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Future of GRC is CONNECTED

COGNITIVE

From Data to Decision Making

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

CONTINUOUS

From Workflows to Hyper Automation

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

CLOUD

Next level of Simplicity

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

CONNECTEDGRC

BUSINESSGRC

CYBERGRC

ESGRC

Low-Code / No-Code GRC Platform

COGNITIVE

CONTINUOUS

CLOUD

CONNECTEDGRC

BUSINESSGRC

Integrated Risk, Compliance, Audit

- Enterprise / Operational Risk
- Operational Resilience
- Internal Audit
- Business Continuity
- Third-party Risk
- Regulatory Compliance
- Policy Management
- Regulatory Change
- Regulatory Engagement
- Case & Incident

CYBERGRC

Safeguard Against IT & Cyber Risks

- IT & Cyber Policy
- IT & Cyber Compliance
- IT & Cyber Risk
- IT Vendor Risk
- Business Continuity

ESGRC

Enable Growth with Purpose

- Disclosure Reporting
- Metrics Management
- Assessments & Certifications

Low-Code / No-Code GRC Platform

COGNITIVE

CONTINUOUS

CLOUD

EUPHRATES

October 2022

Enhanced GRC Low-Code / No-Code

Oct 2022

Hyper-configured CyberGRC & ESGRC

Feb 2023

AiSPIRE
Knowledge Centric GRC

Jun 2023

Autonomous Cloud Risk & Compliance

Nov 2023

Revolutionary User Centric Experience

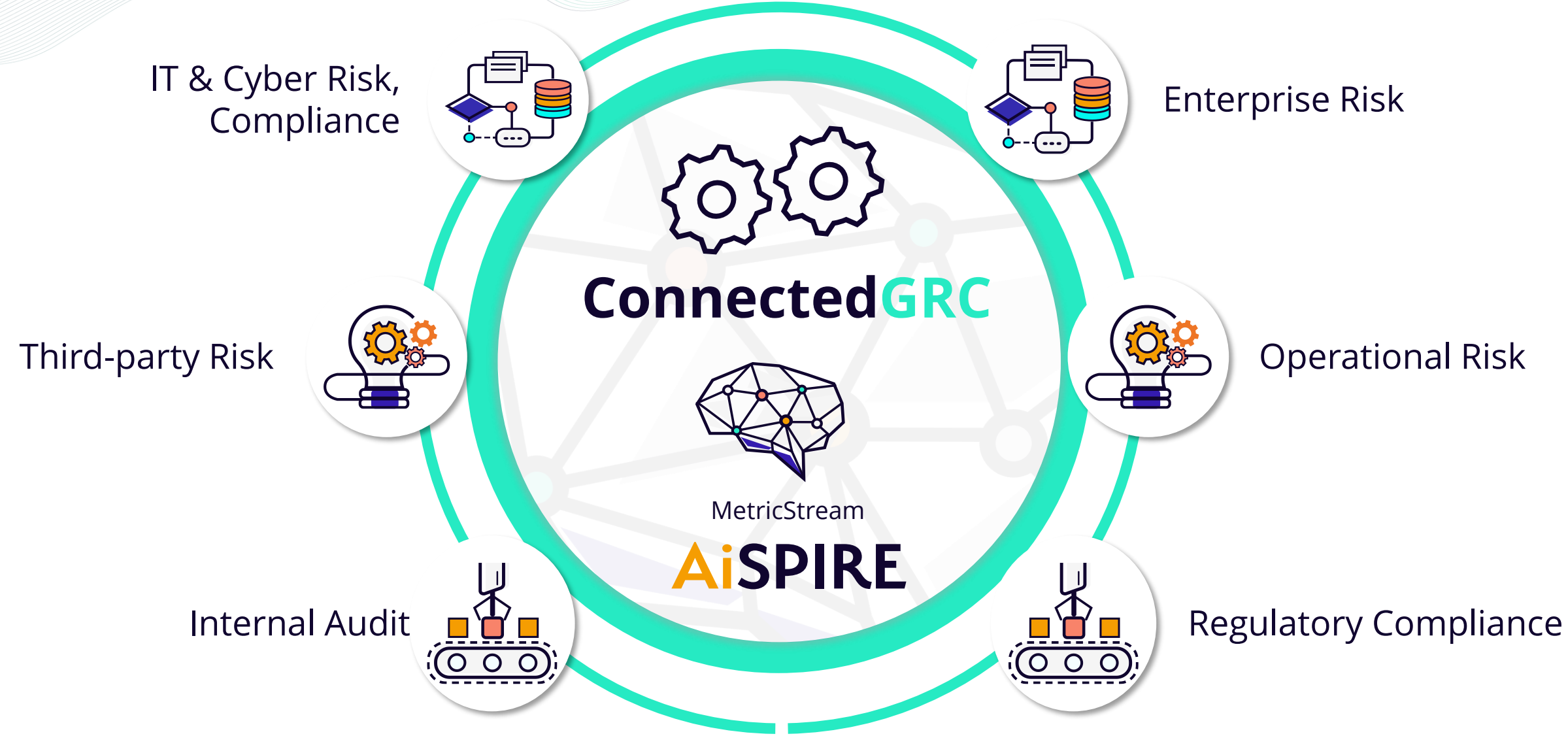
Mar 2024

Launching Today

A Large global bank has 500+ analysts conducting 10K+ annual assessments and tests

