

MIAMI, JUNE 14 & 15

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EXPERIENCE

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Power What's Next Enterprise & Operational Risk Management

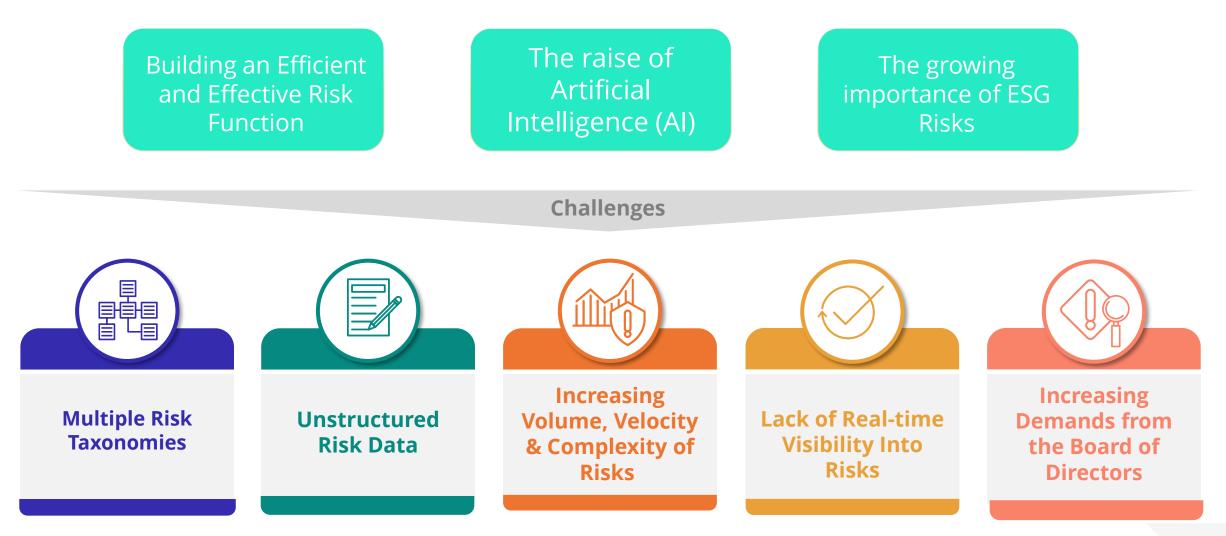
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Agenda

- FY'24 Market Trends and Challenges
- Risk Management Overview
- Power What's Next
 - AiSPIRE Connected Risk
 - Brand New Assessment Experience
 - Risk Assessment for Non-BFSI
 - Enhanced Insights and Reporting

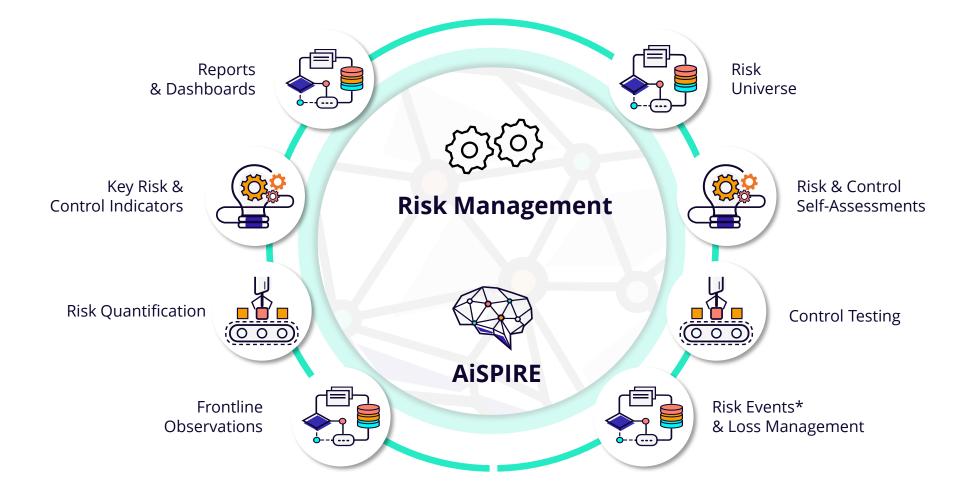


FY'24 Market Trends & Challenges



MetricStream: Risk Management Overview

AI Powered Risk Management





Power What's Next

FY'24 and Beyond

Future of GRC is **CONNECTED**



COGNITIVE

From Data to Decision Making

- Understanding, Reasoning & Learning
- AI Infused Workflows & Decision Making
- Risk Quantification

