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Transforming Risk & Compliance

Agile Work Management with Microsoft Tools

MAY 2020

Agile Work Management Software
The perfect balance

Ad Hoc

Managing a risk and compliance program through the use of available productivity tools is common (using lists and documents)

- High flexibility to align to framework
- Lowest cost to implement and license
- Minimal options for process flow, data governance and access control
- Can be deployed quickly
- Lower quality data capture leads to minimal ability for automation and analytics
- Not scalable

Commercial / Off the shelf

Traditional approach to implementing an application to support the lifecycle of a risk management framework

- Designed for GRC framework and lifecycle, including process flow
- Limited flexibility for framework-specific requirements
- Highest cost to implement and license
- Strong data governance and access control
- Some pre-built reporting capabilities; limited APIs for automation integration
- Highly scalable

Microsoft's Agile Work Management is a perfect balance

It offers the scalability of a commercial solution with the accessibility and agility of an ad-hoc solution at low cost

- ✓ Highly configurable and can align to a specific framework
- ✓ Low cost to implement and license for existing Azure customers
- ✓ Strong process flow, data governance, and access control
- ✓ Flexible UI for creating queries to access specific management insights
- ✓ Direct integration with Power BI for analytics (DevOps)
- ✓ Direct integration with Power Automate for automation (DevOps)
- ✓ Highly scalable

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Benefits Breakdown

When you're managing through hundreds of Excel spreadsheets, you can only see what people are willing to share with you.

Risk, Control and Test Cycle Management

Our pre-configured DevOps environment has the ability to capture all relevant risk, control, and test cycle data.
The data is stored a relational format that supports one-to-one, one-to-many, and many-to-many relationships between items (e.g. processes, risks, controls, tests).

Process & Automation Ready

Compliance process data capture can be achieved through multiple means: bulk upload using Microsoft Excel's built-in add-in; individual entry through the DevOps online interface; or, automated entry using Microsoft Power Automate.

Security & Governance

As an agile work management tool, Azure DevOps has out of the box functionality to manage, track and maintain data stored in the environment, including a detailed audit trail.
Access controls are in place to limit edit rights for selected fields to specific security groups.

Insights

Microsoft Power BI has built in data connectors to integrate with Azure DevOps data allowing for seamless BI reporting.
This enables robust visualizations and reports showing risk and control matrices that can be customized via filters, test cycle tracking, and more.

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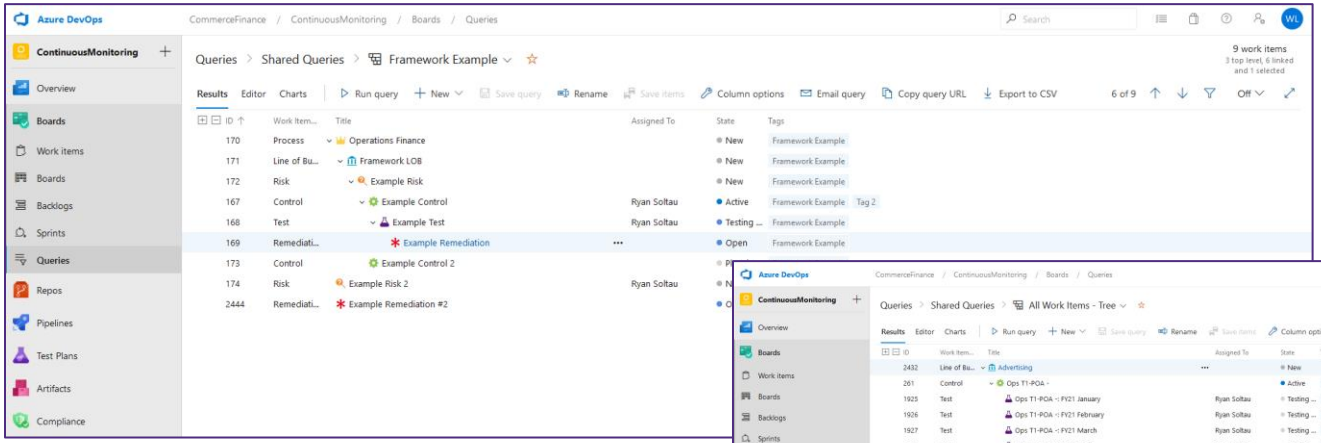
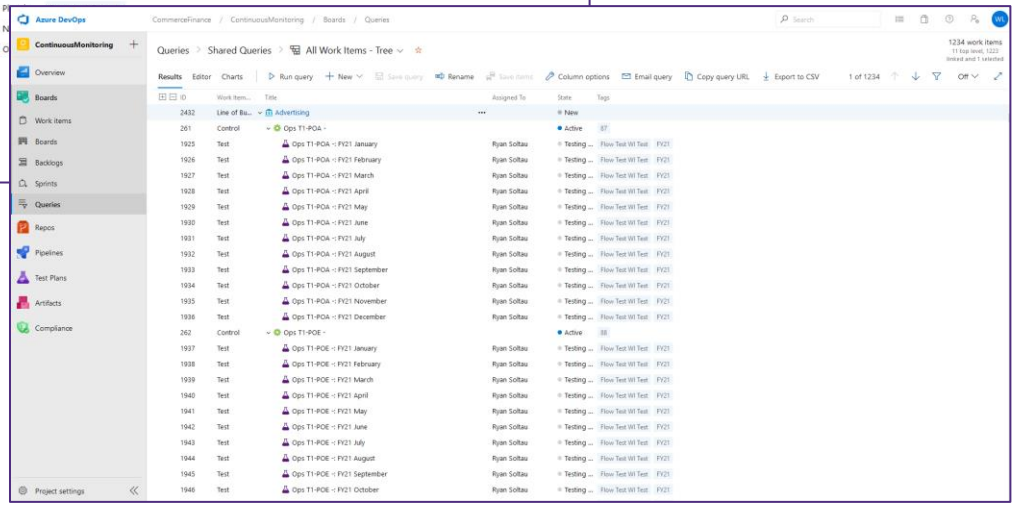
Risk, Control and Test Cycle Management





