— Paul Smyth updated on Wednesday, February 10, 2016

Update Status / Add Comment

100% Complete

Close on save

Simple - Clean - Intuitive

Risk Registers

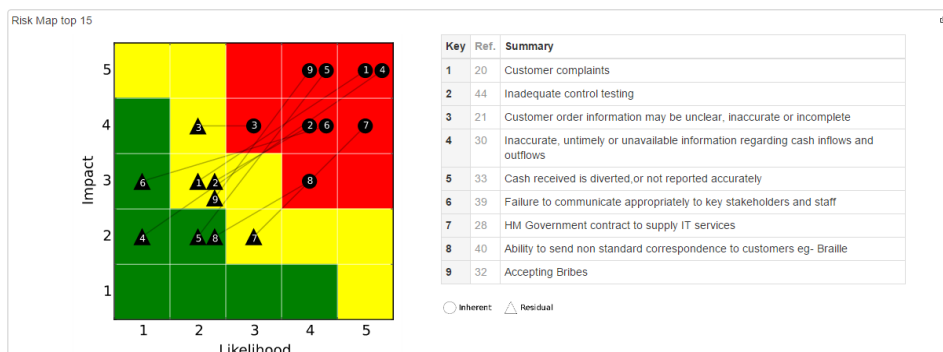
Risk can use multiple scoring sets for different types of risks and appetites.

Reference	Summary	Inherent Score	Residual Score	Appetite	Risk Owner	Division
20	Customer complaints	25	6	9	Ben Combe	Global
30	Inaccurate, untimely or unavailable information regarding cash inflows and outflows	25	2	12	Ben Combe	Global/UK
33	Cash received is diverted, or not reported accurately	20	4	9	Amy Smith	Global/USA/Finance
28	HM Government contract to supply IT services	20	6	9	Ben Combe	Global/UK/IT
40	Ability to send non standard correspondence to customers eg- Braille	12	4	10	Amy Smith	Global/Europe
32	Accepting Bribes	20	6	6	Amy Smith	Global/UK
21	Customer order information may be unclear, inaccurate or incomplete	12	8	9	Ben Combe	Global/UK
39	Failure to communicate appropriately to key stakeholders and staff	16	3	9	Ben Combe	Global
44	Inadequate control testing	16	6	9	Paul Smyth	Global/USA/IT
37	Lottery syndicate risk.	£62500	£750	£75000	Amy Smith	Global/Europe
28	HM Government contract to supply IT services	£740000	£1250	£30000	Ben Combe	Global/UK/IT
31	New London Office	£370000	£1850	£100000	Amy Smith	Global/UK
41	Staff incorrectly paid or not paid.	£500000	£1250	£50000	Amy Smith	Global
44	Inadequate control testing	\$495000	\$7500	\$50000	Paul Smyth	Global/USA/IT
43	Lack of effective controls	\$989999	\$5000	\$50000	Paul Smyth	Global/UK

If you wish you can attach controls directly to impact and likelihood, weight them and test them. If a control fails it will show you how it effects the residual score.

The screenshot shows the configuration interface for a risk. It includes sections for 'Inherent' and 'Residual' scoring, each with 'Impact' and 'Likelihood' dropdowns and a 'Score' field. Below these are 'Controls' sections where specific controls like 'Record customer complaints', 'Staff Training', 'Assessments', and 'After Sales Procedures' are listed with their respective weights. A 'Residual' section shows the resulting score (6) based on the selected impact (3) and likelihood (2). Other sections include 'Target', 'Related Risks', 'Indicators', and 'Review'.

Configure your own risk maps



Risk Indicators

Indicators can be numeric, percentage or a signal and set to run on a schedule. Indicators bubble up to make a key risk indicator.

Indicators File Modules Options Help Amy Smith

Key Risk Indicator

Reference 20 **Summary** Customer complaints

Assignee Paul Smyth **Schedule** Starts on 10th February 2016. Repeat every 2 weeks.

Indicators Add Risk Indicator

- Number of complaints received this month
Type: Value Importance: Medium
Range: 10 to 50
- As a percentage number of complaints resolved within 30 days
Type: Percentage Importance: High
Range: 85 to 95
- How would you rate this indicator?
Type: Red - Amber - Green Importance: Low

Add another Risk Indicator

Clean input interface with the ability to see previous responses

Key Risk Indicator

Reference 20 **Summary** Customer complaints

Assignee Paul Smyth **Schedule** Starts on 10th February 2016. Repeat every 2 weeks.