Consistently recorded ~95% pass rate of control tests / assessments

Contradicting the fines, law-suits and customer complaints face by the bank


IT & Cyber Risk, Compliance
Enterprise Risk
ConnectedGRC
Third-party Risk
Operational Risk
MetricStream
AiSPIRE
Internal Audit
Regulatory Compliance

Enterprise & Operational Risk

Regulatory Compliance

Internal Audit

Finance & Internal Controls

HR

IT & Cyber

Process, Risk Control Libraries

Assessments, Tests

Issues

ConnectedGRC

MetricStream

AiSPIRE

*"**What** controls should be tested?"*

*"**When** should the controls be tested "*

MetricStream

ServiceNow

Archer

OneTrust

Auditboard

Any Other

Process, Risk Control Libraries

Assessments, Tests

Issues

ConnectedGRC

MetricStream

AiSPIRE

*"**What** controls should be tested?"*

*"**When** should the controls be tested "*

Get answers to questions from your own data easily

metricstream
thrive on risk

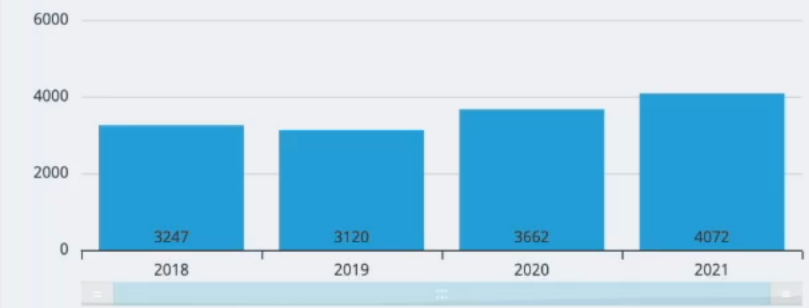
Self-Service Reporting | Select Dashboard | Summary | Logout

Ask Me | Type a question about your data

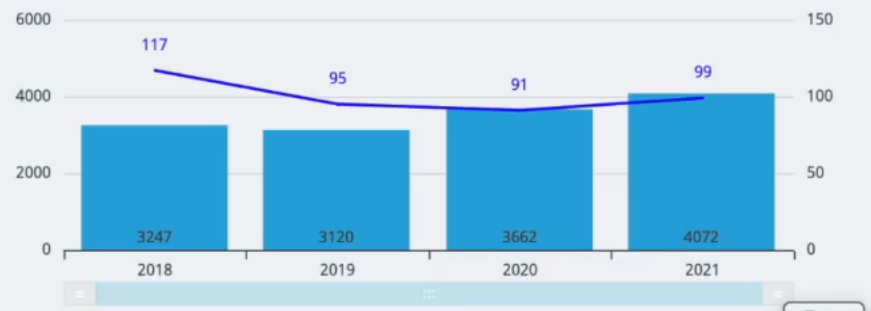
Summary | Optimization Test Strategy

Analytics

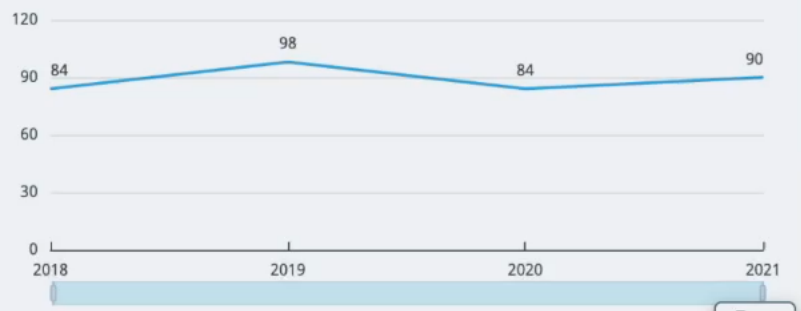
Total Test Count



Count of Testers Performing Control Testing

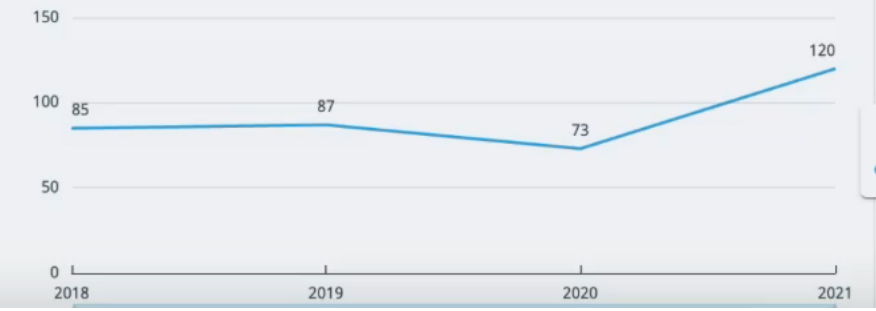


Control Test Failure Trend

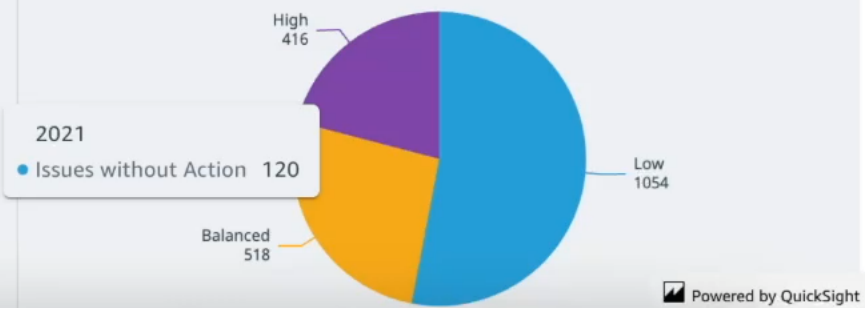


Count of Issues Based on Type

Issues with Missing Actions



Control Connectedness



Identify patterns of redundant controls affecting testing programs & resource utilization