- Easy to navigate forms for day-to-day use in managing program tasks
- Allows configuration of trackable entities with relationships and process states to align to existing or desired framework
- Allows for hybrid approach combining planned program work and agile scheduling

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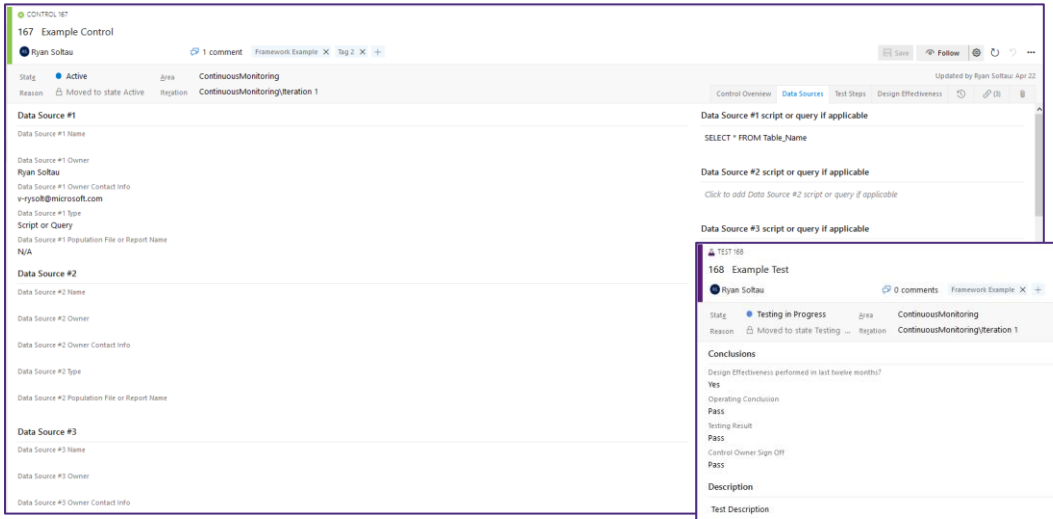
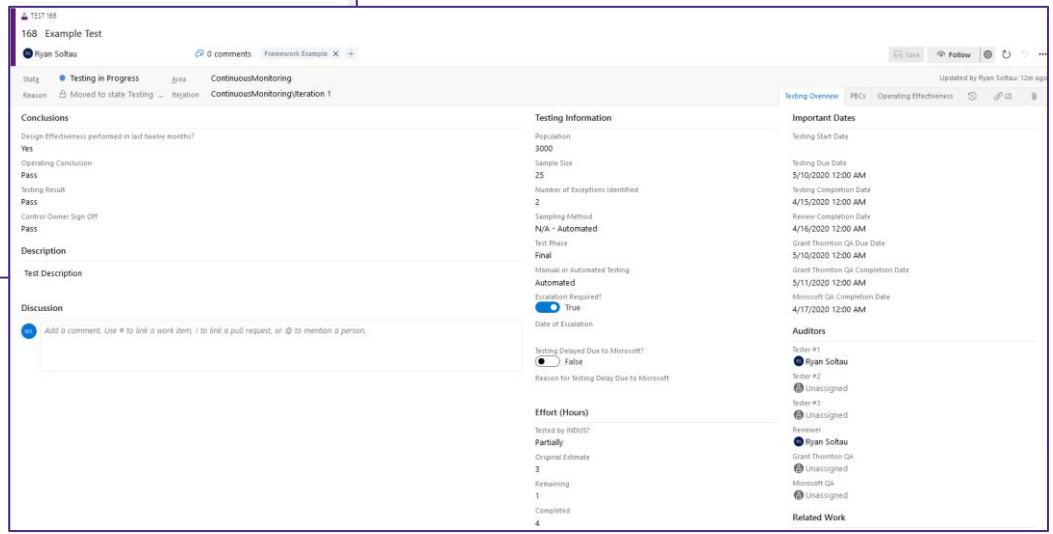
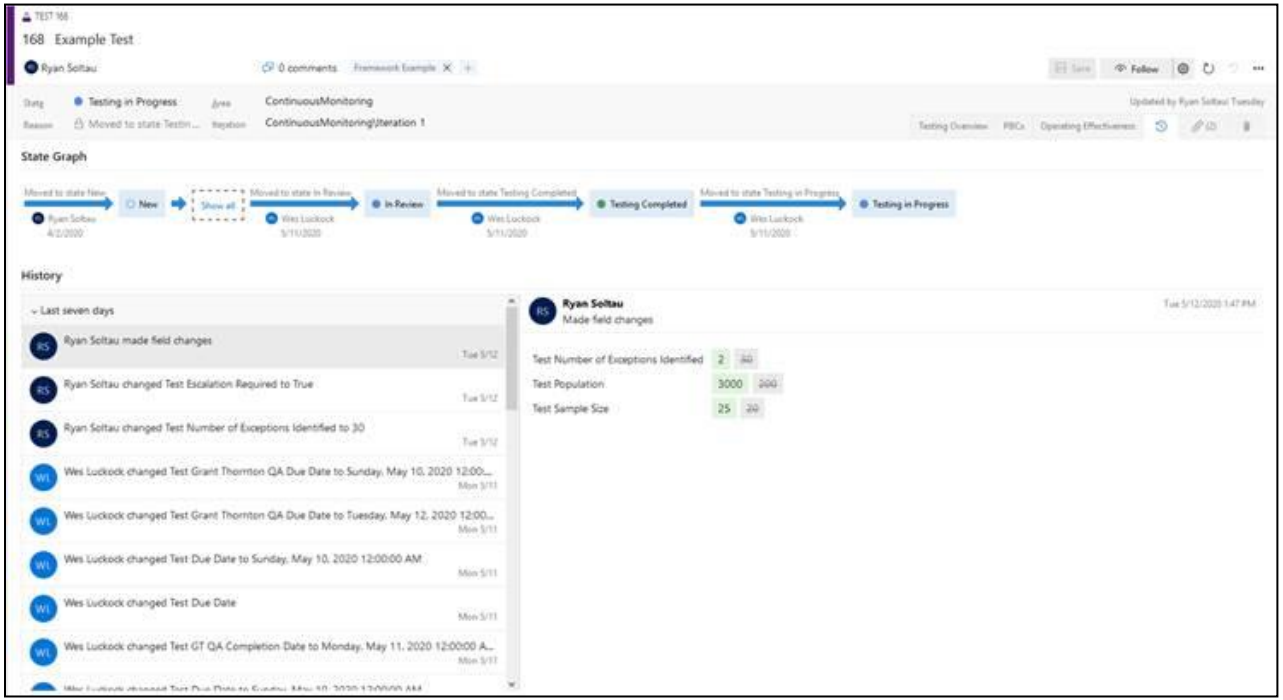
Data Capture





