interfacing.

Empowering organizations to effectively govern business complexity and continuous transformation through process based quality, performance and compliance solutions.

GRC – Governance, Risk and Compliance

EPC helps you reliably achieve objectives
and address uncertainly with integrity
by managing risks and meeting compliance requirements.

GRC – Governance, Risk, and Compliance

EPC

Structure

Integration

Alignment

Interfacing's GRC solutions will help you optimize risk management and compliance processes, while controlling the costs of compliance to achieve maximized efficiency and agility.

As a centralized repository, Enterprise Process Center ® (EPC) is a single point of access for an organization to centrally manage its operations. EPC offers an integrated, all-in-one platform to manage your GRC lifecycle and GRC initiatives.

By breaking down departmental silos and aligning objectives with processes, EPC enables digital transformation to improve efficiency, enhance customer value, manage risk and uncover new monetization opportunities.

The EPC's GRC module provides organizations with:

Total Risk lifecycle Management

Process-oriented Risk assessment and control

Integrated Control Management

Risk and Control Monitoring

EPC's GRC Framework

Key Features

- Centralized process and information repository
- Clarify roles & security levels, assign tasks & ownership to multiple roles
- Processes, systems, applications and data integration
- Map & visualize EPC objects in a centralized view
- Cross-module interdependencies allowing reuse of EPC objects
- Internal knowledge gathering, retention, and improvement platform
- Change control through automated updates, reviews, and approvals
- Real-time notifications to communicate changes followed by new requirements
- Track collaboration and actions
- Multi-user collaboration
- Mobile responsiveness to access, edit, review, update and approve EPC objects on-the-fly
- Auditing, monitoring and reporting capabilities for audit and risk control
- Business maturity & continuity planning

Under EPC's GRC Umbrella

Risk Management & Control

1. Complete Risk Lifecycle Management
2. 360-degree Risk Assessment
3. Integrated Control Management

Audit & Compliance

1. Audit Planning, Execution, & Review
2. Create CAPAs & assign AIs (Action Items)
3. Incident Management & AIs

Data Governance

1. Complete Data Lifecycle Management
2. Data-process Alignment through Impact Graphs & ERD
3. Data Ownership & Permission Assignment

BCM (Business Continuity Management)

1. Risk Assessment
2. BCP (Business Continuity Plan)
3. DRP (Disaster Recovery Plan)

*disclaimer: applications are separate modules to be added-on; please inquire for more information

Risk Management Lifecycle

The EPC and Risk Management

Identification
Users can input everything from a lengthy description to the risk category, associated documents and members of the organization.

Assessment
The EPC includes risk impact and likelihood assessment capabilities for prioritization purposes.

Monitoring
Detailed reports can be extracted from the EPC through its business intelligence engine. This can be used to monitor the organization's risk management strategy.
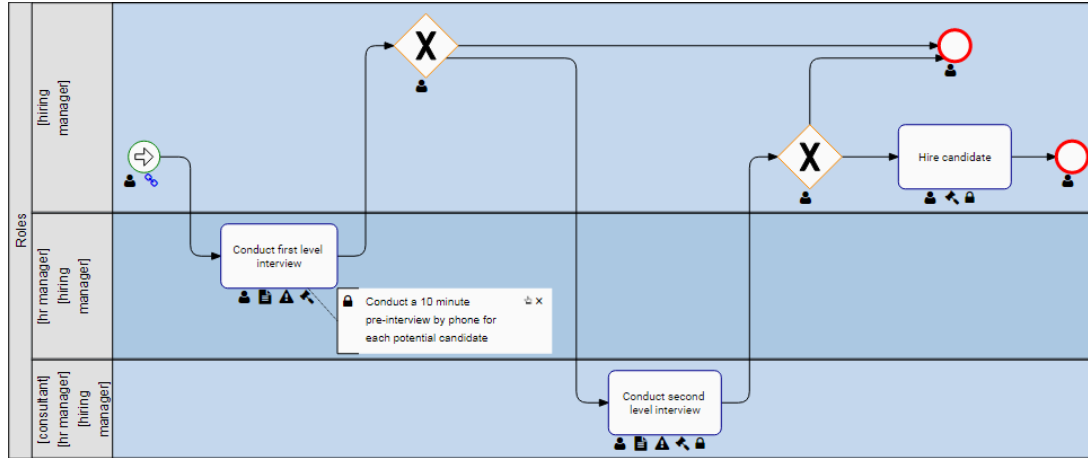
Mitigation
Controls are assigned to compute residual risk . A score is allocated before and after the mitigation takes place.