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thrive on risk

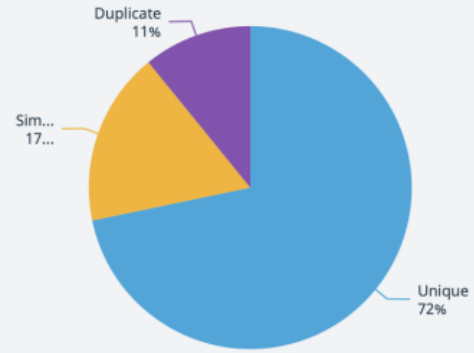
Self-Service Reporting | Select Dashboard | Control Canvas | Logout

Ask Me | Type a question about your data

Summary

Controls | Select LoB All

Control Canvas



Control Redundancy

4.68% Controls are Duplicate within the Same LoBs and these Controls were tested **93 Times**

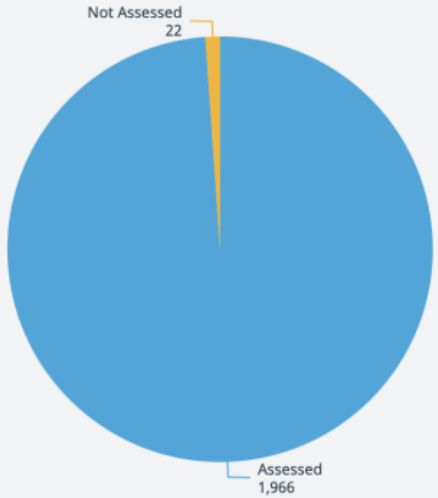
6.19% Controls are Duplicate across Similar Risk Profile LoBs and these Controls were tested **123 Times**

13.83% Controls are Similar within the Same LoBs and these Controls were tested **275 Times**

4.58% Controls are Similar across Similar Risk Profile LoBs and these Controls were tested **91 Times**

144 Detective/Preventive Category mismatched identified

Control Assessment



Duplicate & Similar Control Theme

DUPLICATE CONTROLS WITHIN SAME LOB

Group	Insight	Control ID	Control Name
CTRL- 1100956 (3)			
CTRL-11000553 (2)			
	Duplicate Controls In Same Org	CTRL-11000553	Analysis of Service Reports(s) by Auditors<mask>
	Duplicate Controls In Same Org	CTRL-11000867	Analysis of Service Reports(s) by Auditors<mask>
CTRL-11000765 (2)			
CTRL-11000572 (3)			
CTRL-11002856 (6)			
CTRL-11001456 (2)			

Total Rows: **91** Selected: **1**

Pivot Mode

Search...

- Insight
- Control ID
- Control Name
- Control Description
- Testing Frequency
- Due Date
- Test Result
- Duration (Days)

Row Groups

Primary Control

Values

Drag here to aggregate

Columns

Filters

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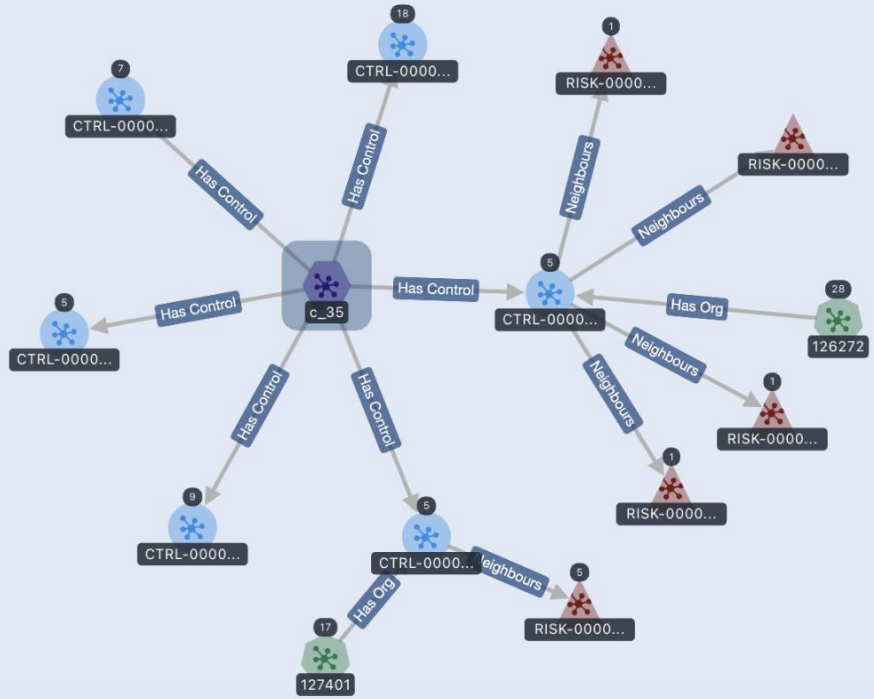
Self-Service Reporting | Select Dashboard | Control Canvas | Logout

Ask Me | Type a question about your data

Summary | Recommendation | Detective/Preventive | Assessed/ Not Assessed | Control Testing | Failed Controls | Controls With Issues | Graph

Graph View

Layout
Force Directed (F0Cose)



Details View

Theme
c_35

Neighbors (6)

Controls 6 6

Properties

Node Id
c_35

Node Type
Theme

Id
c_35

Name
The Anti-Money Laundering (AML) Control Group is a specialized unit within an organization that is dedicated to ensuring compliance with AML laws, regulations, and internal policies.

