

Compliance Assessments & Testing

Manage assessment campaigns and testing schedules with a reusable question library, automated workflows, and centralized evidence collection to streamline assurance.

What it is

Compliance Assessments & Testing is the process of evaluating controls, collecting evidence, and validating adherence to regulatory and internal requirements. It enables organizations to monitor control effectiveness, identify gaps, and maintain continuous compliance across multiple frameworks.

Compliance Assessments & Testing is the process of evaluating controls, collecting evidence, and validating compliance with regulatory and internal requirements. SmartSuite's Compliance Assessments & Testing software provides a structured, scalable system to manage compliance programs across your organization — ensuring consistency, audit readiness, and continuous visibility.

SmartSuite enables organizations to standardize assessment planning, control testing, and evidence collection across frameworks and business units. With a centralized system of record, teams can manage testing cycles, track results, and maintain complete audit trails in a way that is repeatable, auditable, and defensible.

Core capabilities

Assessment Planning & Scheduling

Plan and manage assessment cycles, timelines, and scope across multiple frameworks and business units.

Automated Testing Workflows

Automate testing assignments, reminders, approvals, and escalations using configurable workflows.

Dashboards & Compliance Analytics

Visualize testing progress, control effectiveness, and compliance status through real-time dashboards.

Control Testing Management

Execute and track control testing activities with standardized procedures and consistent evaluation criteria.

Framework Mapping & Alignment

Map controls and assessments to regulatory frameworks and internal requirements for consistency.

Continuous Monitoring

Track control performance and compliance status continuously, not just during audit cycles.

Evidence Collection & Management

Collect, store, and manage evidence with full traceability, versioning, and audit history.

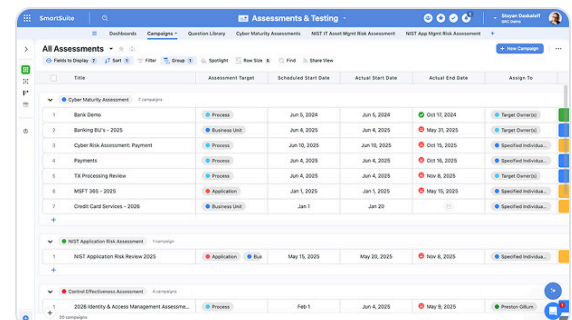
Findings & Gap Identification

Identify control failures and compliance gaps with structured tracking and classification.

Role-Based Access Control

Ensure secure access to assessments, evidence, and results across compliance, audit, and business teams.

SKU	GRC - CMP - CAT
Solution area	GRC & Resilience
Works with	Control Framework & Regulatory Libraries, Policy Management, Enterprise Risk Management (ERM), Issues Management, Third Party Risk, Incident Management
Updated	Sep 26, 2026
Datasheet	v1.0



Compliance Assessments & Testing in SmartSuite.

The Compliance Lifecycle

Step 1 Plan Assessments Define scope, frameworks, and timelines for compliance testing activities.	Step 2 Execute Testing Perform control testing and collect evidence across systems and business units.	Step 3 Evaluate Results Assess control effectiveness and identify compliance gaps and findings.	Step 4 Remediate Issues Assign and track remediation actions to address control deficiencies.	Step 5 Report & Audit Generate audit-ready reports and dashboards for stakeholders and regulators.
--	--	---	---	--

Who it is for

Chief Compliance Officer (CCO) Oversees compliance programs and ensures alignment with regulatory requirements.	Compliance Manager Plans and manages assessments, testing cycles, and regulatory reporting.	Internal Auditor Executes control testing and validates compliance with audit requirements.
Risk Manager Aligns control effectiveness with enterprise risk and mitigation strategies.	Control Owner Performs testing activities and provides evidence for assigned controls.	Executive / Board Member Monitors compliance posture and audit readiness through dashboards and reports.

Works with

Control Framework & Regulatory Libraries Controls and testing activities are aligned with regulatory frameworks and standards.	Policy Management Policies define control requirements and are validated through testing and assessments.
Enterprise Risk Management (ERM) Control testing results impact risk scoring and enterprise risk visibility.	Issues Management Findings and gaps are tracked and remediated through structured workflows.
Third Party Risk Vendor controls and compliance requirements are assessed as part of third-party risk programs.	Incident Management Control failures and incidents inform compliance testing and program improvements.

Built differently. Compliance Assessments & Testing runs on the same relational platform as every other SmartSuite product, so its records link to the risks, controls, issues and evidence they affect, and every report reflects the current state rather than a copy.

See it working with your data

Ask your SmartSuite account team for a demo of Compliance Assessments & Testing configured for your organization, or read the full product entry at smartsuite.com/products/compliance-assessments-testing.

Schedule a demo