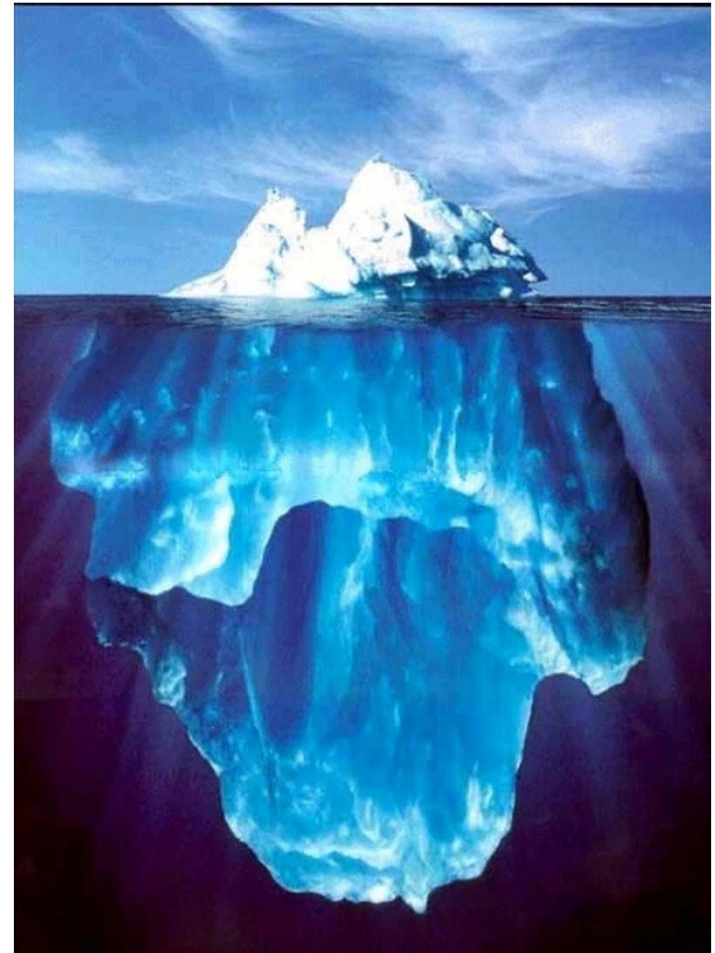


Designing a Future Ready GRC Program

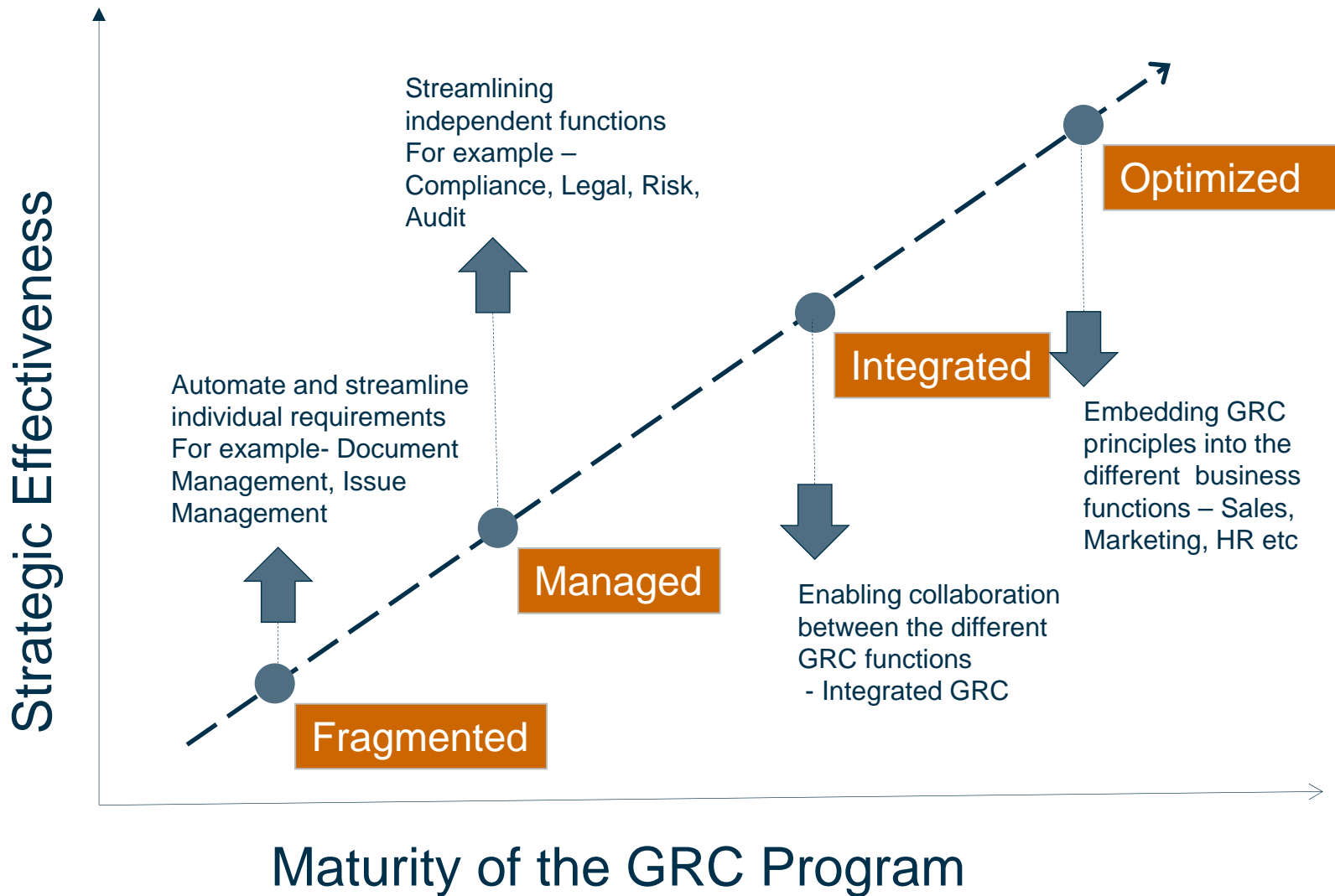
Prashant Rao Murari
Associate Director - MetricStream

Compliance, Risk & Audit Programs - Current State

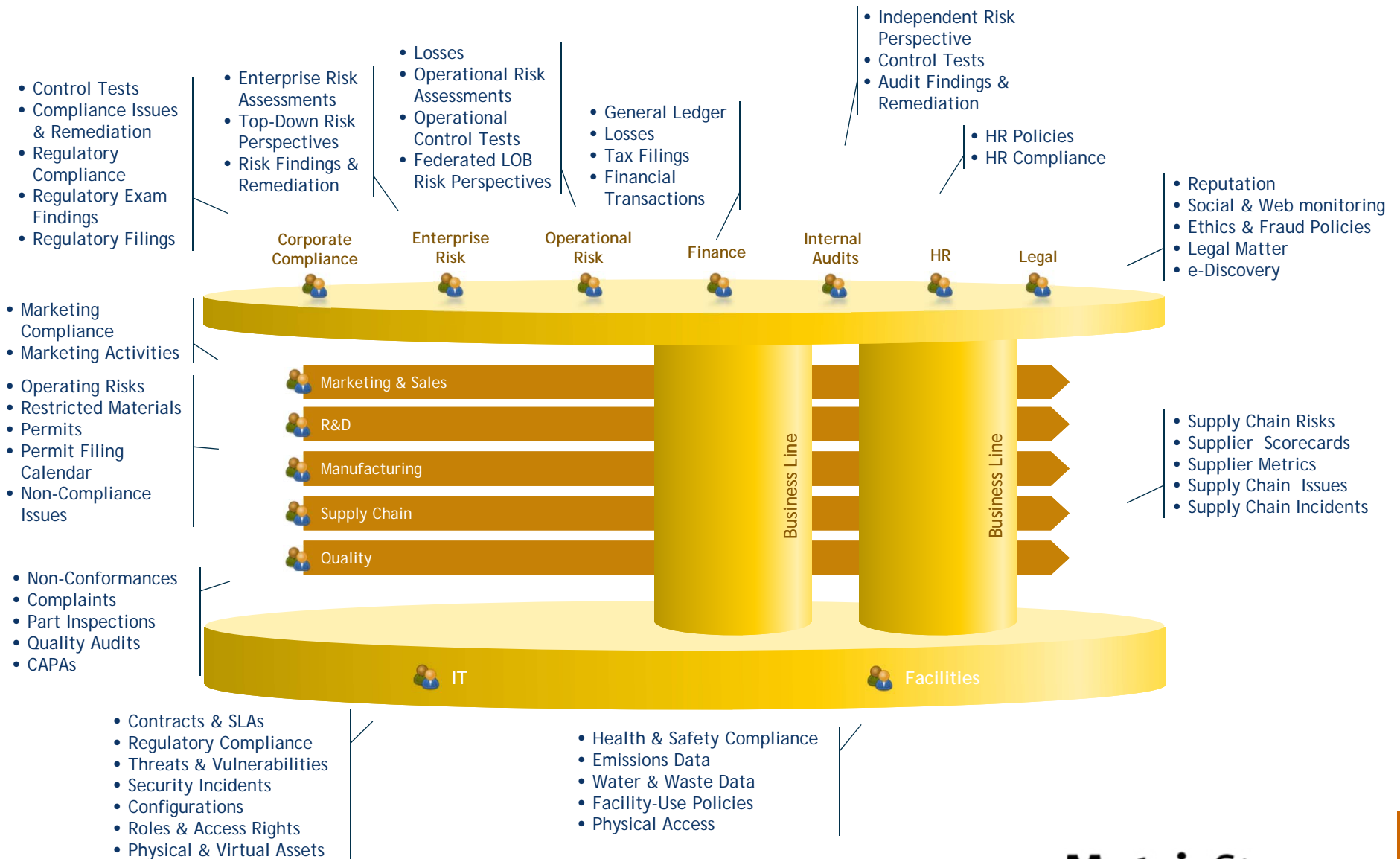
- Increasing scope of programs
 - Extending policies from employees to business partners
 - Increasing number of assessments and audits
- Multiple programs across locations and business units
 - Risk, compliance & audit management pervade every aspect of business operations
 - Duplication of assessments, audits increases business risks
- Program islands and Information Silos
 - Lack of integration across programs
- Lack of Information Accuracy
 - Rapidly changing laws and regulations
- Challenges in Enforcement
 - Managing information dissemination, enforcement, noncompliance