Identify recurring patterns of control weakness from Issues, Front line observations, Risk Events and Losses

Signal Canvas

There are 6,332 Actions linked to a total of 3,511 issues

There are 3 issues that do not have any GRC Connections

438 issues do not have any associated actions

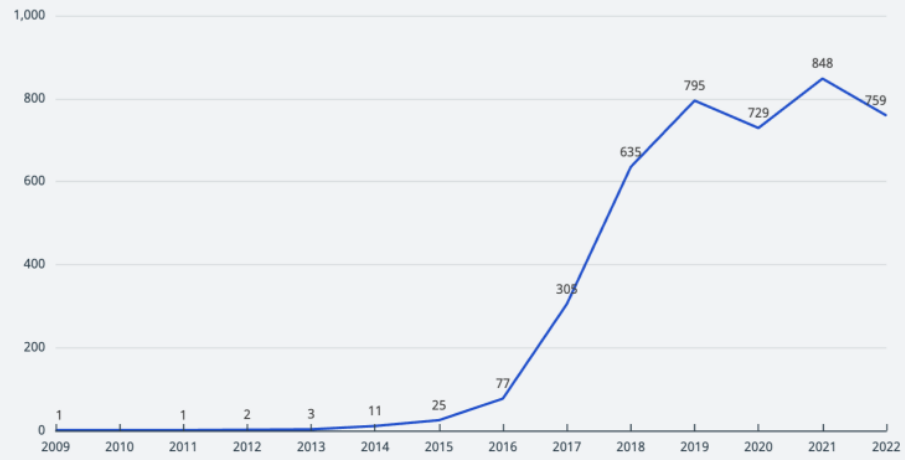
Issue Connectedness

3,511 issues are linked with

- 3,063 Risks
- 2,292 Processes
- 2,131 Standards
- 705 Controls
- 449 Requirements
- 252 Products
- 20 Organizations

The Total count of issues based on the type are
3,232 with the type Deficiency
274 with the type Risk Item

Trending Issues



1,528 Actions are recommended for 112 issues, that are without any previous associated actions

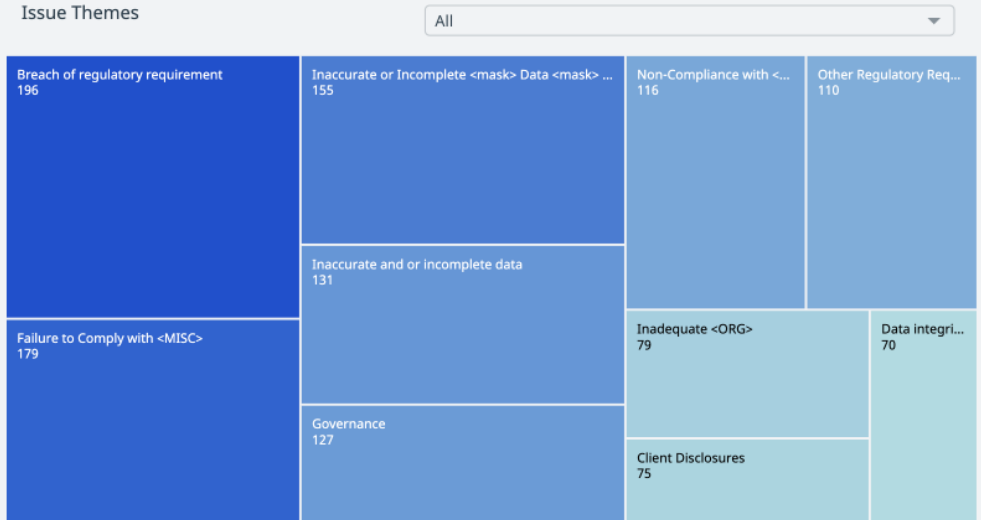
699 control recommendations for 2,806 issues