Indicators

	Current	Previous 1
Number of complaints received this month	19	15
As a percentage number of complaints resolved within 30 days	96 %	95 %
How would you rate this indicator?	Green	Green

Overall KRI rating: Green

Cancel Save

View the Indicators attached to risks from within the risk itself.

Residual

Impact 3 **Likelihood** 2 **Score** 6

(Dynamic) Residual

Related Risks

Indicators

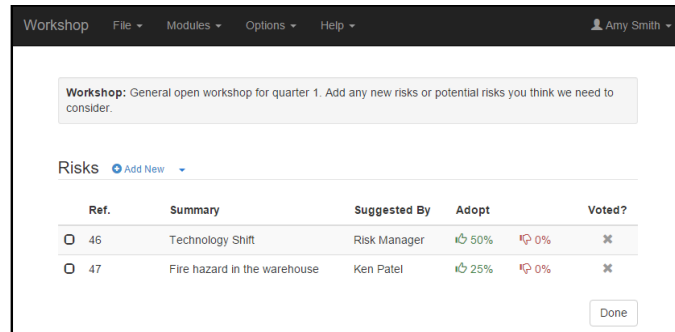
	Current
Number of complaints received this month	19
As a percentage number of complaints resolved within 30 days	96%
How would you rate this indicator?	Green

Overall KRI rating: Green

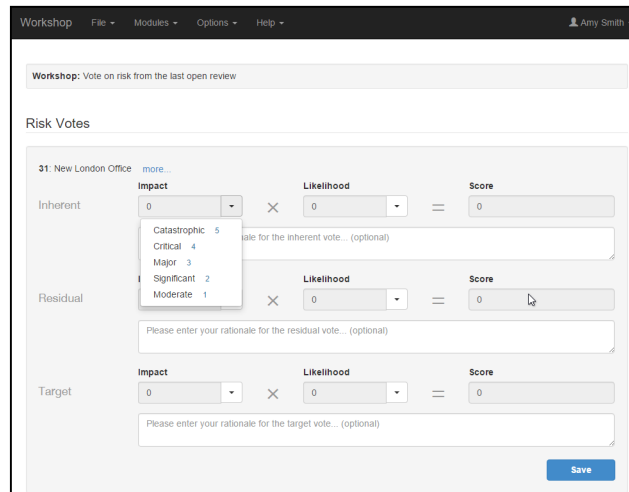
Review

Risk Workshops

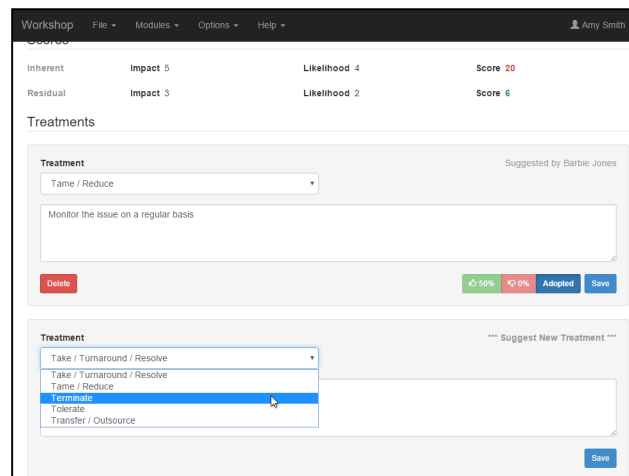
Risk Workshops are virtual meeting rooms that allow users to collaborate on risks. Members can add risks for review.



Using drop downs they can score the risks with up to 3 measurements and supply rationale for their choices



Then suggest and ballot treatment plans.



Collaborating with department heads is good for the business. It helps managers understand the risks they face and how to identify and measure risk.

Incident Reporting

Incident reporting can be used for many things including customer complaints. The reports and dashboards for incidents are extensive and provide a first class incident reporting tool.

Link incidents to risks or controls

The screenshot displays a web-based incident reporting interface. At the top, there's a navigation bar with 'Incident', 'File', 'Modules', 'Options', and 'Help'. The user 'Amy Smith' is logged in. The main content area is divided into several sections:

- Contact:** Mark Smith (Location: Symbiant, 1 Whitehall, Leeds, LS1 4HR).
- Incident Summary:** Reference 4, Division Global, Type Staff, Status New. Summary: Trip hazard.
- Details:** Our staff have reported a possible trip hazard in the main stairwell. A rung on the steps is loose.
- Category:** Danger to life. **Process:** Health and Safety. **Function:** Inhouse.
- Reported By:** Alison Cook. **Date Occurred:** Feb 13, 2015. **Date Resolved:** (blank).
- Rating:** Medium. **Impact:** Personal Injury. **Recovery:** Near miss, Internal.
- Action Taken:** Sent engineers to assess the location and supply remedy for immediate and long term action.