The GRC Journey: Levels of Maturity



Impact of GRC



Articulating the Value of GRC... at Different Levels

- **Senior Management, Board Members**
 - Top risks provide a context for strategic decisions - CapEx, M&A
 - Better correlation of risks, connecting the dots
 - Protection of shareholder value and brand
 - Linkage between business objectives (revenue, EBIT) and risks
 - Probability distributions for likely business outcomes, not point estimates
 - Forward looking risk information, integrated with historical data
- **Business Owners**
 - Centralized view of risk and compliance information aligned to business performance objectives for enabling decision making
 - Supplier risk information for procurement, spend reduction goals
 - Credit policies for customer satisfaction
 - Shortening time-to-market for new product launches
 - Interlinking KPIs and KPIs

Articulating the Value of GRC... at Different Levels



- **Employees - empowering the first line of defense**
 - Seamless alignment and integration with roles and responsibilities
 - Usability (web, mobile, reporting, languages) for mass adoption
 - Productivity gains, improved resource utilization
 - Rationalized controls, immediate savings, lower costs
- **IT and Technology**
 - Enterprise-wide visibility and control with a common platform across the organization
 - Operations, Legal, Compliance, Financial, Supply Chain, InfoSec
 - Integration with various enterprise applications and systems

Embracing Integrated GRC

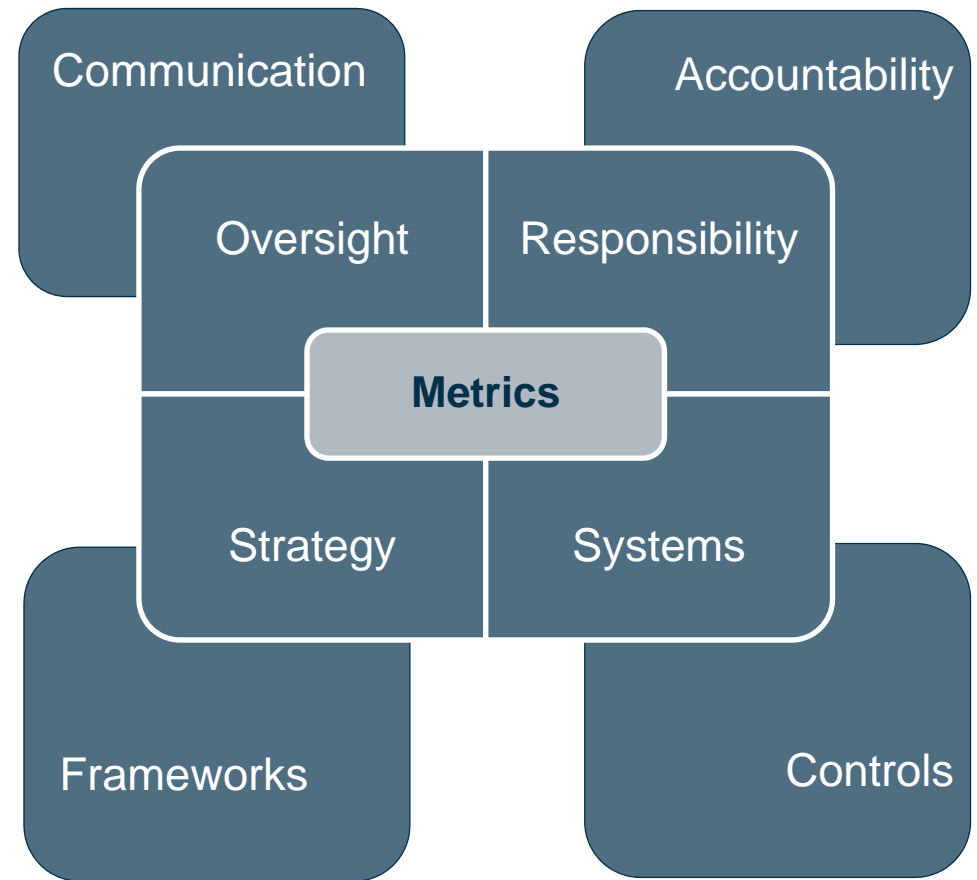
- **Corporate Governance**
 - Tone-at-the-top, Establish scope, Roles and responsibilities
- **Enabling Collaboration Across GRC Functions**
 - Risk-based approach, common information model
- **Centralized Approach to Manage Multiple Compliance Programs**
 - Adopt relevant strategy, regulatory change management, facilitate assessments & certifications, enforce policies
- **Effective Risk Assessment & Management**
 - Integrated approach, Scoring mechanisms, Quality control
- **Automate & Integrate Audit Tasks**
 - Appropriate Universe, Centrally Manage Tasks, Audit Types
- **Issue & CAPA Management - Closed Loop Process**
- **Integrated Platform to Manage all GRC Apps**