From Workflows to Hyper Automation

CONTINUOUS

- Continuous Control Monitoring
- Continuous Audits & Assessments
- Content Integrations

Next level of Simplicity

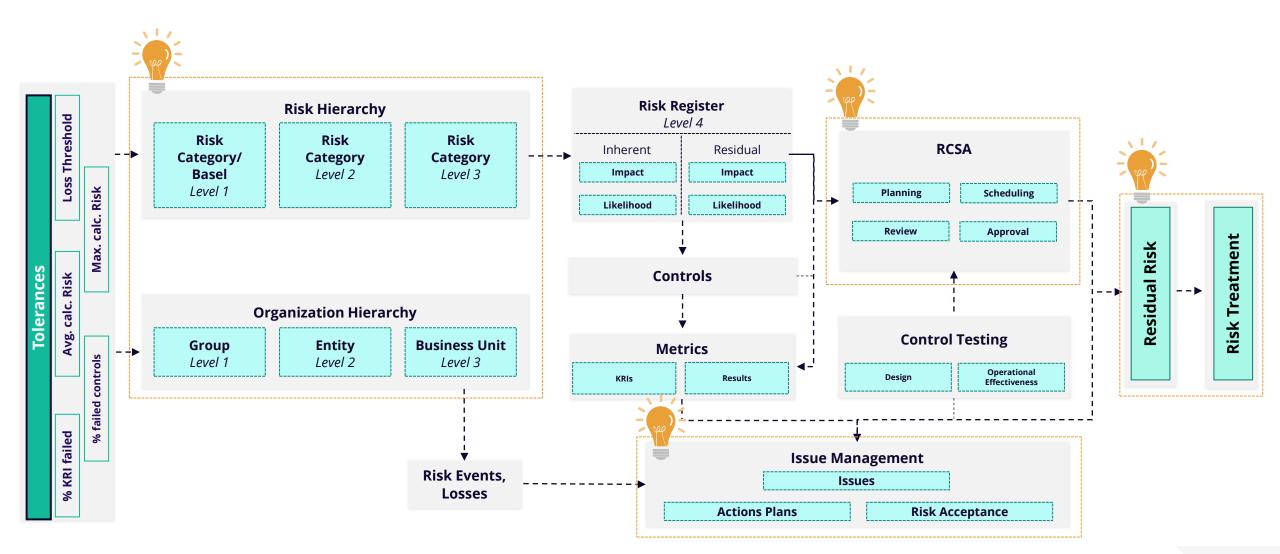
CLOUD

- On-Demand, Self-Service and Secure
- Rapid Elasticity and Scalability
- Low-Code / No-Code SaaS Platform



AiSPIRE Connected Risk

Stay resilient in a rapidly changing landscape with AI-powered risk management



Identify Hidden Relationships

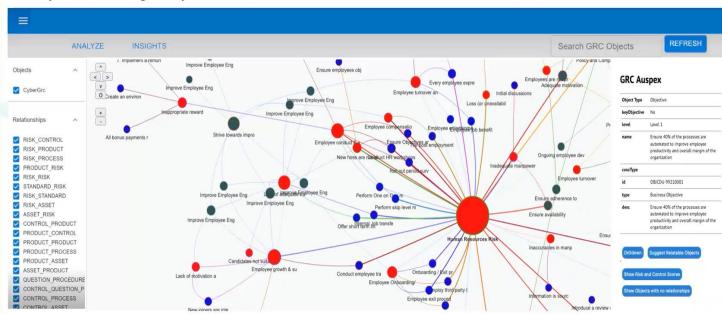
Visualize complex relationships between Policies, Process, Risk and Controls