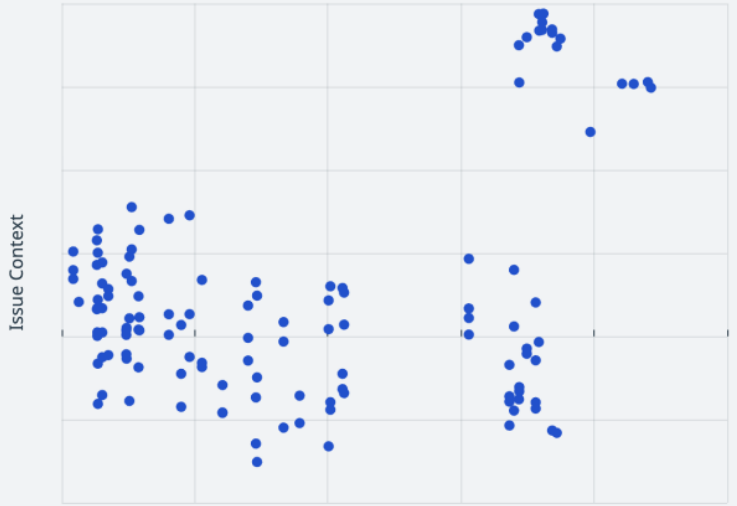
83 Risk Recommendations for 474 issues

269 Duplicate issues are identified

1,952 Similar issues are identified

Issue Themes





CONTROL RECOMMENDATIONS

Group	Issue ID	Issue Title	Control Name	Submit	Issue Description
CTRL-00002... (42)					
	ISSUE-1100547	Inadequate risk assessment and identificatio...	Enhanced Risk Assessment and Cus...	Submit	Inadequate risk
	ISSUE-000007...	<DATE_TIME> Reverse Mortgage Complianc...	<ORG> Flood and Appraisal Proced...	Submit	Three of ** (**%
	ISSUE-000008...	Loan Pricing <mask>-***	<ORG> Flood and Appraisal Proced...	Submit	<mask> credit a
	ISSUE-000010...	<DATE_TIME> Residential Construction Com...	<ORG> Flood and Appraisal Proced...	Submit	Finding: <mask>
	ISSUE-000010...	<DATE_TIME> Residential Construction Com...	<ORG> Flood and Appraisal Proced...	Submit	Finding: <mask>
	ISSUE-000010...	<DATE_TIME> <mask> <mask> Home Mortg...	<ORG> Flood and Appraisal Proced...	Submit	Finding: <mask>
	ISSUE-000012...	<DATE_TIME> Flood Compliance - Preferred...	<ORG> Flood and Appraisal Proced...	Submit	"Finding: <mask

Columns Filters

Total Rows: **2,883**

Auto-recommend Test Plans based on mined signals

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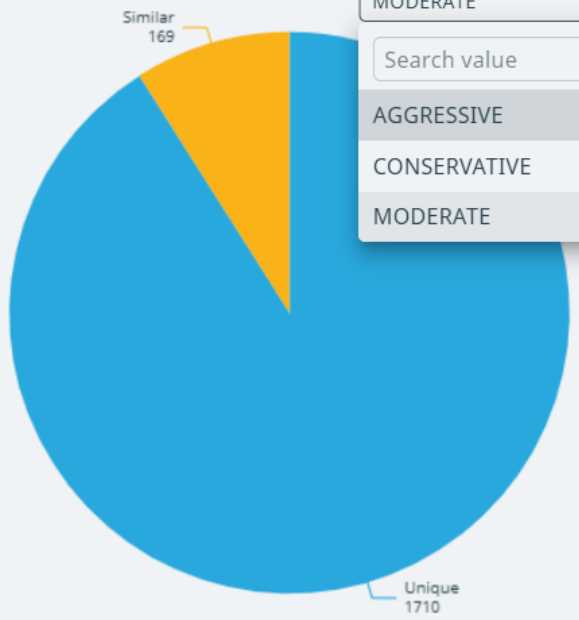
Self-Service Reporting | Select Dashboard | Summary | Logout

Ask Me | Type a question about your data

Summary | Optimization Test Strategy

Control Rationalization



Optimization Strategy

MODERATE

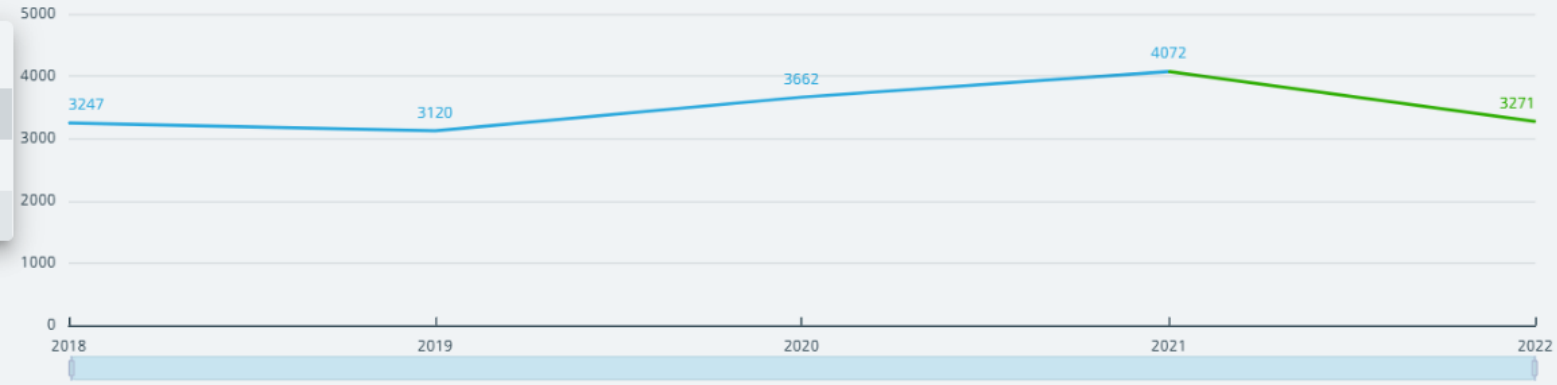
Search value

AGGRESSIVE

CONSERVATIVE

MODERATE

Control Test Rationalization



Total Control Count: **1988**

Post Optimization Control Count: **1795**

Savings Based on Optimization Strategy

Rationalization	Savings
Control Rationalization	Est savings $579000 - $1158000
Control Test Rationalization	Est savings $801000 - $1602000

Total Recurring Annual Savings:
$1,380,000.00 - $2,760,000.00

TEST PLAN RECOMMENDATIONS

Group	Control ID	Control Name	Curre...	Recommendation Ac...	Action	M
Personal Banking (3)						
Re-test (2)						
	CTRL-1100178	Thorough Assessment ...	Quarterly	Schedule Control Test ...	Take Action	
	CTRL-1100124	Sharing of Information t...	Quarterly	Schedule Control Test ...	Take Action	
Optimize (1)						
	CTRL-1100119	Ongoing Anti-Money L...	Quarterly	Once in 6 months	Take Action	
Mortgages (6)						
Optimize (6)						

Total Rows: **274**

Pivot Mode

Search...