Embracing Integrated GRC

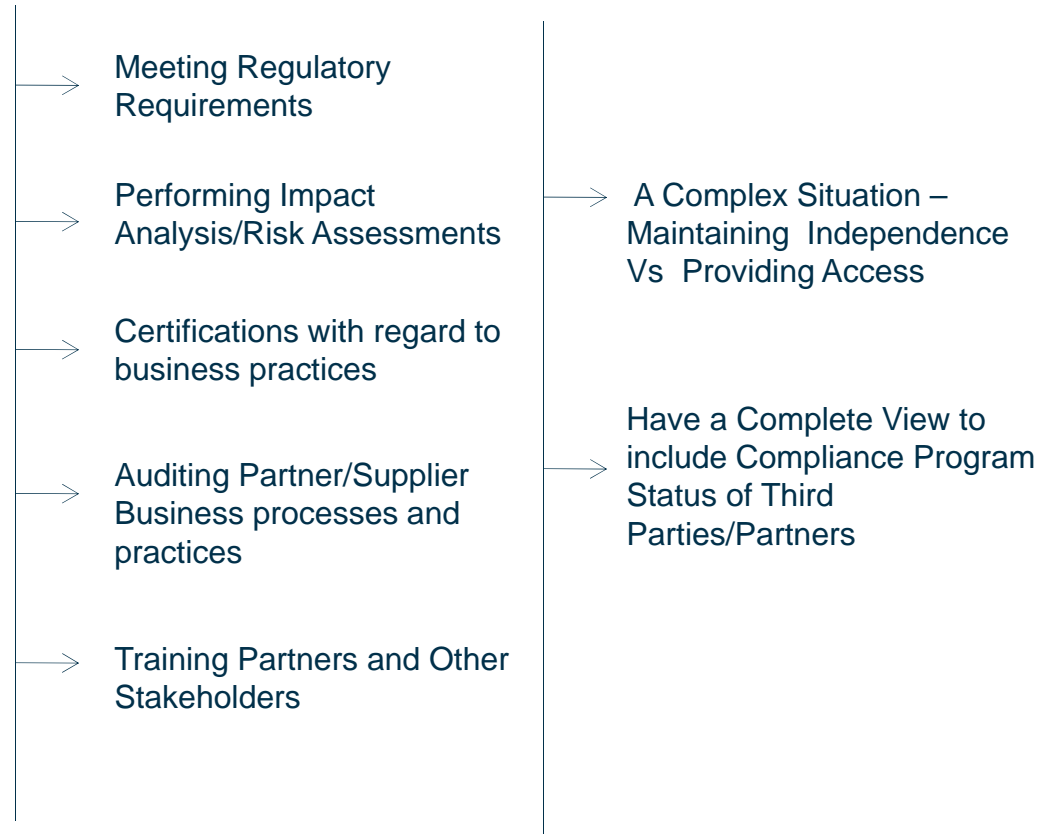
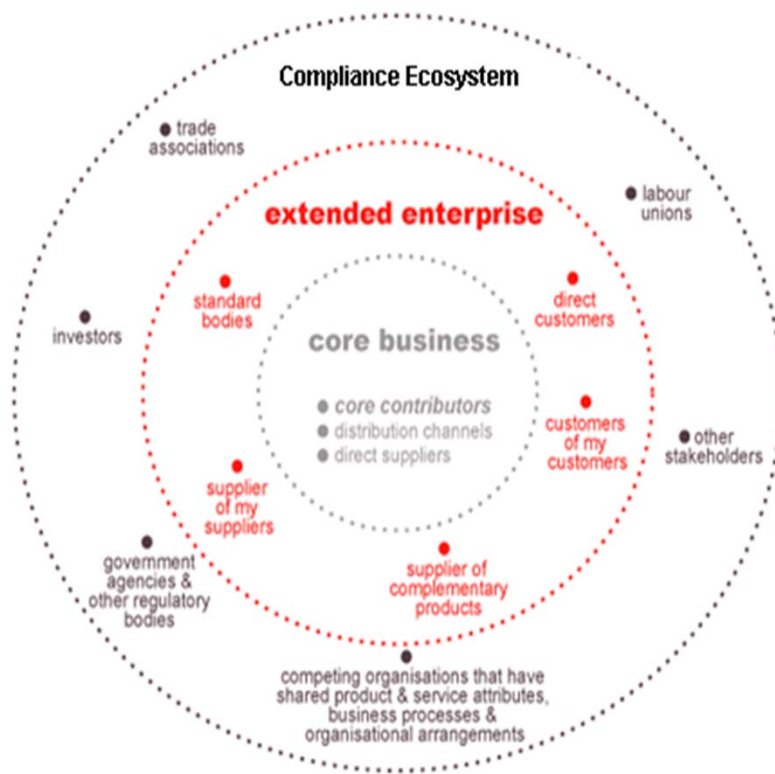
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- Issue & CAPA Management - Closed Loop Process
- Tangible Value

Corporate Governance

- Board of directors and senior management oversight
- Clear Communication to stakeholders
- Discuss frameworks to decide on compliance culture, risk appetite and tolerance
- Compliance and Risk-driven strategic decisions
- Clear lines of responsibility and accountability
- Strong system of internal controls and effective risk management
- Metrics to monitor continuous performance