Below the incident details, there are sections for **Risks** and **Controls**, each with a table of linked items:

Ref.	Summary
44	Inadequate control testing
31	New London Office
20	Customer complaints

Ref.	Summary
7	Monitor production quality
18	Procedures in place
11	Outsource

The **Review** section contains the text: 'The stairs need to be fit for purpose, as a priority please fix this issue.'

Action #1: Assigned to Amy Smith, Due Date: Wednesday, August 24, 2016. Status: Implemented. Description: Arrange for our contracted builder to assess and repair the issue. If the cost will be over £10,000 we will need to get it authorised. If the cost is under this please ask them to commence immediately.

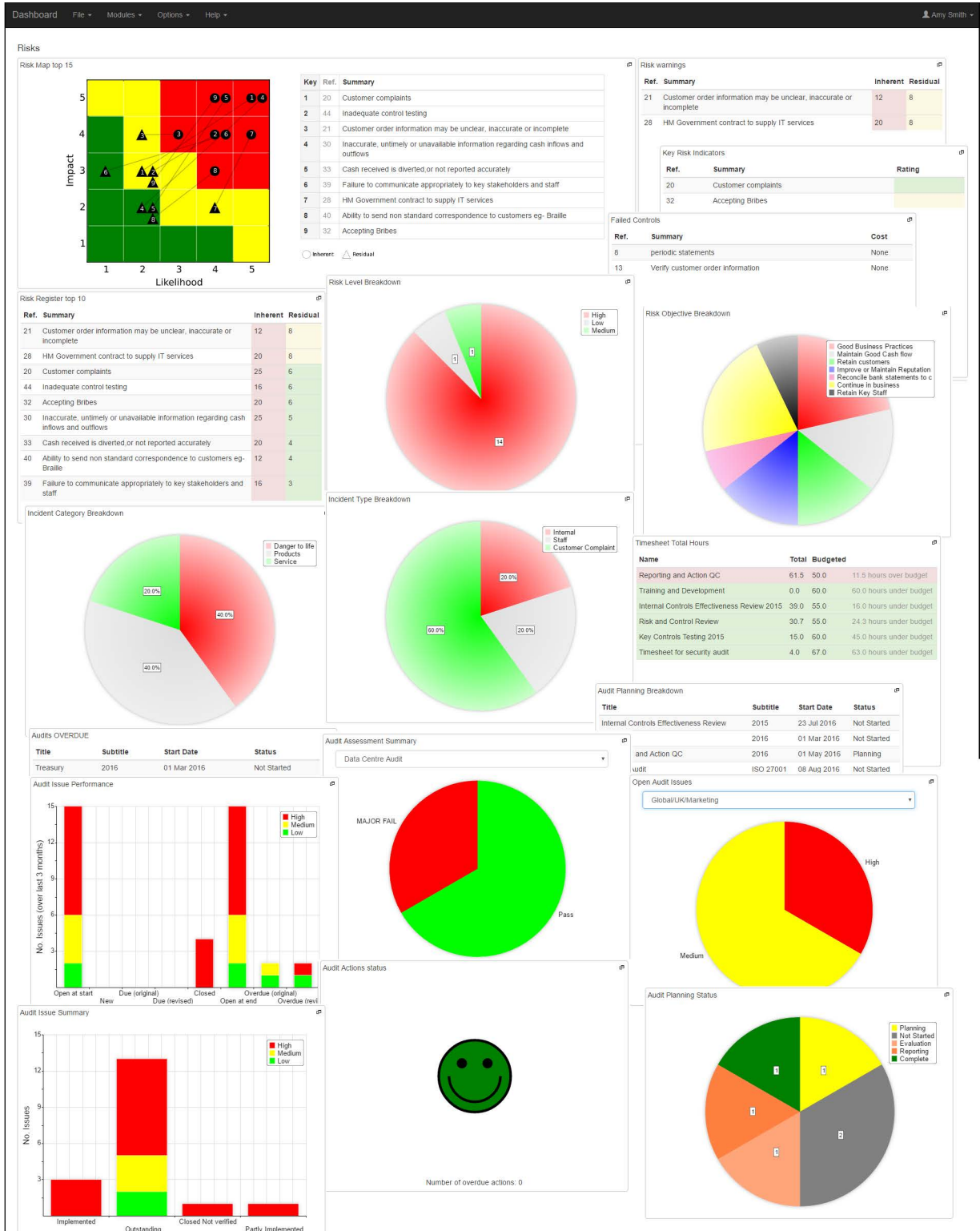
Action #2: Assigned to Paul Smyth, Due Date: Monday, October 31, 2016. Status: Implemented. Description: Notify all staff and put a notice at the top and bottom of stairs notifying the area is a trip hazard and to take care.

