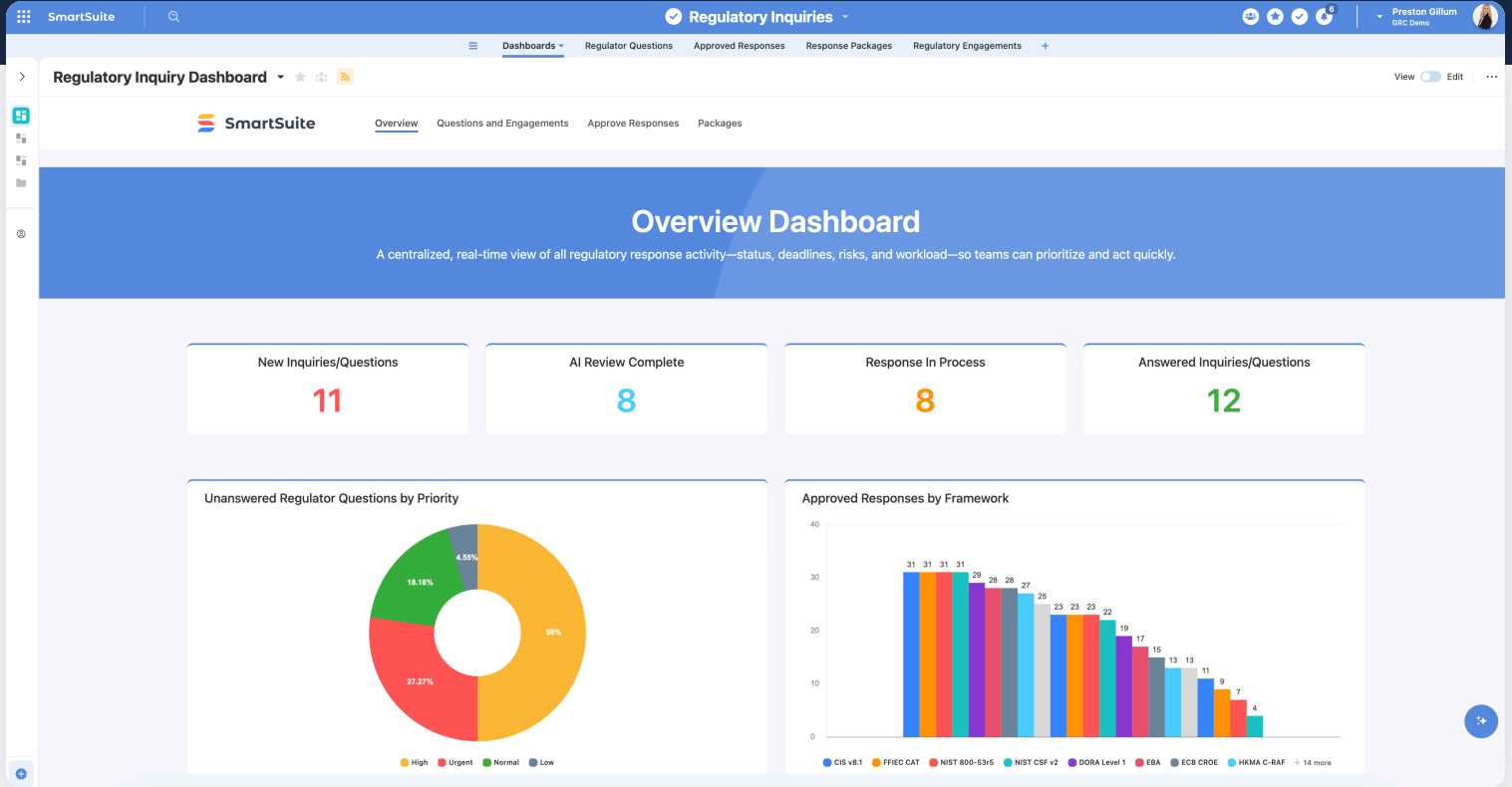


DATASHEET

# Regulatory Inquiries

Move regulator response from reactive fire drills to coordinated engagement — capture every exam and ad-hoc request as a governed inquiry, draft responses with AI on top of your historical evidence, and submit on time with full audit traceability.



## From reactive fire drills to coordinated regulator response

Most organizations treat each regulatory inquiry as a one-off scramble — pull the team into a war room, hunt for evidence across folders, draft from scratch, race the deadline. SmartSuite captures every inquiry as a governed record, scopes it against the live Control Register and evidence repository, and drafts responses with AI on top of your historical interaction history. **Every inquiry is governed. Every response is sourced. Every interaction is recorded.** The result is a regulator-response program defensible for auditors and efficient for compliance, legal, and risk teams.