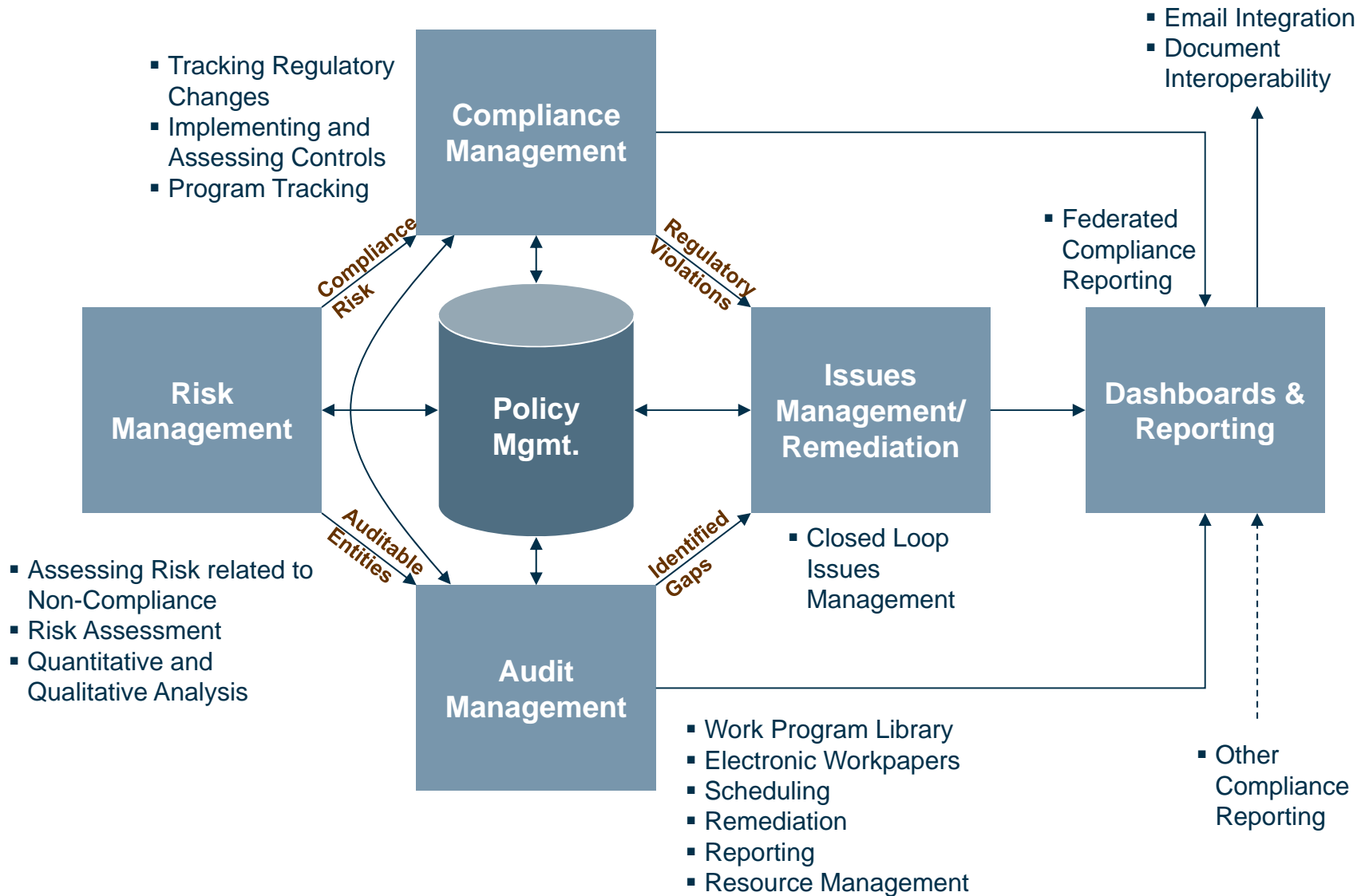
Establish Scope of GRC Programs



Embracing Integrated GRC

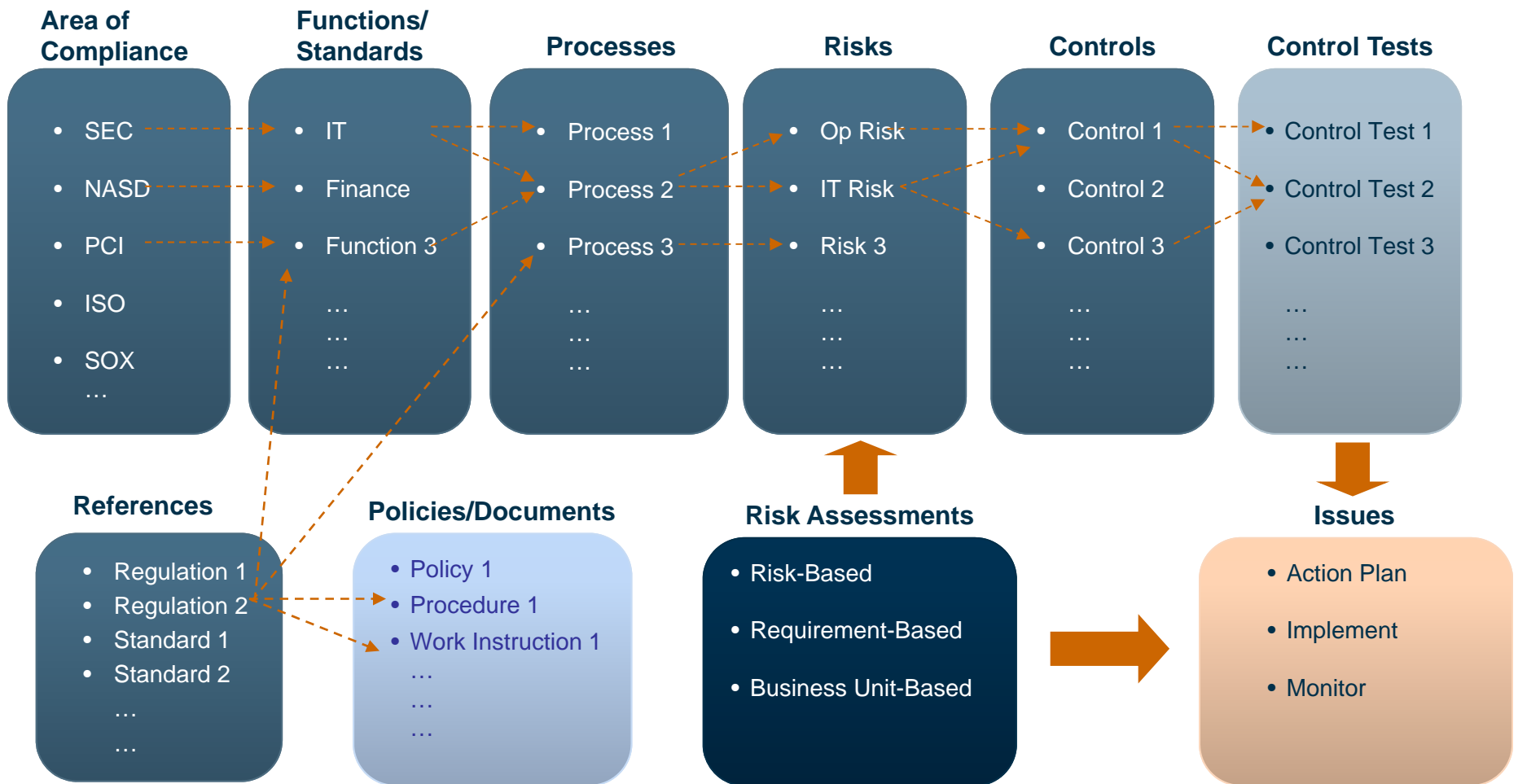
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Enabling Collaboration Across GRC Functions



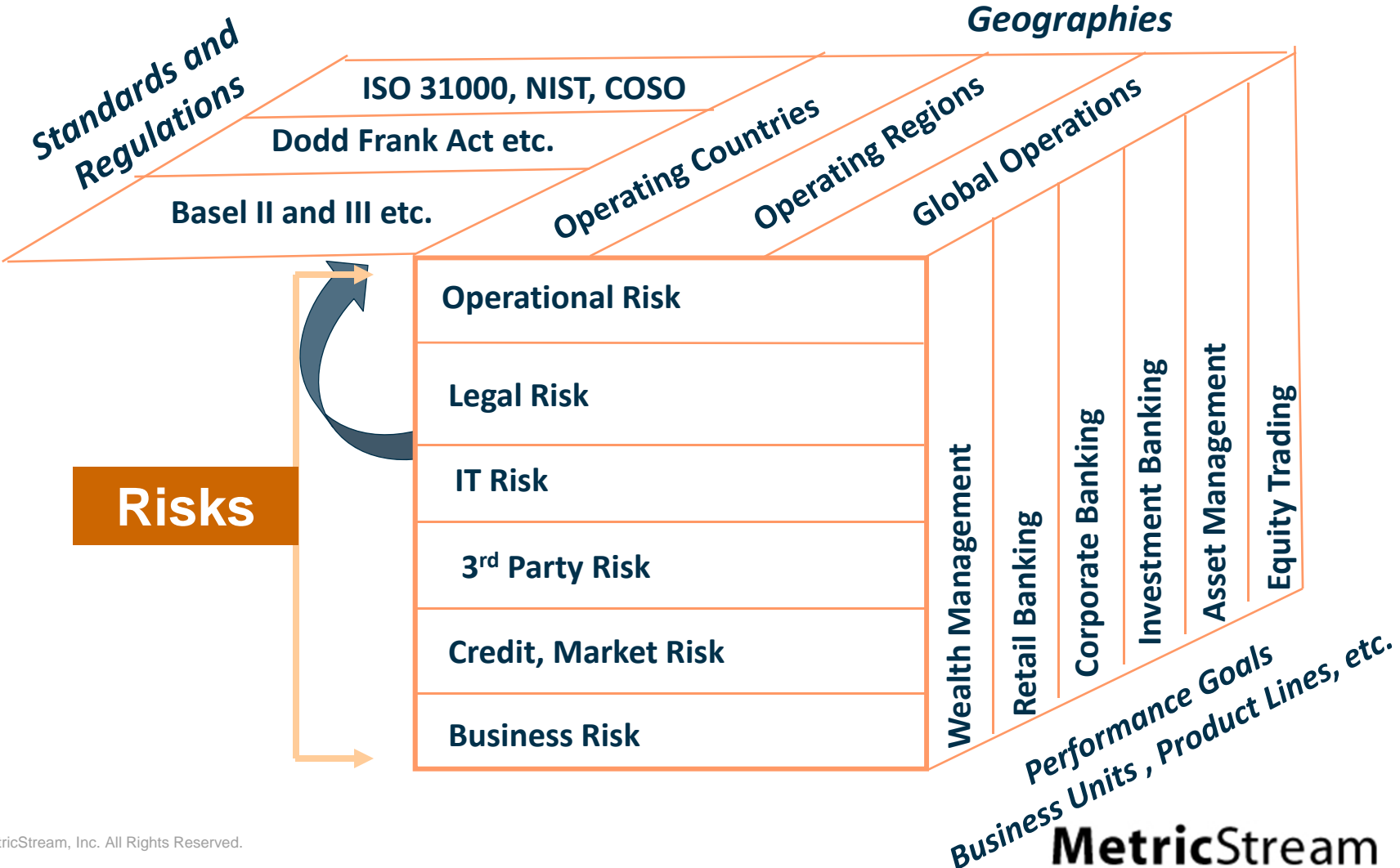
Enabling a Common GRC Taxonomy

Defining a common GRC taxonomy that provides a baseline across the organization as well as a federated model that allows aggregation and roll-ups



Modeling Organizational Structures and Hierarchies

Defining hierarchies and relationships for a centralized view of risk aligned to business performance objectives for enabling decision making



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Centralized Approach to Manage Multiple Compliance Programs

Regulatory Intelligence, Map Standards & Requirements

Compliance Library

Showing 1 - 10 of 1220 records

Requirement	Requirement Name	Status	Control Count	Reference Count	Reference Dependency
Compliance Area 100C					
Function Name: Communications					
References (e.g. Standards) COH-001-1					
Both Reliability Coordinator, Transmission Operator and Balancing Authority shall provide a means to coordinate measurements among their Reliability Area. This coordination shall include the ability to investigate and recommend solutions to telecommunication problems within the area and other areas.	Michael Durlak	Active	1	1	Telecommunications
R1.1. Interests.	Gina Horvath	Active	2	2	Telecommunications
R1.2. Between the Reliability Coordinator and its Transmission Operators and Balancing Authorities.	Gina Horvath	Active	2	2	Telecommunications
R1.3. With other Reliability Coordinators, Transmission Operators and Balancing Authorities as necessary to maintain reliability.	Gina Horvath	Active	2	2	Telecommunications
References (e.g. Standards) COH-001-1					
R1.4. Where applicable, these facilities shall be redundant and diverse in nature.	Gina Horvath	Active	2	2	Telecommunications
R1.5. Where applicable, these facilities shall be redundant and diverse in nature.					