AiSPIRE Identifies missing relationships

Enables effective risk identification

Make better decisions, faster and lower risks with actionable intelligence

Enterprise Knowledge Graph



Assessment **Scope Advisor**

Generate risk profiles for LOBs/Entities

Increase coverage by recommending risks for assessment

Enhance efficiency by recommending controls

AI BASED SCOPE ADVISOR		/ 0
Previously Assessed Risks	☆ ▼ 州 : ⊠	Common Risks 🏚 🗸 🖏 🗄 🖏
Risk Name 👻	Risk Rating	Risk Name
ORGANIZATION : Mortgages (6)		⊙ ORGANIZATION : MOrtgages (7)
Flood Disaster Protection Risk	Low	🛞 FROM SIMILAR RISK PROFILES OF: Commercial and Industrial Loan, Commercial Real Estate Loans, Equity Loans and Lines of Cre
Operational Breakdown	High	Fair Credit Reporting Risk
Real Estate Settlement Procedures Risk	Medium	Supplier Distribution Risk
Fair Credit Reporting Risk	High	Natural Disaster Risk
Truth In Lending Risk	Medium	Financial Risk
Fair Debt Collection Risk	High	Flood, Fire & Explosion Risk
		Construction Risk
Page 1 of 1 Records Per Page: 20 ¥	((1)) Records 1 - 6 of 6	Page 1 of 1 Records Per Page: 20 V ((1) Records 1 - 7 of 7
Machine Learning based Risk Recommendations		¢ v ∄ 1 13

Machine Learning based Risk Recommendations

Risk Name	•	Associated Risks	•	Effective Controls	Ineffective/Partially Effective Controls	•
ORGANIZATION : Mortgages (3)						
Financial		 CREL 1001 – Income Statement did not match what was reported EL&LC 1003 – Pre-approved loan exceeds credit line limit CREL 9013 – Job loss due to pandemic 		Credit Line Tracking framework across lender profile Adjustment Plan for Income Stream Reduction or Loss	 Pre-approved offer on Loan Annual employment status monitoring 	
Credit		C&IL 0020 – Credit score was not sufficient for Industrial Io. CREL 1022 – Fair Credit Reporting falsified to acquire lower interest rate		 Implement Reputational credit auditing services for accurate credit scores Increase interest rate on low credit score Continuous Monitoring of Credit Scores 	 Automatic Approval on lending Pre-Credit check approval Annual monitoring on Credit Scores 	
Natural Disaster		1. CRFI 2011 – Brick and Mortar store damaged by flooding		1. Emergency Response framework for an event in Natural	1. Report remaining debt to collecting agencies	
the second s						



Discover Recurring Issues & Missing Risks

Determine dominant issue themes

Identify reoccurring patterns, related issues, missing risks and controls

Recommend next best action

Standardize issue taxonomy

Issue Creation							
metricstream # · Issue Management) Overvlew Issues	Actions Respond to Issues					Q	■ * 5 * ® ®
ISSUE @-O-O-O-O (TRATION) PERSONAL USD TERM DEPOSITS - AML GAPS		8 *	isue Due Date	Owner	Status New		Save Submit + Close
General Issue Details Classification Source Ownership and Security	SENERAL Issue Details ™trie* Suture	Personal USD Term Deposits - AML Gaps New					
Relationships Root Cause	Business Remediation Completed *	No *					
Action Flan C Additional Details	Description *	AML information is not being captured consistently at account op not be compliant to AML requirementes	sen or point of sale for USD	Term Deposits which are boo	ked on the IBTSS system. As a result, client and p	moduct records on ECIF ma	iy R
	Date First Identified *	Date First Identified					
	Issue Due Date *	Issue Due Date					
	Review Group Due Date	Review Group Due Date					
	Classification						
		Confidential Issue					
	Plan for a Plan	Plan for a Plan		*			
	Stream *	Stream					•
	Issue Classification	Issue Classification					
	Subsidiary Issue Classification	Subsidiary Issue Classification +					
	SOX Classification Rating	SOX Classification Rating +					
	Exception Type	Exception Type 👻					
	Priority	Phonty					
	Issue Locations *	Issue Locations					ांच,
	Legal Entity Impacted *	Legal Entity Impacted					iα.
	RCM Theme(s)	RCM Theme(s)					and the second s
		Repeat Issue ?					
	Types	× Deficiency					•
	Related Issues	Personal USD Term Deposits - AML Gaps	AML Third Party Beneficiary	information			• · · · · · · · · · · · · · · · · · · ·
18%	Source						
	Source Type *	Source Type 👻					



Brand New User Experiance

Euphrates 2

New Assessment Experience!

