



KirkpatrickPrice

Vendor Compliance Management Portal

KirkpatrickPrice Overview

KirkpatrickPrice is a licensed CPA firm, providing assurance services to over 200 clients in more than 40 states, Canada, Asia and Europe. The firm has over 10 years of experience in information assurance by performing assessments, audits, and tests that strengthen information security, and compliance controls.



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KirkpatrickPrice

Corporate Background

Corporate/Southeast Regional Office

KirkpatrickPrice, Inc.
1228 East 7th Ave., Suite 200
Tampa, FL 33605

Northeast Regional Office

KirkpatrickPrice, Inc.
350 Fifth Avenue, 59th Floor
New York, NY 10118

Midwest Regional Office

KirkpatrickPrice, Inc.
533 Church Street, #124
Nashville, TN 37219

West Coast Regional Office

KirkpatrickPrice, Inc.
1 Sansome Street, 35th Floor
San Francisco, CA 94104



Corporate Background

- Founded in 2005
- KirkpatrickPrice performs hundreds of internal control audits annually in 40 states, Canada, India, and Asia. Our team focuses on engagements based on the CFPB requirements, ISO Standards, PCI Data Security Standard, DBA Certification Standards, and the AICPA guidelines for performing SSAE 16, SOC 2, and SOC 3 audits.
- KirkpatrickPrice has 23 employees and each auditor holds a least one professional certification that directly relates to a critical phase of the audit.



Certifications



Certified Information
Systems Auditor[®]
An ISACA[®] Certification



Certified in the
Governance of
Enterprise IT[®]
An ISACA[®] Certification



Certified in Risk
and Information
Systems Control[®]
An ISACA[®] Certification



ACA Credit and Collection
Compliance Officer



Industry Memberships

KirkpatrickPrice maintains membership and/or regularly attends conferences provided by the following organizations:

- DBA International
- ACA International
- NARCA
- (ISC)²
- ISACA
- PCI SSC
- IIA Institute of Internal Auditors
- Collections & Credit Risk
- Debt Collections Synopsis
- Collection & Recovery Solutions



Compliance Manager

The Compliance Manager **Home** screen displays a dashboard containing all your established **Sites**. Clicking on each Site name will allow you to drill down into that site.

Progress indicators display real time status of each Site.

The screenshot shows the 'onlineaudit manager' logo in the top left and a user profile box in the top right containing the email 'compliance@kirkpatrickprice.com', 'My Settings', and 'Sign out'. A green navigation bar includes 'Home', 'Sites', 'Frameworks', and 'Questions'. Below this is a 'Home' breadcrumb and a 'Signed in successfully.' notification. The 'Notifications' section states 'There are currently no notifications.' The 'Site progress' section features a table with columns for 'Site', 'Assigned', 'Answered', 'Almost due', and 'Overdue'. Each row represents a site with corresponding progress bars and counts.

Site ^	Assigned	Answered	Almost due	Overdue
Agency A	280 / 294	10 / 294	0 / 294	0 / 294
Agency B	91 / 91	0 / 91	8 / 91	3 / 91
Collection Attorney A	91 / 91	8 / 91	0 / 91	13 / 91
Collection Attorney B	281 / 281	0 / 281	0 / 281	0 / 281
Data Provider A	212 / 212	0 / 212	0 / 212	0 / 212

Site Setup

During initial site setup, Site facilitators (**Users**) will be established and **Questions** may be assigned via pre-established or custom **Frameworks**.

The screenshot displays the 'online audit manager' interface. At the top left is the logo, and at the top right is the user email 'compliance@kirkpatrickprice.com' with links for 'My Settings' and 'Sign out'. A green navigation bar contains 'Home', 'Sites', 'Frameworks', and 'Questions'. Below this is a breadcrumb trail: 'Home > Sites > Agency A'. A secondary navigation bar includes 'Info', 'Users', 'Assigned Questions', and 'Documents'. The main content area is titled 'Site Info' and lists: 'Name: Agency A', 'Days until a question is due (after assignment): 30 days', 'Auditor: Compliance Auditor', and 'Site Visit: Not Scheduled'. An 'Edit' button is located at the bottom of the 'Site Info' section.

Site Functionality

When the Site user logs in they see only their assigned questions.