1. Complete Risk Lifecycle Management

– Build proactive risk management strategies from risk identification and prioritization to mitigation!

Comply with laws and regulatory requirements such as Sarbanes Oxley, Basel III, IMF, HIPPA, FDA, GDPR, ISO 15000, ISO 27000, etc., with EPC.

Visualize your risks & controls via hierarchical process diagrams & impact graphs.

Impact graphs provide a visual representation of the upstream & downstream associations and impacts related to items in EPC.
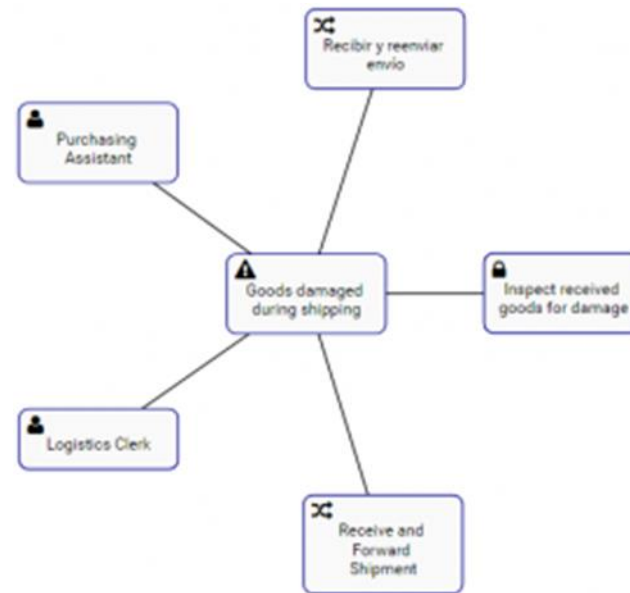
Risk Management & Control

- ✓ Detailed risk library including identifier, description, type, category, responsible resources (via RASCI-VS)

- ✓ Customizable risk matrices including risk likelihood, impact, score, percentage, color and priority

- ✓ Import/export risk details via Excel

- ✓ End-to end process visibility associated with risks

- ✓ Filter, search, & report risks by attributes

- ✓ Reusable risks & controls

- ✓ Triger CAPA based on process & task risk analysis
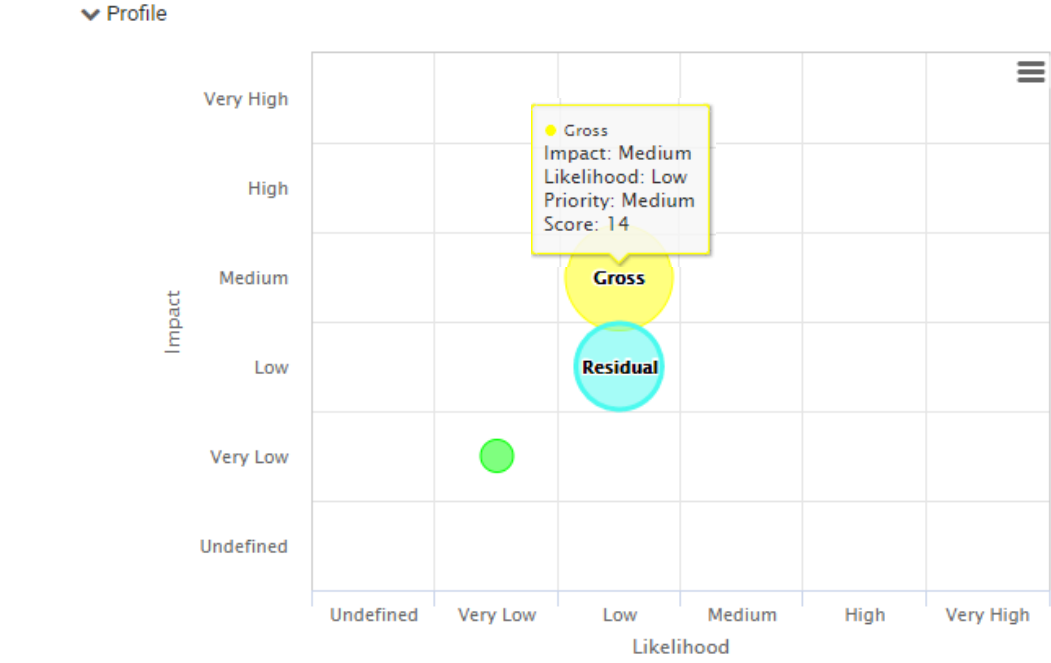
2. Risk Profile: Cause, Effect & Detectability