Issues and Remediation

Remediation Plan

Quick remedial action is not always required

Details

Remediation ID: Audit ID:
 Created By: Approved On: Organization Name:
 Auditor Type: Auditor Organization: Auditor Entry:
 Comments:

Next Steps

Contributing Factor:
 Due Date:

Action Plan

Action Item:
 Action Item Approval:

Action

Overall Comments: Comments History:

Executive Program Management

MetricStream Welcome, RSL Manager

Compliance

Report Data as of: 09/10/2012 03:30 AM

Vendor	Item-Description	Date of Manufacture	Testing Agency	CPHS 988 Certified?
Corning Inc	Natural S Synthetic Glass	Feb-02-2012	Met Compliance Testing Service LLC	Yes
Lees Vintners SP Inc	Natural Fibers	Nov-25-2011	Met Compliance Testing Service LLC	Yes
Fiber Optic Corp	Natural Fibers	Jan-10-2012	Met Compliance Testing Service LLC	Yes
High Tech Materials	Synthetic Fibers	Apr-03-2012	Met Compliance Testing Service LLC	Yes
Vertical K&M Co	Synthetic Lead/Polymer	Nov-05-2011	WDE Testing Co	Yes

REACH Compliance Tracker

Report Data as of: 09/10/2012 03:30 AM

Supplier	Supplier Contact	Product	Raw Material	Product Volume (Metric Tons)	Code Certification Reviewed?
LVI Fashion View	714.447.8038	Apparel	PA6666-ABS-PLA	20000	Yes
Forglen	884.289.1113	Footwear	Polyurethane PU/polyurethane	30000	Yes
Beung Sheng	62.650.1583	Equipment	Steel High-carbon	30000	Yes
Decolux	866.657.0907	Apparel	Polyurethane TPU foam	20000	Yes
Danco International	354.773.6266	Equipment	Rubber (DOP, Stannic Sulphide)	20000	Yes
Chen Sheng Co	762.887.0146	Footwear	Polyurethane	15000	Yes

Compliance Assessment

Audit Checklist Task

Quick remedial action is not always required

Details

Audit ID: Audit Started On:
 Assigned On: Approved On:
 Organization Level: Department Name:
 Audit Type: Audit Number:
 Audit Date: Audit Location:
 Planned Field Work Start Date: Planned Field Work Completion Date:
 Results: Audit Checklist: Findings: Recommendations: Details:

Task(s) Execution Details

Task Number: Type:
 Checklist Name: Checklist Version:
 Control: (Checked/Not Checked)
 Assign To (Auditor Group): Assign To (Auditor):
 Task Start Date: Task End Date:
 Task Start Time: Task End Time:
 Task Duration: Task Duration (Hours):
 Task Certification Result:
 Comments:

Certification and Filing

Client Filing/Certification

Quick remedial action is not always required

Details

Client Name: Client Address:
 Client City: Client State: Client Zip:
 Client Contact: Client Phone:
 Client Email: Client Website:
 Client Industry: Client Sector:
 Client Size: Client Revenue:
 Client Employees: Client Products:
 Client Services: Client Markets:
 Client Risks: Client Compliance:
 Client Certification: Client Filing:
 Client Status: Client Action:

Reports Review & Approval

NEEC Compliance Program Status

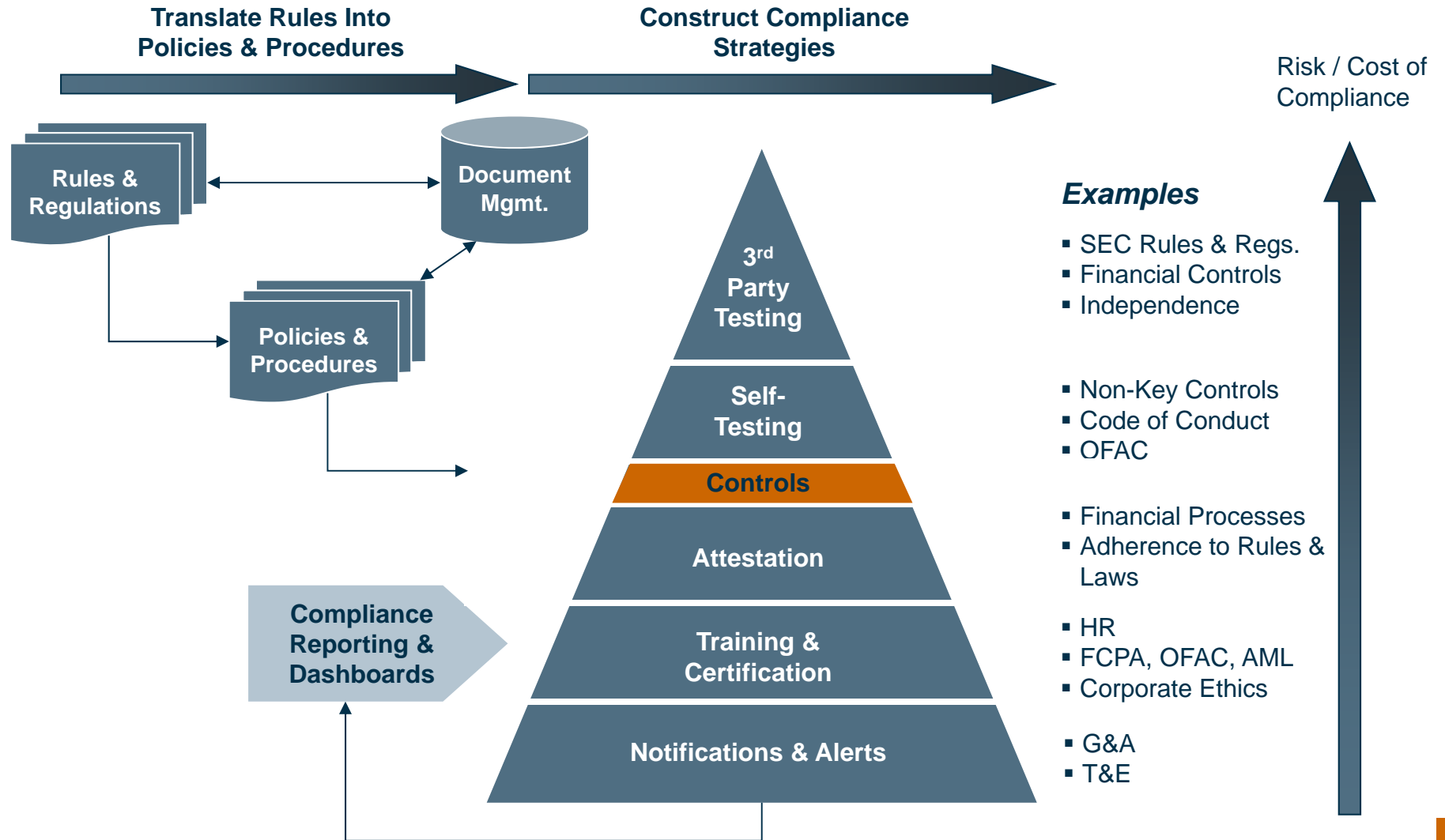
Note: Many non-auditors and issues affect more than one process and areas of compliance and as a result may be reflected multiple times in this report.

Report Data as of: 09/09/2009 05:26 PM

Reporting Cycle	Testing Status	Control Status (Comment)	Testing Status (Year to Date)	Issue Status (Comment)
Business Mail	Testing	Control Status	Testing Status	Issue Status
Area of Compliance 100C				
Control Requirement	1	2	3	4
Business Mail	1	2	3	4
Area of Compliance 100E				
Control Requirement	1	2	3	4
Business Mail	1	2	3	4

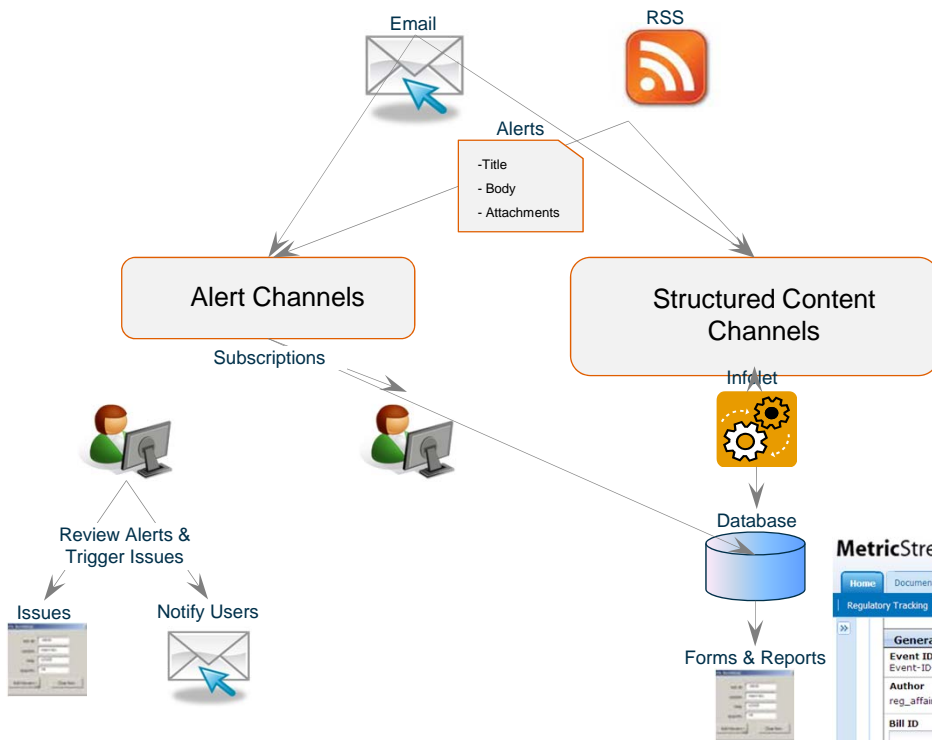
Adopt Relevant Compliance Management Approach