- LOB
- Control ID
- Control Name
- Current Test Frequency
- Recommendation Actio
- Recommendation
- Action
- Mode

Row Groups

- LOB
- Recommendation

Values

Drag here to aggregate

Columns

Filters

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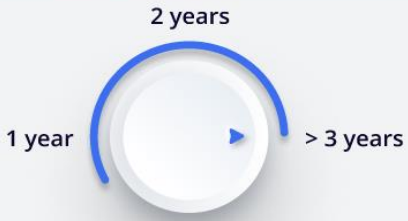
Self-Service Reporting | Select Dashboard | Configuration | Logout

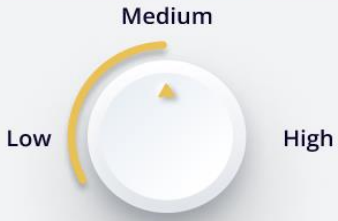
Ask Me | Type a question about your data

Configuration

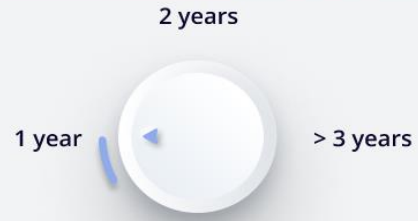
Control Performance



Performance History

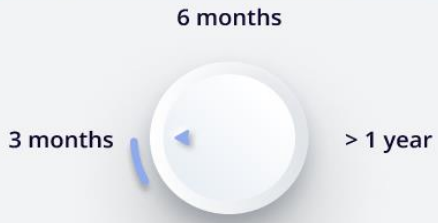


Risk Rating

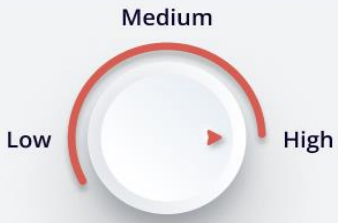


Associated Library Updates

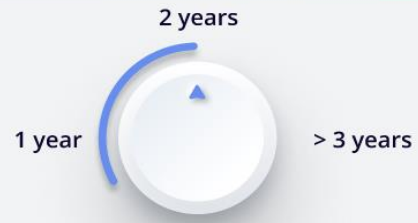
Signal Management



Issues / Frontline Observations

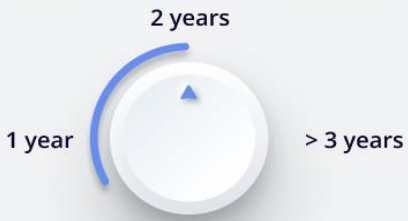


Risk Events

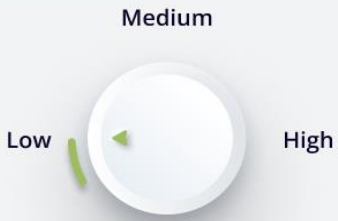


Internal / External losses

Network Intelligence



Performance History Of Similar Controls



LoBs With Similar Risk Profiles

Regulatory Changes

Before

3,000+
Controls

3,000+
Issues

5,000+
Control Tests Per Year

After

2,000+
Controls

2,000+
Issues

3,000+
Control Tests Per Year

20% - 40%
Reduction in Controls, Tests and Costs

Identify duplicate controls, control tests, un-mapped controls

Spot **under-testing and over testing** of controls and **automatically suggest tests**

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Enhanced Low-Code / No-Code
GRC Cloud Platform

