



Transforming Risk & Compliance

Agile Work Management with
Microsoft Tools

MAY 2020



Agile Work Management Software

The perfect balance

Ad Hoc



Commercial / Off the shelf

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

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

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

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.

Risk, Control and Test Cycle Management

The image displays two screenshots of the Azure DevOps interface, specifically the 'Queries' section under 'CommerceFinance / ContinuousMonitoring / Boards / Queries'. The top screenshot shows a query titled 'Framework Example' with 9 work items. The bottom screenshot shows a query titled 'All Work Items - Tree' with 1234 work items.

Top Screenshot: Framework Example Query

Work Item ID	Title	Assigned To	State	Tags
170	Process -> Operations Finance		New	Framework Example
171	Line of Bu... -> Framework LOB		New	Framework Example
172	Risk -> Example Risk		New	Framework Example
173	Control -> Example Control	Ryan Soltau	Active	Framework Example, Tag 2
168	Test -> Example Test	Ryan Soltau	Testing	Framework Example
169	Remediati... -> Example Remediation		Open	Framework Example
173	Control -> Example Control 2			
174	Risk -> Example Risk 2	Ryan Soltau		
2444	Remediati... -> Example Remediation #2			

Bottom Screenshot: All Work Items - Tree Query

Work Item ID	Title	Assigned To	State	Tags
2432	Line of Bu... -> Advertising		New	
261	Control -> Ops T1-POA -> Ops T1-POA -> F121 January	Ryan Soltau	Active	IF
1925	Text -> Ops T1-POA -> F121 February	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1926	Text -> Ops T1-POA -> F121 March	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1927	Text -> Ops T1-POA -> F121 April	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1928	Text -> Ops T1-POA -> F121 May	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1929	Text -> Ops T1-POA -> F121 June	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1930	Text -> Ops T1-POA -> F121 July	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1931	Text -> Ops T1-POA -> F121 August	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1932	Text -> Ops T1-POA -> F121 September	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1933	Text -> Ops T1-POA -> F121 October	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1934	Text -> Ops T1-POA -> F121 November	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1935	Text -> Ops T1-POA -> F121 December	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1936	Text -> Ops T1-POA -> F121 December	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
262	Control -> Ops T1-POE -> Ops T1-POE -> F121 January	Ryan Soltau	Active	IF
1937	Text -> Ops T1-POE -> F121 February	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1938	Text -> Ops T1-POE -> F121 March	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1939	Text -> Ops T1-POE -> F121 April	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1940	Text -> Ops T1-POE -> F121 May	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1941	Text -> Ops T1-POE -> F121 June	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1942	Text -> Ops T1-POE -> F121 July	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1943	Text -> Ops T1-POE -> F121 August	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1944	Text -> Ops T1-POE -> F121 September	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1945	Text -> Ops T1-POE -> F121 October	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121
1946	Text -> Ops T1-POE -> F121 October	Ryan Soltau	Testing	Flow, Test, Wt, Test, F121

- 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

Data Capture

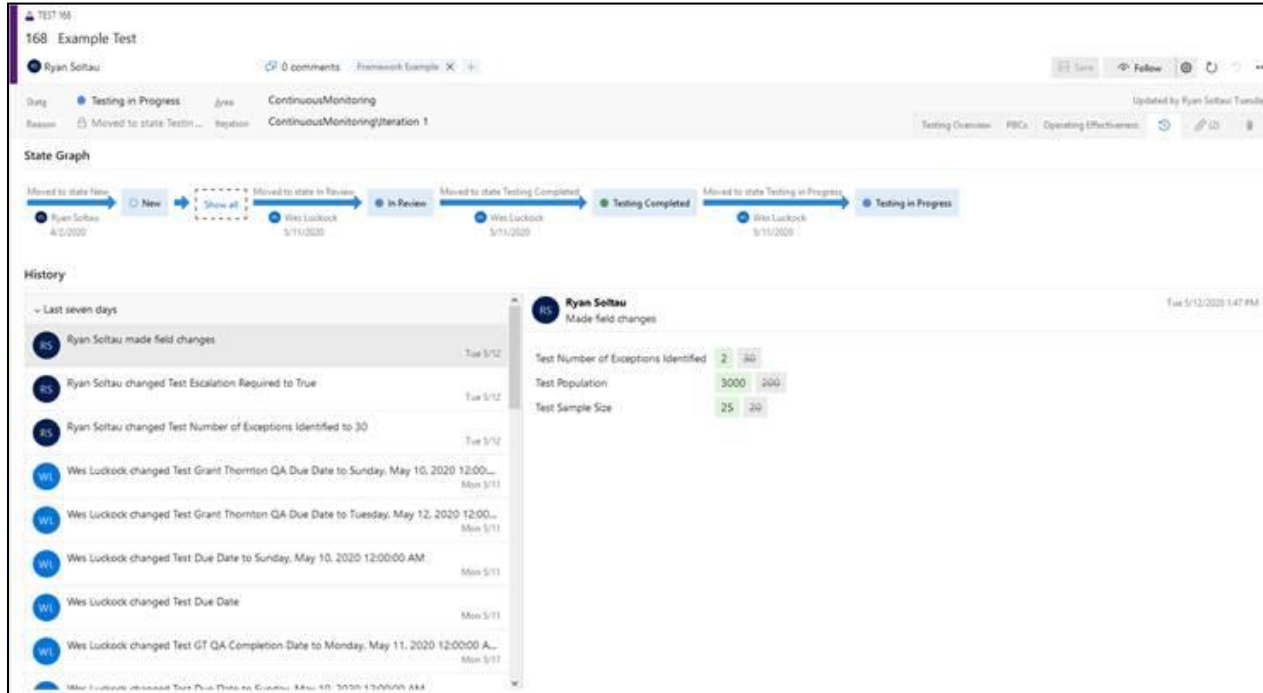
The screenshot displays a configuration page for '167 Example Control'. The page is divided into sections for 'Data Source #1', 'Data Source #2', and 'Data Source #3'. Each section includes fields for 'Name', 'Owner', 'Contact Info', 'Type', and 'Population File or Report Name'. The 'Data Source #1' section shows a script: 'SELECT * FROM Table_Name'. The page is updated by Ryan Soltau on April 23.