Adopt Relevant Compliance Management Approach



Regulatory Change Management

- Monitor Regulatory Changes
- Update policy and compliance activities
- Impact analysis and mapping
- Triggering assessments, policy updates



MetricStream Welcome: Regulatory Affairs My Tasks: 76 [1 New, 0 Fast due] My Profile | Help | Logout

Home Documents Administration Regulatory Tracking MCE Fraud & Abuse Accreditation Universal Search

General Overview

Event ID* Event-ID-81	Created On 03/15/2011	Workflow Stage Initiate Event
Author reg_affairs	Event Type Regulatory Alert	Regulator
Bill ID	Requirement Tag	ET Select One
Title*	Effective Date mo. / day / year	
Description (e.g. Notes, Comments)		
Regulatory Alert Type Select One	Link to Previous Alerts? Select One	

Key Dates

Delete	Event	Date	Type
<input type="checkbox"/>	Select One	mo. / day / year	
Row#-1	Select One	mo. / day / year	
	Bill Effective From Date		
	Date Enacted (Enactment/Promulgation Date)		
	Date Identified		
	Date Reg Alert Issued		
	Effective Date for Reporting Purposes (i.e. Compliant By)		
	Exam Date		
	Internal Action		
	Regulatory Guidance Effective From Date		

Powered by MetricStream

Facilitate Self Assessments & Certifications

- Standardize self-assessments
 - Common taxonomies
 - Evaluation criteria
 - Central data repository
 - Surveys
 - Certifications
- Enable each business and functional area to manage their own
 - Compliance activities
 - Facilitate control effectiveness monitoring
 - management reporting

The screenshot displays the MetricStream Enterprise Compliance Platform interface. The main window is titled "Infocenter - MetricStream Enterprise Compliance Platform - Windows Internet Explorer". The user is logged in as "John C". The interface includes a navigation menu with options like "Compliance Center", "Event Center", "To Dos", "Loss Center", "Survey", "Risk Center", "Dashboards", "Reports", "My Profile", and "Assignments".

The "My Surveys" section shows a list of surveys, including "Perform Surveys" and "Record Survey Response 302 Certification (SR-100040)".

The "Review Survey" section displays the "Status of Regulatory Filings-Surveys-Certifications" report. The report data is as of 03/22/2010 04:56 AM. The report shows a table of certifications with columns for Certification Name, CERT_TYPE, Assigned To, Sent On, and Due By.

Certification Name	CERT_TYPE	Assigned To	Sent On	Due By
3000.400 Audit Checklist	Governance	Program Manager	Mar-11-2009	Mar-2
3000.500 Post Audit Client Satisfaction Survey	Other	Common User	Mar-11-2009	Mar-2
		Program Manager	Mar-11-2009	Mar-2
		Risk Assessor	Mar-11-2009	Mar-2
		Risk Owner	Mar-11-2009	Mar-2
302 Certification	Governance	Audit Manager	Jul-28-2009	Oct-0
		John C	Nov-03-2009	Oct-0
		John C	Jan-26-2010	Jan-2
		Kathy Steimer	Jul-29-2009	Oct-0
		Kathy Steimer	Jul-30-2009	Oct-0
		Kathy Steimer	Jul-31-2009	Oct-0
		Survey Respondent	Jan-26-2010	Jan-2
		program Manager	Sep-18-2009	Oct-0
		program Manager	Sep-18-2009	Oct-0
302 Certification	Others	Executive System	Mar-01-2009	Mar-0
		Program Manager	Mar-01-2009	Mar-0

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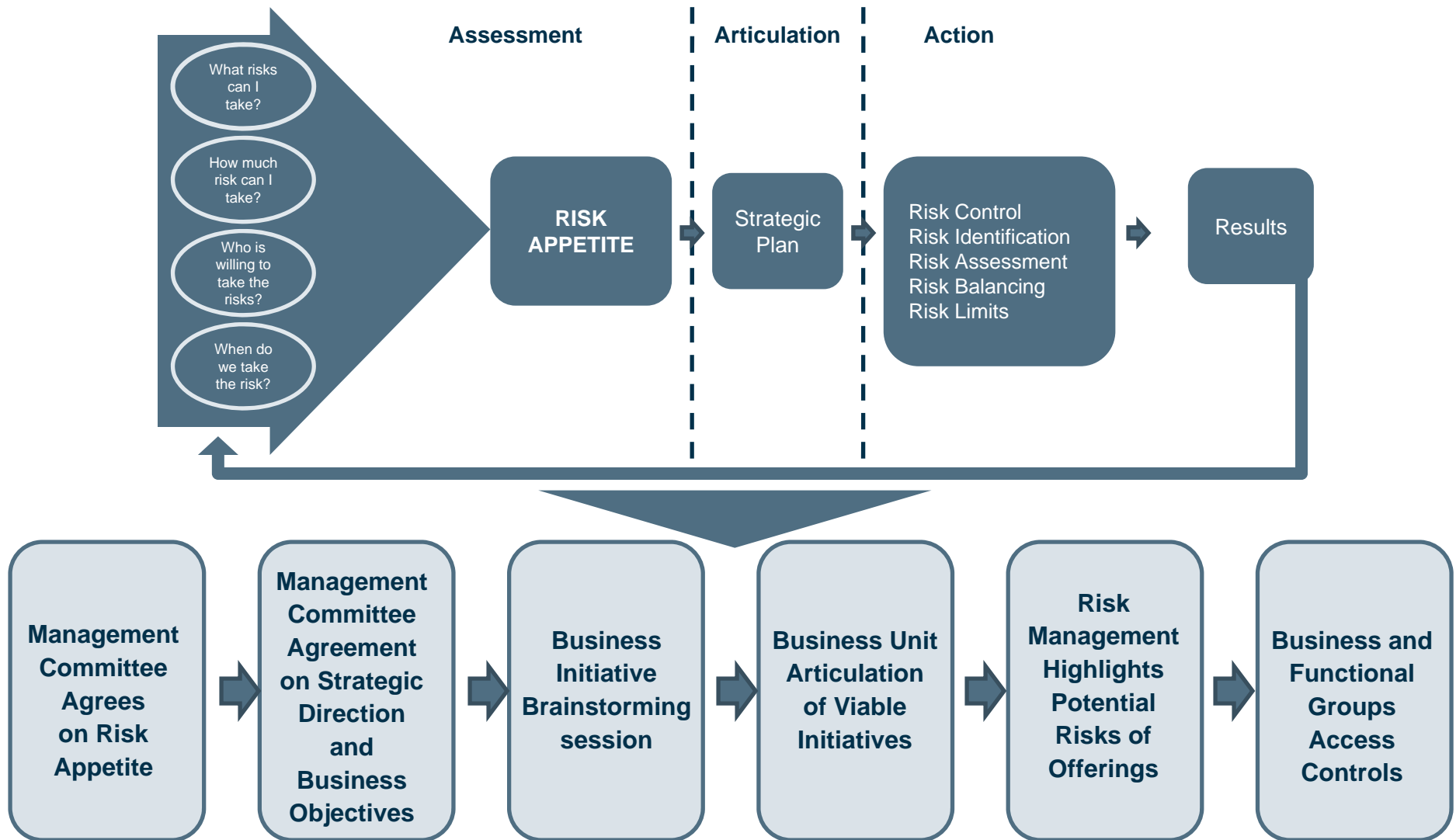
Enable Risk Assessment & Management

Adopt an Integrated Approach to Risk

- Standard libraries of risks and controls
 - Harmonize risks and controls
 - Ensures consistent methodology and facilitates aggregation by common attributes
 - Identification, Severity and Ratings
 - Control effectiveness and Testing
- Improved risk identification and control monitoring
 - Facilitates risk aggregation across business units, functions and the enterprise
 - Controls evaluated once and leveraged by other linked functions and processes
 - Highlights interdependencies between risks and controls spanning numerous processes and functions



Aggregation & Scoring Mechanisms to Establish Right Risk Appetite



Functional support areas play a critical role in evaluating a company's strategic risks

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Automate and Integrate Audit Tasks

Centrally Manage Multiple Audit Projects

- Better audit planning and resource utilization
- Manage multiple audit types
 - Internal Audit
 - Compliance Audit
 - Supplier Audit
 - Quality Audit
 - Safety Audit
 - Environmental Audit
 - Store Audit
 - Loss Prevention Audit
- Effective scheduling of internal and external auditors

The screenshot displays the MetricStream Audit Project Management interface. The top section is a form for 'Audit Project Management' with fields for 'Audit Title' (First Audit 6/1/2010), 'Current Audit Status' (Fieldwork Finished - Reporting), 'Responsible Manager' (Auberson Isabelle), 'Responsible Auditor' (Auberson Isabelle), 'Budgeted Days' (0), and 'Target Days' (0). Below the form is a 'Details' section with a 'Planning' table:

	Projected dd/mm/yyyy	Actual dd/mm/yyyy	Comments
APM: Pre-announcement	28/01/2010	07/01/2010	Audit Planning Information (Read Only)
Approval			Audit Planning Information (Read Only)


The bottom section shows a 'Scheduled Audits (2)' Gantt chart with columns for weeks from Jan-3 to Feb-28. The chart displays various audit tasks with colored bars representing different phases and components. The interface also includes a navigation menu on the left and a 'Related Information' sidebar on the right.