Filtering & Grouping are available for quick access to questions needing attention.

The screenshot displays the 'Online Quizzes Manager' interface. At the top right, the user is logged in as 'pci@raveneye.com' with links for 'My Settings' and 'Sign out'. The main navigation bar includes 'Home', 'My Assigned Questions', 'Reports', 'Assign Questions', and 'Users'. The current view is 'Assigned Questions', with a breadcrumb trail 'Home > Assigned Questions'. Below this, there are three filter dropdowns: 'Filter by' (set to 'PCI Facilitator'), '-- All subjects --', and '-- All frameworks --'. A 'Group by' dropdown is set to 'Subject'. A green 'Filter' button is positioned below these options. On the right side, a dropdown menu is open, showing a search input field and a list of question states: '-- Any state --', 'Answered', 'Unanswered' (highlighted in blue), 'Pending', and 'Approved'. Below the filters, there are two expandable sections: 'Organization Overview' and 'Information Security Policy', each with a plus sign icon to its right.

The Site “facilitator” user created by the Compliance Manager, can also create corresponding users within the **Site** in order to direct the question to the appropriate person (HR, IT, etc.)

Site Questions

Users have the ability to type a text answer as well as upload corresponding documentation.

At the Compliance Manager level, you have the ability to schedule the frequency updates needed.

Automated reminder emails will be sent to the Site user assigned to this question.

CFPB Exam
Compliance Management

How does your company ensure that staff members that interact with customers have adequate qualification, experience levels, and training? Compliance Facilitator

CFPB EXAM 1.5

Unanswered since about 7 hours ago Yearly 19 Dec 2013 Notify user

Summary Discussion Previous Answers Resources Support

Current Answer

This question has not been answered yet.

Comments

No comments

* Comment

Files

Browse... No files selected.

Add more files

Add comment

Auditor Review

Once the questions are answered by the Site users, the Auditor now has the ability to **Comment And Mark As Pending** or **Commend and Accept**.

Site users are notified via an automated email that further action is required.

All previous answers and comments are retained for historical purposes.



Current Answer

September 25, 2013 18:16

I don't know how to answer this question. Please help!

New Answer

Comments

No comments

Comment

Choose File no file selected

Comment And Mark As Pending

Comment And Accept

Auditor Review

Documents attached to corresponding questions can be accessed by the Auditor either at the question level or by clicking on the Documents link.

Documents are grouped by questionnaire or standardized framework and the corresponding question is identified.

The screenshot displays a web interface for document review. At the top, a breadcrumb trail reads "Home > Sites > Agency A > Documents". Below this is a filter section with three dropdown menus: "Filter by" (set to "-- All users --"), "-- All subjects --", and "-- All frameworks --". A "Group by" dropdown is set to "Framework". A green "Filter" button is positioned below these controls.

The main content area is divided into two sections:

- ISO 27001**: Contains a document entry for "Sample_Policy_3.docx" (uploaded about 2 hours ago) by "Information Security User". The associated question is: "ISO 27001 6.1.4 10.3.2 12.1.1 ISO 27001 6.1.4 10.3.2 12.1.1 ISO 27001 6.1.4 10.3.2 12.1.1 SOC 2 A1.2 Information Security Policy How is the approval process managed for introducing new systems according to the security policies and requirements?"
- CFPB Exam**: Contains two document entries:
 - "Sample_Policy_1.docx" (uploaded about 4 hours ago) by "Compliance Facilitator". The question is: "CFPB Exam 3.4 FCRA and Regulation V Describe employee training regarding the use of consumer reports."
 - "Test_Document_one.docx" (uploaded about 4 hours ago) by "Compliance Facilitator". The question is: "CFPB Exam 4.10 Disputes and Complaints Describe other means that your company provides for disputes, inquiries, or complaints (e.g. written submissions, online portals, etc)."

Optional Services

- Auditor resources available to complement your audit objectives:
 - Information Security and/or Regulatory Compliance
 - Onsite or Online
- Risk Assessment Program Development
- Sub-Contractor Audit Framework Development
- CFPB Readiness Gap Assessment
- Information Security Readiness & Audit Services
 - SSAE16
 - PCI DSS
 - FISMA (NIST SP 800-53)
 - HIPAA/HITECH
 - ISO 27001/27002