Improved collaboration with fellow assessors

Manage and act on pending assessments from one centralized location

New form layout seamlessly combines 'Tab' convenience with 'Section' organization

Left pane ensures constant access to contextual information

M metricstream	Ris	k Management		60	Share & Sea	rch Opt	Ctrl K
Image: marked black blac							1
■ Risk Assessments Due for My Action (233) ☆ :					C ()		≪ ⊉
ELAYOUT ₹ FILTER ₹ SORT SGROUPS COLUMNS							
Risk	Status 👻	Inherent	* Control	* Residual		Due Date	
Assessment Assess Safety and Maintenance related Risk (1)							
V Organization LOB - MidWest Power (1)							
 Assessable Item Ensure availability of adequate plant parts at all times (1) 							
E Computer System and data is not physically secure	Sent for Assessment	• Very High (150)	High (100)	bur Low (50)			
V Organization LOB - MidWest Power (1)							
 Assessable item Ensure availability of adequate plant parts at all times (1) 							
E Loss of containment of H2S and hydrocarbons in the plant may lead to accident, environmental pollution, loss of production and affect	Sent for Assessment	• Very High (150)	High (100)	e Low (50)			
Non compliance to the defined flaring limits and ambient air norms / limits	Sent for Assessment	• Very High (150)	ligh (100)	Low (50)			
Absence of Online hydrocarbon analyzers / Unreliable Gas meters, to provide an assurance of correct mass balancing.	Sent for Assessment	Very High (150)	High (100)	🔴 Low (50)			
Assessment Ongoing Plan GG - 001 (2)							- Bestart
and the second							

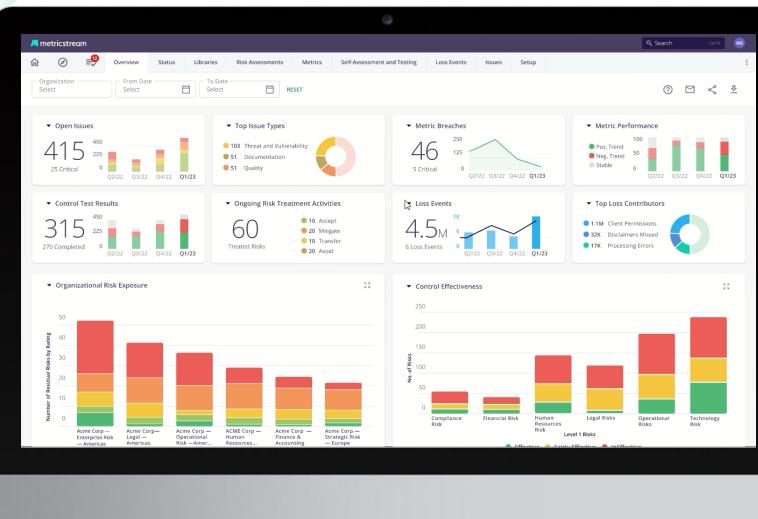
Enhanced Insights and Reporting

Comprehensive view of the organization's risk landscape

Deeper insights with interactive analytics and intuitive drill-down capabilities

Ability to quickly identify trends, investigate issues, & analyze control test results

Filters enable focused analysis based on specific timeframes and areas of interest