Audit Type - Internal Audit Management


- Identify and document controls
 - A central repository for all controls and compliance documentation
- Test adequacy & effectiveness of controls
 - Conduct surveys, self assessments, continuous monitoring
- Reports to deliver real-time view of controls
 - Dynamic dashboards, charts, and reports

Audit:


Audit Title*

Conducted By (Organization)* 

Audit Classification

Lead Auditor* 

Audit Type

Audit Start Date* 

Audit Manager*

Audit Status*

Setup | Scope | Team/Contacts | KeyMilestones | Documents

Security

Restrict Access To*

Templates

Report Template*

Notification Template*

Audit Type - Supply Chain Audits

- Create a framework to identify compliance, risks, performance improvement programs
- Identify the strengths and weaknesses of supply chain
- Benchmark supply chain management best practices
 - Vendor interfaces
 - Purchasing & Procurements
 - Manufacturing practices
 - Warehousing
 - Adoption of standards
 - GMP, Sanitation, Quality Control, Compliance and HACCP

Auditee Entity Scorecard Report												
Audit Category		Audit Type(s)				Business Unit						
Supplier		Ethical, Foreign Object, Hygiene				Business Unit Foods						
Group(s)		Department(s)				Auditee Entity(s)						
Report Start Date			Report End Date									
01-Mar-2010			31-May-2010									
Showing 1 - 6 Of 6 Records												
Audit ID	Auditee Entity	Audit Type	Audit Score & Color	Progressive Compliance (Color)	Progress Rating	Final Rating	#of Criticals	#of Majors	#of Minors	#of Findings	#of Remediations	Auditor Comments
IBL-AUD-Supplier-Hygiene-Veg-20100505-567	Veg	Hygiene	44.44		Green	Blue	2	2	2	3	3	hdfh
IBL-AUD-Supplier-Ethical-TREE SUPPLIER-20100417-508	TREE SUPPLIER	Ethical	100.00		Amber	Red	0	0	0	1	1	gfdgdfgdf
IBL-AUD-Supplier-Ethical-Veg-20100429-552	Veg	Ethical	95.45		Amber	Amber	1	0	0	1	1	Ok supplier Quality Is getting worst now gfdgdfgdf
IBL-AUD-Supplier-Foreign Object-Veg-20100414-477	Veg	Foreign Object	100.00		Amber	Amber	0	0	0	0	0	
IBL-AUD-Supplier-Foreign Object-TREE SUPPLIER-20100415-489	TREE SUPPLIER	Foreign Object	43.75		Green	Amber	6	2	2	4	4	Conclusions* for Test Audit flow for PF - 6.
IBL-AUD-Supplier-Hygiene-WOOLWORTHS-20100429-556	WOOLWORTHS	Hygiene	100.00		Green	Green	0	0	0	0	0	rter

Audit Type - Quality & Safety Audits

- Safety aspect of divisions
- Design specifications, risk analyses and design reviews, engineering evaluations
- Labeling specifications
- Purchasing and manufacturing
- Effectiveness of quality and safety controls
- Monitor compliance to regulatory requirements, company policies
- Authorize shipment based on successful audits and tests
- Corrective / preventive actions as needed

MetricStream Welcome: Auditor CSC 1 My Tasks: 10 [0 New, 0 Past due] My Calendars

Materials Management My Reports Administration

Manage Audits Conduct Audits Issue Resolution To Dos

Audit/Project: Finished Goods Inspection Audit (100582)

Audit Title*
Finished Goods Inspection Audit

Audit Start Date*
10/24/2012

Conducted By (Organization)*
Nike Inc

Lead Auditor*
Auditor CSC 1

Audit Manager*
Auditor CSC 1

Audit Classification
Quality

Audit Type
Finished Goods

Audit Status*
Final Report

Setup Scope Team/Contacts KeyMilestones Documents

Security

Restrict Access To*
No Restriction

Templates

Report Template*
Default

Notification Template*
Default

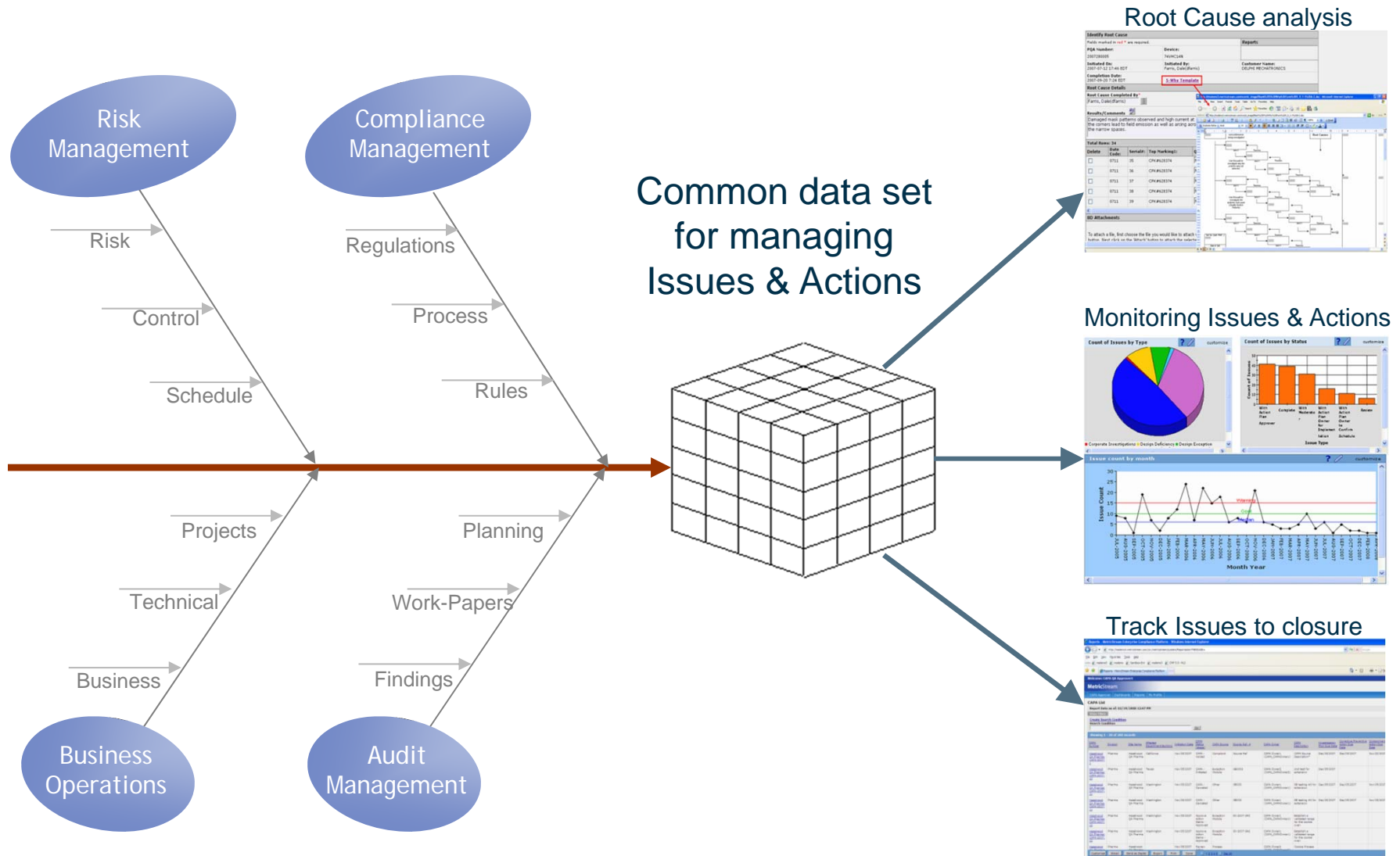
Routing and Approvals

Task Owners Can Send Tasks For Review* Approvals Required* Auditors Can Send Issues For Review*