- Robust, configurable forms allow tracking based on framework, including but not limited to:
  - status,
  - communication,
  - file sharing,
  - operational attributes,
  - reporting attributes

Security & Governance



- Security and access control features are configurable to meet specific requirements
- Detailed audit trail capture for all changes to entities (e.g. risks, controls) and tasks (e.g. assessment, test, remediation)

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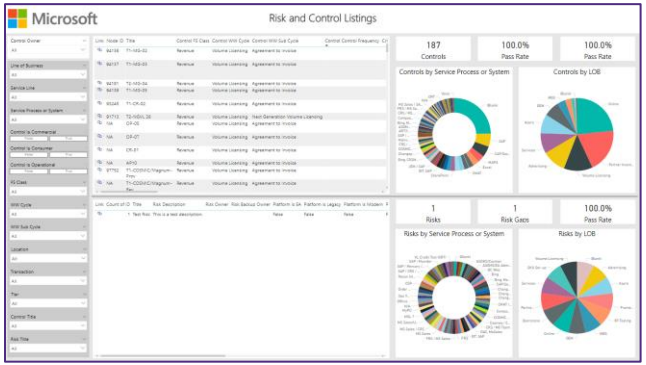
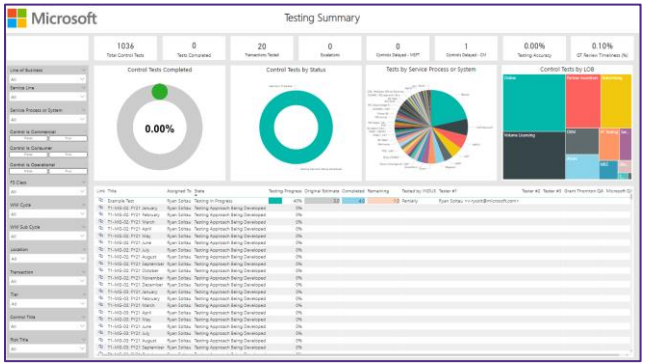
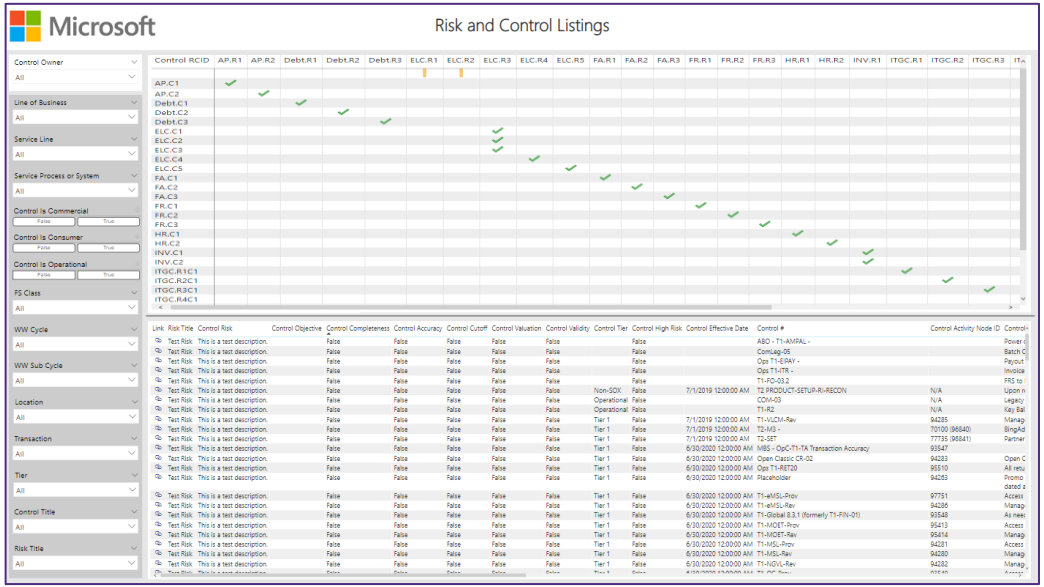
Reporting







- Pre-built connectors for Power BI integration allows for robust analytics, including but not limited to:
  - Visual representation of framework (e.g. risk and control matrix)
  - Status reporting,
  - Operational reporting,
  - KPI dashboards

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