## Capabilities built for coordinated regulator response

- Inquiry intake**  
 Capture every regulator request as a governed Inquiry record — regulator, request type, scope, deadline, severity, and assigned owner. Standardized intake forms route exams, supervisory letters, MRAs, and ad-hoc requests into the right response workflow automatically.
- Document & evidence reuse**  
 Every piece of supporting evidence — control test results, audit findings, policies, dashboards, prior responses — lives in one repository linked to the inquiry that needs it. Collect once, reuse across every regulator engagement.

- AI-assisted response drafting**  
 AI Assist drafts response sections by reading the inquiry scope, the linked controls and policies, and prior regulator responses — SMEs review and refine rather than writing from a blank page. BYOLM keeps every AI interaction in your governance boundary.
- Regulatory response chatbot**  
 A regulator-response chatbot grounded in your interaction history, policies, and evidence. Query "security event monitoring approved response" — get a sourced answer and one-click generate submission-ready documents.

## Regulator response at every level

### Inquiry responder & SME

Personalized dashboard surfaces only the inquiries they're assigned to — open response sections, evidence requests, AI-drafted text awaiting review, and chatbot query history. Drill from an inquiry card into the record in two clicks, with linked controls, policies, and prior-response context visible end to end.

### Compliance manager & legal lead

Full Inquiry Hub with active engagements, exam timelines, response status, deadline tracking, escalations, and submission history. Cross-regulator views surface concentration risk, recurring themes, and audit-relevant trends — what's stuck, what's about to breach SLA, what's been previously asked.

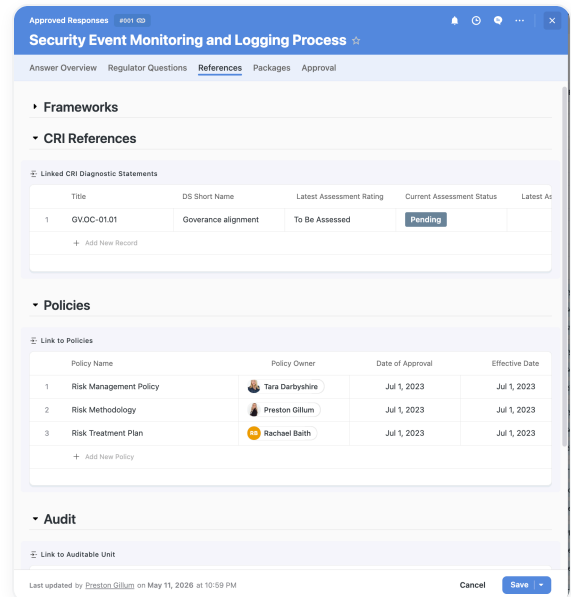
### Executive & board

Regulator interaction posture rolled up to leadership — open inquiries by regulator, submission timeliness, severity exposure, and trend lines over time. Board reports update live, with framework readiness against OCC, FRB, FDIC, NYDFS, etc. supervisory expectations refreshed continuously.

**Built differently.** SmartSuite is the regulator-response platform where inquiries, the controls and policies they touch, the audit findings they reference, the prior responses they build on, and the evidence they cite live on the same governed graph — so every response draws on real-time context, every submission is traceable to source, and every regulator interaction adds to a continuous, queryable history of the program.

## Connected to the rest of your GRC program

- **Compliance Assessments & Testing**  
Test results and evidence packages support regulator responses with full traceability
- **Control Framework & Regulatory Libraries**  
Inquiries map to the controls and frameworks they touch, with multi-framework alignment built in
- **Policy Management**  
Policies and procedures cited in responses link live to their current approved versions
- **Audit Management**  
Audit findings and workpapers leveraged as supporting evidence for regulator interactions
- **Issues Management**  
Regulator findings and MRAs flow to remediation as Issues with full source traceability
- **Enterprise Risk Management**  
Regulator findings inform risk scoring and enterprise risk register updates



Approved Response with linked CRI Diagnostic Statements and policies — evidence and citations attached to every submission.

## Built for everyone with a stake in regulator engagement

### Chief compliance officer

Real-time visibility into every regulator interaction, exam pipeline, and submission status — board-ready in one click.

### Legal & regulatory affairs

Maintain a complete interaction history and ensure response language is consistent with prior submissions.

### Internal auditor

Validate response completeness and accuracy through linked controls, evidence, and audit workpapers.

### Compliance manager

Coordinate exam responses across SMEs with AI-drafted text, reused evidence, and structured approval workflows.

### Risk manager

Align regulator findings with the enterprise risk register and ensure supervisory feedback shapes risk priorities.

**Stay ready for every regulator interaction**  
A complete GRC suite that connects regulator engagement with compliance, controls, policies, audit, and risk — on one AI-native Work OS.  
Learn more at <https://www.smartsuite.com/products/regulatory-inquiries> · Contact your SmartSuite representative to schedule a demo