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Issue & CAPA Management - Closed Loop Process



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Adopt Integrated Platform to Manage GRC Apps

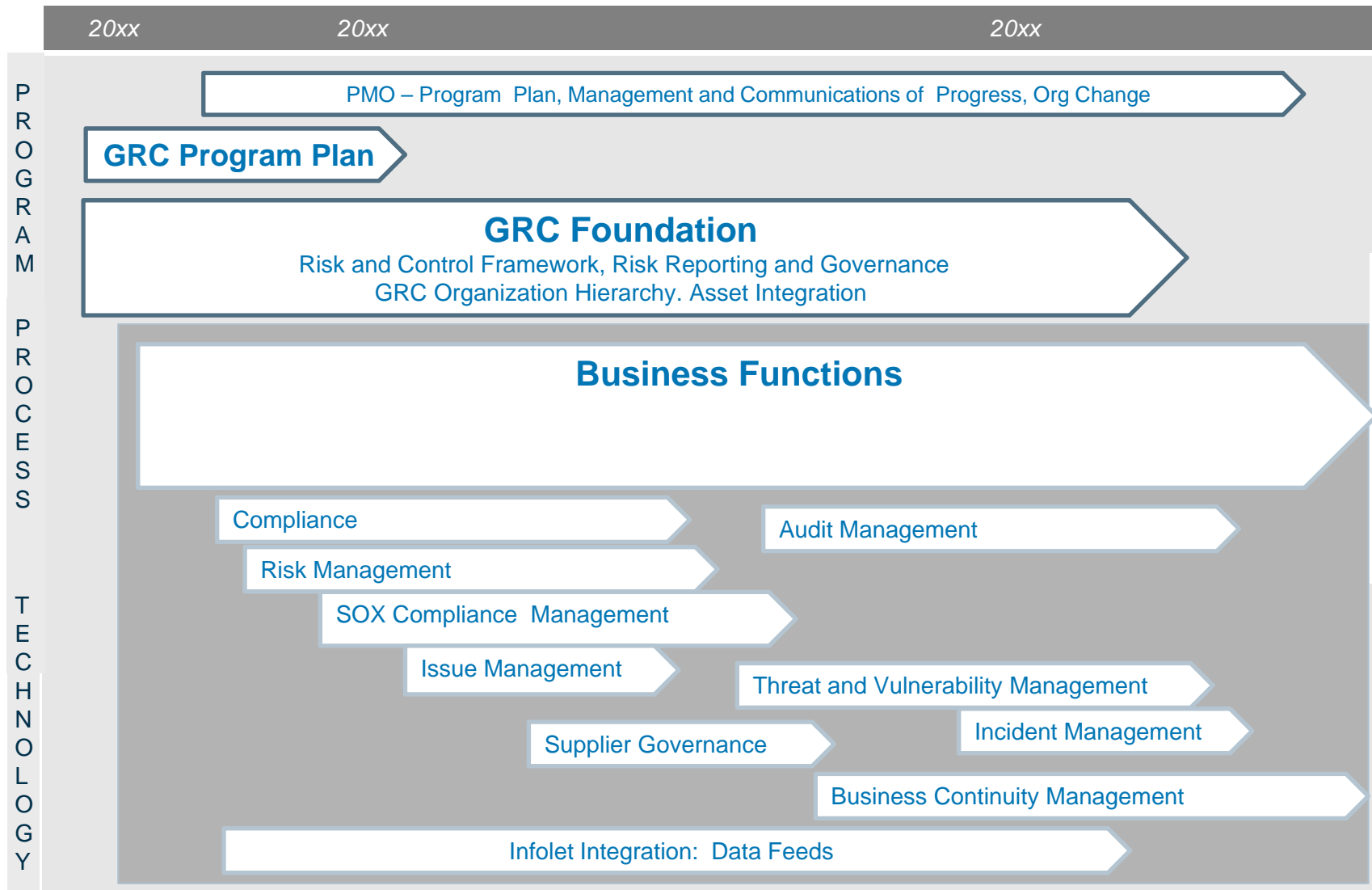


Enhance Workflow, Productivity and Collaboration

The screenshot displays the MetricStream software interface, which is used for managing business processes and audits. The main window shows a workflow for 'BPM: Accounts Payable [PROC-1050]' with various process steps like 'Accept Payment', 'Freeze Account', and 'Transaction Process'. Below this, there is a 'Scheduled Audits (2)' section with a report data as of 05/25/2012 04:24 PM. The audit schedule is presented in a table format with columns for week beginning and dates from Jan-3 to Feb-28. The table includes entries for Stacey DellDonna, Dan Greenberg, and Eric Cheng, with various audit types and descriptions like 'Desk Review - Private Bank' and 'test platform'. A calendar view for April 2012 is also visible, showing the dates of the audits. The interface includes navigation menus, user profiles, and task counts.

Week Beginning	Type	Jan-3	Jan-10	Jan-17	Jan-24	Jan-31	Feb-7	Feb-14	Feb-21	Feb-28
Compliance			Phase 1	DTIS Check	DTIS Check	DTIS Check	Phase 2			
Stacey DellDonna	Audit									
Other										
Audit										
Dan Greenberg	Audit									
Other										
Compliance										
Eric Cheng	Audit									
ITCO/Other										
Compliance										

Integrated GRC Program Implementation Example



Measuring Value of GRC - Reduced Risk

- **Better risk mitigation**
 - Speed of Decision Making
 - Reaction time to loss events reduced
 - Example: credit card data security breach – PCI non-compliance
 - Ability to understand co-relations of risks
- **Assured compliance**
 - Effective tracking and reporting
 - Detection and closure of gaps and deficiencies
 - Example: Penalty for noncompliance with laws
- **Effective risk detection and assessment**
 - Know where to focus, right prioritization
 - Translate assessment into actionable recommendations
 - Example: Positional intellectual property liability

Measuring Value of GRC - Lower Ongoing Costs

- Reduction on
 - Eliminate redundant and irrelevant activities
 - Harmonization of controls (for example Cobit, ISO 27002, PCI, SOX)
 - 20-40% reduction
- Rationalizing Resources
 - Consolidation and better resource utilization – lesser manual work
 - Improved assurance with current staff
- Reduction in external costs of assurance
 - Less use, more effective use with easy access to information
 - Estimated 25% savings in External Costs of Assurance
- Lower IT costs
 - Common infrastructure across various assurance groups
 - Faster compliance by system consolidation, information visibility

Measuring Value of GRC - Better Business Decisions

- Reputation Management
 - Preserving brand and shareholder value
 - Unmanaged incident, compliance issue - millions in reputation damage
- Revenue Management
 - Ensuring you don't lose your customers
 - Customer loss - millions in revenue loss
- Visibility
 - Faster decision making
 - Pre-empted controls can result in hundreds of thousands in savings
- Transparency
 - Risk intelligence to board and investors
- Strategic Value
 - Align IT to business
 - Business performance gains through process standardization

Organizations in Different Stages of GRC Maturity

Fragmented



A Leading Healthcare Provider

- Streamlining the preparation for claims audit program
- Enables fulfilling record requests to timely submissions, determinations and managing appeals
- The entire appeals process is simplified by automating the task of preparing, reviewing, approving and finalizing appeals

Managed



Global Bank with Operations in Over 50 Countries

- Global roll-out for risk-based internal audit for 600 Auditors and 10,000 Auditees
- Driven by BoD Audit Committee and Group Chief Audit Executive
- Enabling systematic, consistent risk-based audit process with distributed deployments for scalability, security and compliance with country-specific privacy laws

Organizations in Different Stages of GRC Maturity

Integrated



One of the Largest Consumer Products Brand

- More than 200,000 users across 80 countries
- Global convergence of multiple GRC initiatives on a single platform
- Audits, assessments of financial and regulatory controls and requirements, attestations, policy management, incident management, and risk management

Optimized



Top Pharmaceutical and Life Sciences Company

- Harmonized risk, compliance and controls across 250 subsidiaries
- Risk based Audits, SOX, Vendor Risk Management
- Supporting functions including in audit, legal, regulatory, finance, IT, privacy, security, marketing, sales, safety, environment and quality

Thank You

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