10X faster upgrades, deployment and change management

Rapid-Application Extensions

Groovy-based GRC Domain-Specific Language, Emery workflows, Business rules

Upgrade-Safe

Customer-specific configurations retained to ensure faster and easier upgrades

IT Admin

Application Personalization & Configuration

Infocenters, reports, dashboards, templates to personalize user experiences

Easily Integrate, Export & Import Data

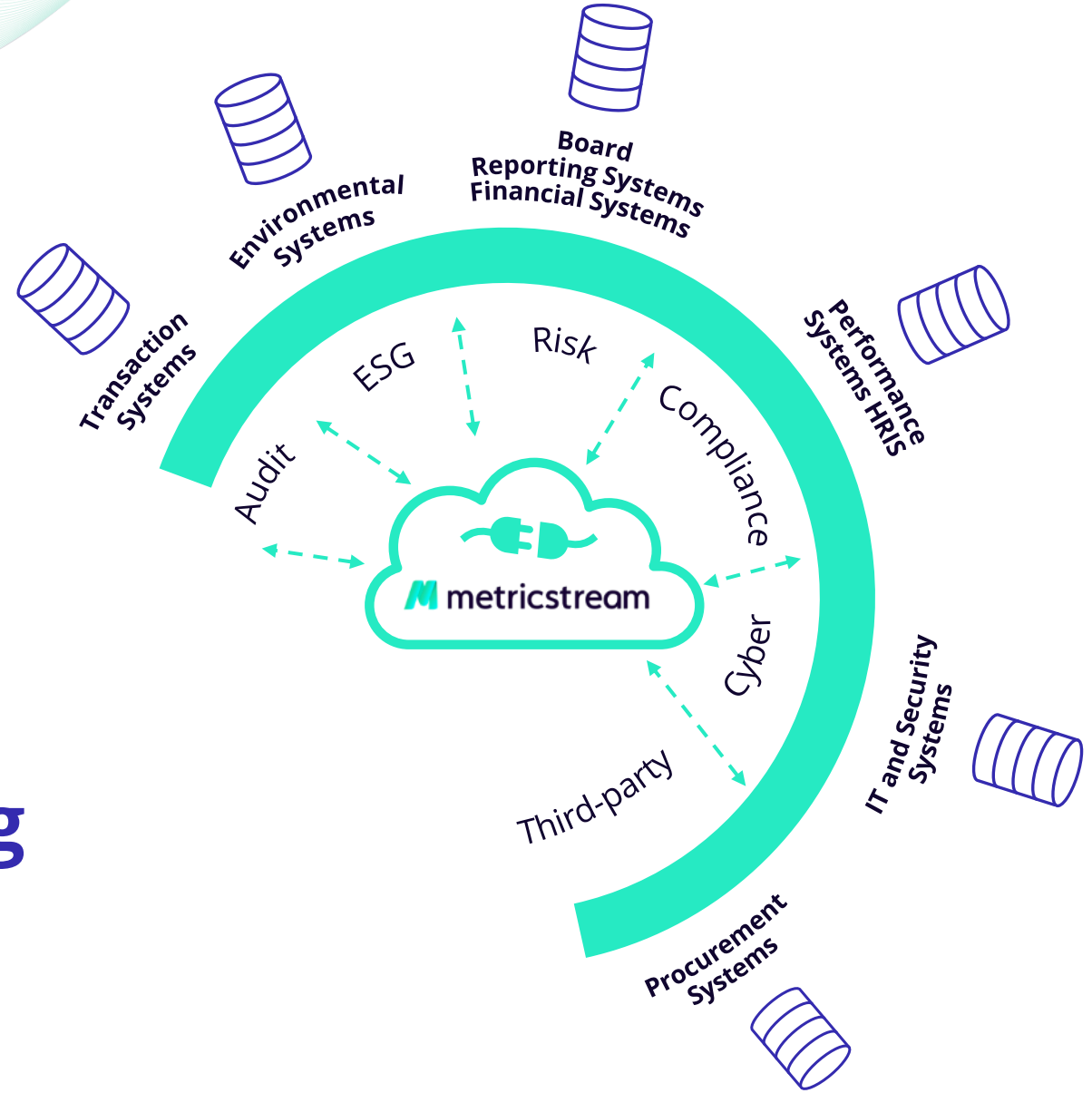
GRC APIs, Simple data upload utilities, Content Integration Service