Access to capital or liquidity [V 1.0000]

⌄ Description

    Unplanned capital requirements related to unforeseen variations in production, sales, investor relations, etc.

⌄ Risk Profile

  ⌄ Causes(s) and Effect(s)

Cause	Effect
Treasury mismanagement	Potential liquidity issues
Overdue interest expenses or capital liabilities	Liabilities and cash flow effects

  ⌄ Profile

Gross
Impact: Medium
Likelihood: Low
Priority: Medium
Score: 14

Visualize & analyze how a risk should be managed with this interactive risk profile graph; hover over a node to obtain information such as: impact, likelihood, priority and score.

Residual Detectability : Easily Detectable

Selected Control(s)
• Foreign currencies' reserve management

		Likelihood				
		Very Low	Low	Medium	High	Very High
Impact	Very Low	1	2	3	4	5
	Low	2	4	6	8	10
	Medium	3	7	9	12	15
	High	4	8	12	16	20
	Very High	5	10	15	20	25

Hover over a score in this chart for info.

✓ View the cause & effect of risks to track critical risk information; risk managers analyze and prioritize risk mitigation

✓ Extended risk editing (gross risk per process, net risk per control on process, specific controls per process, override roll-up calculation per process)

✓ Detect a risk's occurrence; automated risk roll-up algorithm for risk scoring

✓ Residual risk provides realistic view of potential impact

✓ Risk matrix visualizes 5 different levels of risks residing in processes

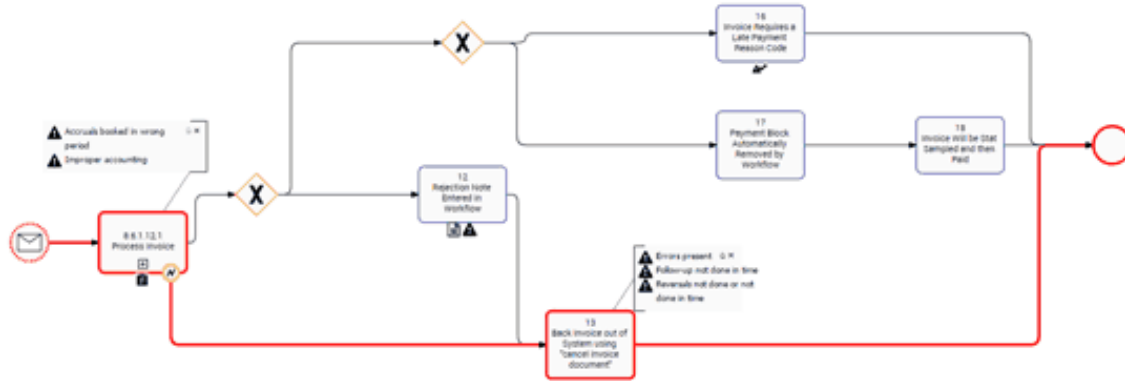# Risk Register Report

interfacing.