Risk Assessment Simplified for Non-BFSI Customers

Pre-defined, Configurable Methodology

Comprehensive view all applicable risks and assessment results

Capture, Assess, Treat and Monitor risks from one place, Risk Register

Ongoing evaluation of risks to ensure continuous and proactive risk management

M	metricstream			SRA	÷		6	९ Search	OptionS
俞	0 🕫	Enterprise Risk Simplified Risk Assessment							1
	Risk Register	(233) 🕁 🚦			C	0 ¤ & «	S 👲 ADD FR	OM LIBRARY	ADD NEW RISK
	LAYOUT = FILT	fer = Sort 🖾 Group 🕮 Columns							
	ID 👻	Risk 👻	Reassess Status 👻	Assessed on 👻	Review Due In (Days) 👻	Inherent <fact *<="" th=""><th>Inherent <factor 2=""> *</factor></th><th>Risk Score 👻</th><th>Inherent Rating 👻</th></fact>	Inherent <factor 2=""> *</factor>	Risk Score 👻	Inherent Rating 👻
:	RSK-0000001	Loss of servers and the server room network	Assessed	07/22/2021	0	😑 Medium	● High	35	😑 Medium
:	RSK-0000002	Data Protection & Cyber Threat Management	Overdue	07/22/2021	120	\varTheta High	😑 Very High	15	😑 Medium
:	RSK-0000003		Upcoming	05/21/2023	60	😑 High	Medium	12	Medium
:	RSK-0000004	Internal exposure of data (error or misuse of data access)	Assessed	07/22/2021	0	😑 Medium	Medium	9	😑 Medium
:	RSK-0000005	Data Protection & Cyber Threat Management	Assessed	07/22/2021	0	😑 Medium	Medium	20	Very High
:	RSK-0000006	Internal data theft (unauthorized access to data)	Assessed	07/22/2021	0	🔴 Very High	😑 High	25	😑 High
:	RSK-0000007	External theft of electronic data by cyber attack	Upcoming	05/12/2023	20	Very Low	Very Low	15	\varTheta Very High
1	RSK-0000008	Data Protection & Cyber Threat Management	Assessed	07/22/2021	0	🖲 High	Very High	15	Very Low
:	RSK-0000009	Internal data theft (unauthorized access to data)	Overdue	04/12/2021	200	High	🗧 High	25	Low
:	RSK-0000010	External theft of electronic data by cyber attack	Overdue	04/12/2021	200	😑 Medium	😑 Medium	25	😑 High
:	R5K-0000011	Compliance or Legal breach due to inappropriate data handling	Upcoming	05/21/2023	60	🔴 High	🔴 High	24	• Medium
:	RSK-0000012	Internal exposure of data (error or misuse of	Assessed	07/22/2021	0	Very High	Medium	12	 Medium

1 Year





Enable Risk Professionals to Save Time by Streamlining Data Loading and Management

• Upload risk assessments in bulk to avoid time-consuming manual data entry



Empower Risk Managers & Analysts to Implement Well-governed Integrated Risk Management Processes

- Define the risk appetite to decisively influence the achievement of the objectives defined by the organization
- Perform rapid and pervasive risk assessments to help formalize decision making and ensure that the process is reproducible, consistent, and the results are easy to communicate
- Review/Challenge risk assessment results to ensure robustness & identification of weaknesses in the process or thought
- Analyze cause & consequences of risk events using Bow-Tie diagrams



Intuitive & Intelligent Risk Assessment Process with Cognitive Automation

- Identify unknown trends and emerging risks by analyzing the risk postures exhibited by other similar business units within the enterprise
- Identify emerging risks/trends specific to industry/geolocation

GRC SUMMIT 2023 MIAMI, JUNE 14 & 15 Hosted by MetricStream Questions M metricstream thrive on risk™



What's New

Last Year in Review

What's New in ERM and ORM

Last Year In Review



The MetricStream GRC workflows, based on Industry best practice standards for all stages of Risk Management are infused with AI/ML capabilities to enable intelligent automation and augmentation.

Risk Identification	Risk Identification Risk Assessment Risk Treatment		Risk Monitoring & Reporting			
Stage 1:	Stage 2:	Stage 3:	Stage 4:			
Set up risk management philosophy of the organization, sets objectives / requirements for the organization	Analyze the risks considering likelihood and impact, assessment of risks based on inherent and residual risk	Identify strategies for treating risks, including establishing appropriate controls to prevent risks or mitigation actions to minimize impact	Monitor risks, treatments plan and controls, quantify risk to enable reporting for escalation and actioning			
Al centric workflows to rationalize objectives and requirements from standard regulatory / reporting frameworks including CyberGRC and ESGRC	AI centric risk assessment scope advisor workflows to recommend risks for assessment based on historic risk analyses & other related business units, FAIR++ methodology for risk quantification	Al centric workflows to map controls to risks and requirements, identify missing controls and/risks based on risk events and issues	Al centric workflows for continuous control monitoring and reporting, Third Party compliance monitoring using automated survey processing, issue insights for theme identification.			