Each action has a progress bar and a 'Close on save' checkbox. Action #1 is at 0% complete, and Action #2 is at 100% complete.

Incidents can have multiple remedial actions.

Dashboards

Dashboards can be personalised by each user and show data relevant to that user. You can click on a dashboard to discover what that section is reporting on (drill down). Dashboards can be set to open when a user goes to a specific module so give a quick overview of the data or things they need alerting to.



Automated Emails

Each module has a set of automated email templates designed to notify users of all events based on your rules. These automated emails help run the system by keeping users informed of tasks they have to perform and escalating issues to management.

Audit Tracker	
Lookups	
Email Templates	
Action updates	+ Add ≡ Change
Comment responses	+ Add ≡ Change
New assignments	+ Add ≡ Change
Outstanding actions	+ Add ≡ Change
Overdue actions	+ Add ≡ Change

Overdue actions

4 total

- Overdue action
- Notice of High issue actions coming due in the next 4 months
- Actions becoming overdue in 30 days time
- Actions becoming overdue in 60 days time
- Overdue Actions Notice

Change overdue action

Remind
Number of days before item becomes overdue

Reply address
Email address for users to reply to.

CC

Block

Exclude

Subject
255 characters or less

Message header
Show available markers

Message body
Show available markers
When a user has more than one item requiring their attention, instead of sending multiple emails, one email is sent with this text duplicated for each item

Separator
Text to separate multiple items

Message footer
Show available markers

You can set up various intervals for the reminder emails so each email can be specifically worded and relevant. You can also add filters to target those emails to specific users, ratings, roles or divisions.

Reporting

Each module has its own set of comprehensive reports. You can filter and fine tune the reports to show you the data that you need to see. Many of the reports include statistical information, graphs and breakdowns as well as giving you the option to output to document or spreadsheet.

The image shows a user interface for generating risk reports. On the left is a sidebar menu under 'Risk Reports' with the following items: Risk Register (highlighted), Risk Audit, Risk Register Details, Enterprise Risk Register, Risk Register Audit, Risk Register Score History, Control Effectiveness, Key Risk Indicators, Control Failure Simulation, and Due / Overdue Actions. The main area contains an 'Options' panel with the following settings: 'Show/Group' is set to 'by Register' (with a dropdown menu open showing options: All, by Register, by Objective, Top 5, Top 10, Top 15, Top 20, Breaches, Warnings and Breaches); 'Inherent' and 'Residual' are checked; 'Target' is set to 'Risk Map' (with a dropdown menu open showing options: Risk Map, Tolerance, Distance from Appetite); and 'Separate Maps' is unchecked. Below the options is a 'Filters' panel with 10 filter rows: Division, Register, Scoring Set, Type, Level, Category, Objective, Owner, and Archived. Each row has a text input, an 'equals' dropdown, and a selection dropdown. The 'Archived' filter is highlighted in blue. At the bottom is a 'Template' dropdown set to 'Document' (with a dropdown menu open showing options: Document, Worksheet). A large blue 'Generate Report' button is at the bottom center.

Useful Links

Client Testimonials

<https://symbiant.co.uk/testimonials.php>

Don't just take our word for it, read what our clients say.

Client List

<https://symbiant.co.uk/customers.php>

See a range of well known brands who trust and use our software

Company Overview Video

<https://symbiant.co.uk/company.php>

Quick overview of Symbiant with some client feedback.

Risk Management

<https://symbiant.co.uk/risk-management.php>

Overview and video of the risk modules

Audit Management

<https://symbiant.co.uk/audit-management.php>

Overview and video of the audit modules

Overview Videos

<https://symbiant.co.uk/videos.php>

Collection of our overview videos

Contact Us

<https://www.symbiant.co.uk/contact.php>

Our contact details

Free Trial

<https://www.symbiant.co.uk/free-trial.php>

Arrange a free trial

Price List

<https://www.symbiant.co.uk/pricing.php>

We are so proud of our low prices we publish them online