Business Admin

200+ GRC APIs to Seamlessly Connect

with Your Ecosystem

for Monitoring, Assessments & Testing

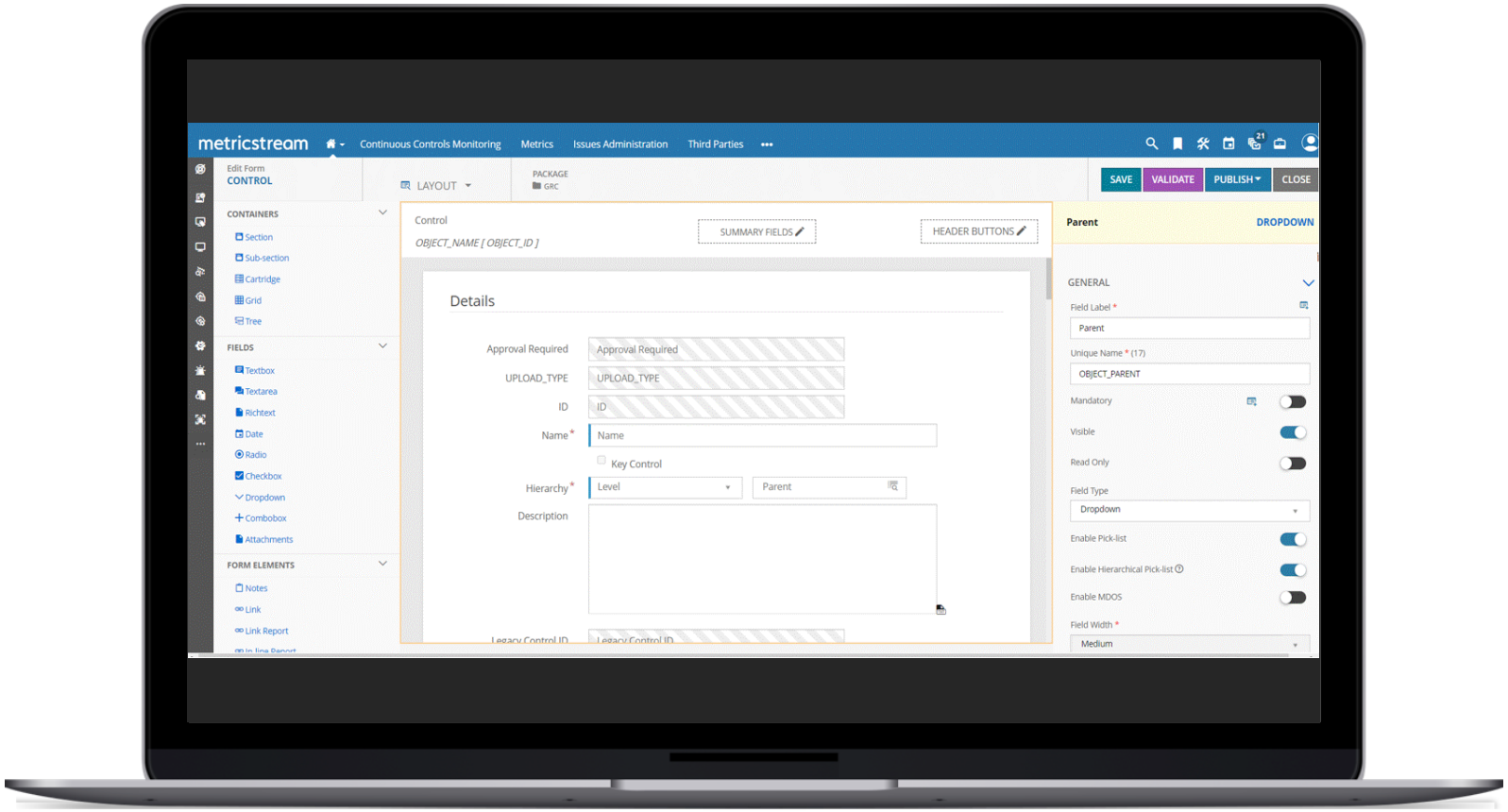


Faster Citizen Development

Ease of Integration

Cost of Upgrades

Lines of code to maintain & upgrade



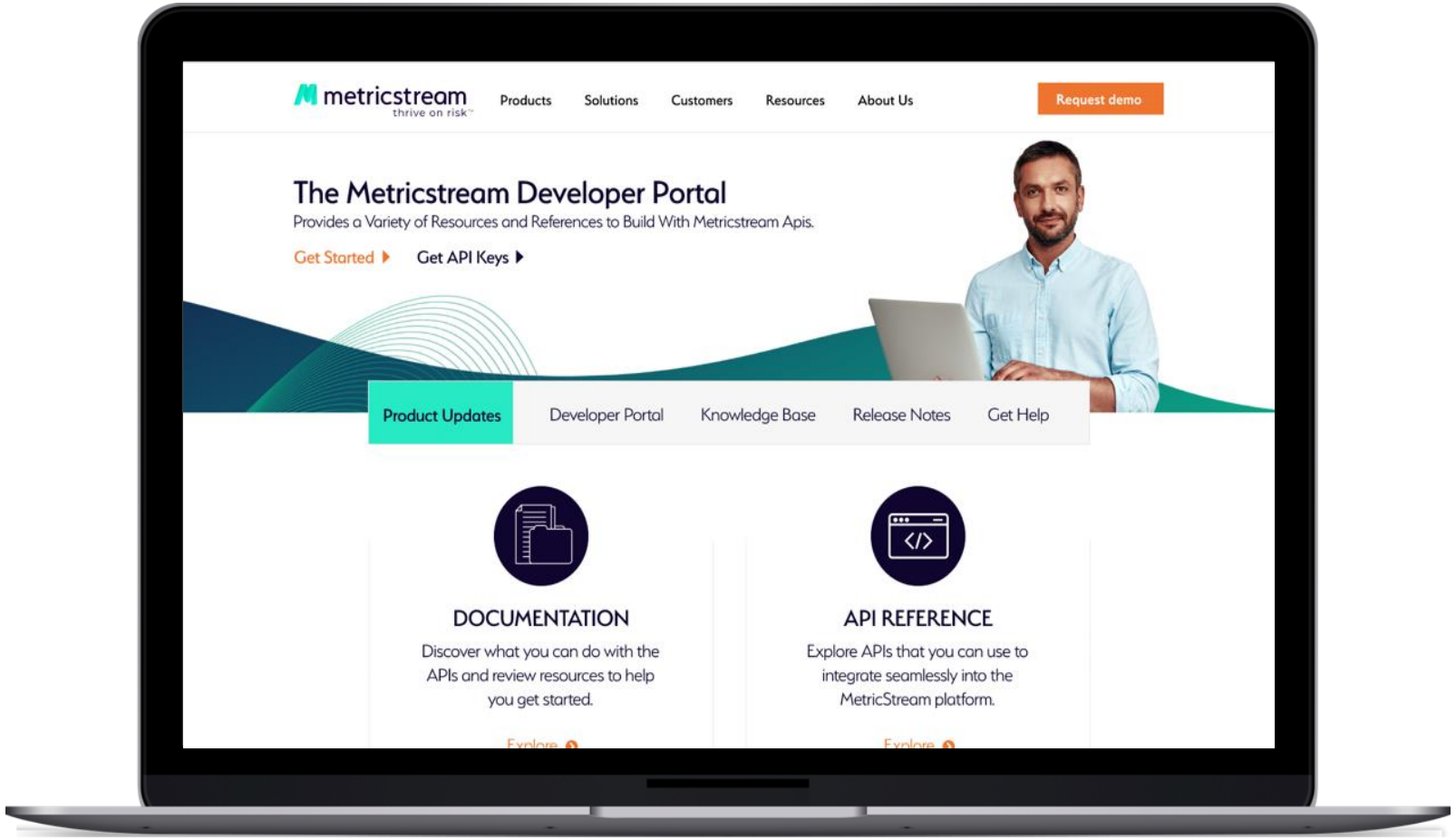
Easily Learn to Build
& Configure GRC Applications

Community

- Users
- Customers
- Partners / Developers

Learning Materials

- Documentation
- API Reference Guides
- Videos
- Use Case Documents



Revolutionary User Centric Experience

Full UI Framework uplift and 100+ journey level tweaks on a state of the art **React + D3 framework**

Explore & analyze data with **enhanced reporting & visualization**

Ease the adoption journey through **personalization**

Ramp up productivity with the new **simplified user journeys**

GRC
SUMMIT 2023
MIAMI, JUNE 14 & 15
Hosted by MetricStream
EXPERIENCE
the Power of Connection

Thank You