The screenshot displays a testing overview page for '168 Example Test'. The page is divided into sections for 'Conclusions', 'Description', 'Discussion', 'Testing Information', and 'Important Dates'. The 'Testing Information' section includes a table with the following data:

Testing Information	Important Dates
Population: 3000	Testing Start Date
Sample Size: 25	Testing Due Date: 5/10/2020 12:00 AM
Number of Exceptions Identified: 2	Testing Completion Date: 4/15/2020 12:00 AM
Sampling Method: N/A - Automated	Review Completion Date: 4/16/2020 12:00 AM
Test Phase: Final	Grant Thornton QA Due Date: 5/10/2020 12:00 AM
Manual or Automated Testing: Automated	Grant Thornton QA Completion Date: 5/11/2020 12:00 AM
Assurance Required? <input checked="" type="radio"/> True	Microsoft QA Completion Date: 4/17/2020 12:00 AM
State of Execution	Auditors
Testing Delayed Due to Microsoft? <input type="radio"/> False	Tester #1: Ryan Soltau
Reason for Testing Delay Due to Microsoft	Tester #2: Unassigned
Effort (Hours)	Tester #3: Unassigned
Tested by INDUSTRY: Partially	Reviewer: Ryan Soltau
Original Estimate: 3	Grant Thornton QA: Unassigned
Remaining: 1	Microsoft QA: Unassigned
Completed: 4	Related Work

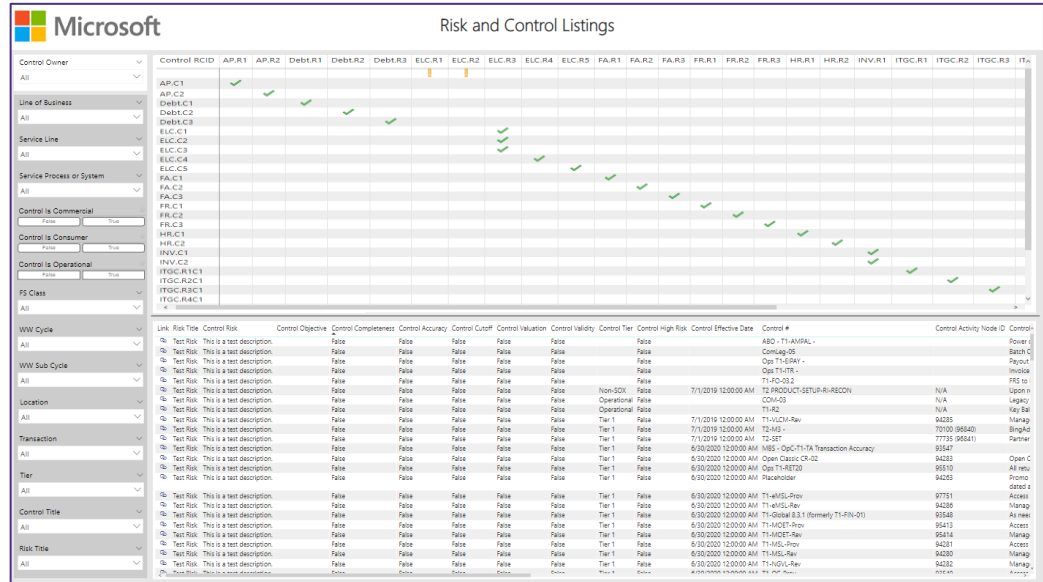
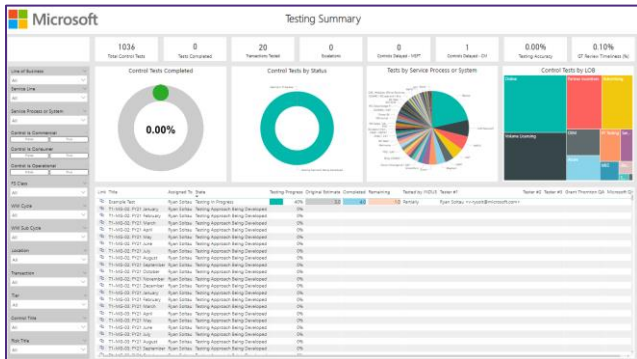
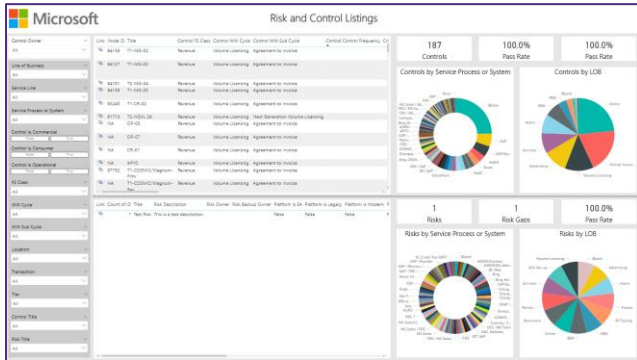
- Robust, configurable forms allow tracking based on framework, including but not limited to:
 - status,
 - communication,
 - file sharing,
 - operational attributes,
 - reporting attributes

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)

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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