Process Risks Details

Risk Name	Process Full Name	Risk Gross Impact	Risk Gross Likelihood	Risk Gross Score	Risk Gross Priority	Risk Net Impact	Risk Net Likelihood	Risk Net Score	Risk Net Priority
Acceptance of a fraudulent application	8.2.3 Process accounts receivable (AR)	High	Medium	12	Medium	Undefined	Undefined	0	Undefined
Acceptance of a fraudulent application	8.6.1.3 Audit invoices and key data in AP system	High	Medium	12	Medium	Undefined	Undefined	0	Undefined
Aceptación de un reclamo fraudulento	8.2.3 Process accounts receivable (AR)	High	Medium	12	Medium	Undefined	Undefined	0	Undefined
Aceptación de un reclamo fraudulento	8.6.1.3 Audit invoices and key data in AP system	High	Medium	12	Medium	Undefined	Undefined	0	Undefined
Decreased company property security	4.2.3.2.6 Completar el proceso de licitación competitiva	High	Medium	12	Medium	Medium	Very Low	3	Low
Decreased company property security	4.2.3.2.6 Complete Competitive Bid Process	High	Medium	12	Medium	Medium	Very Low	3	Low
Financial abuse	Incident Management	High	Medium	12	Medium	Very Low	Very Low	1	Very Low
Incorrect items or quantities received	4.2.3.2 Crear y distribuir órdenes de compra	Medium	High	12	High	Low	High	8	Medium
Incorrect items or quantities received	4.2.3.2 Create and Distribute Purchase Orders	Medium	High	12	High	Low	High	8	Medium

3. Integrated Control Management

– One centralized control repository supporting audit & monitoring!

Comprehensive risk matrix reports, risk details reports & target threshold setting for ongoing risk monitoring & prevention
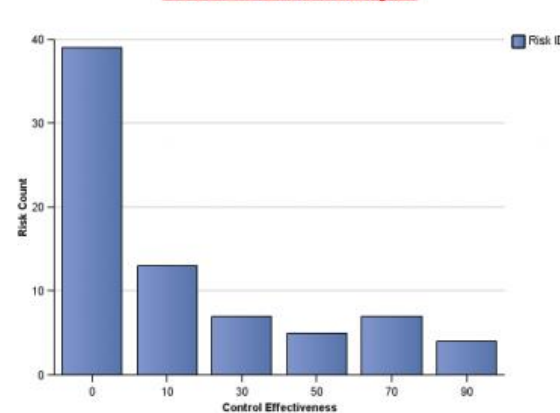
- ✓ Monitor controls through audits

- ✓ Recurrent audit scheduling

- ✓ Implement CAPAs based on test results

- ✓ COSO ERM framework

- ✓ General analysis, critical path analysis & high risk path analysis generated in a dynamic manner

- ✓ General report & custom report

- ✓ Reusable key risk & control indicators for more than one source

- ✓ Target threshold setting for continuous improvement

3. Integrated Control Management

Control Matrix Report

interfacing.

Activity Identifier	Process Activity	Description of activity	Activity Owner	Risks	Level 1 Risk Types	Control ID	Control Name	Description of Control	Key Control?	Type of Control (Preventive/Detective)	Type of control (Automated/Manual)	IT Control?	C	E	A	V	O	P	Frequency	Evidence Of Control
	Production	This production process outlines the manufacturing of birdhouses and doghouses. It occurs right after production planning and assumes that all raw material are in stock. The expected output is a complete product ready for final inspection and packaging.		Equipment malfunction	Doghouse	KC123.2	Inspect equipment before use	Before using any equipment always complete the standard 3 point inspection:1-visual inspection for damage, rust or		PREVENTIVE	MANUAL		0	1	0	0	0	1	TRANSACTION	Linemen seemed to know that they needed to inspect the equipment, and there were reminders placed by the equipment stations to ensure that the procedure was followed.

🖥 🔒 **Auditing of Financial Statements** [V 1.0000]
Identifier: 3298

⌄ Description
The process of conducting a financial audit for the purposes of reporting accuracy of managerial financial assertions.

❯ Documents
⌄ Risks
⚠ Ineffective internal controls / Residual Score : 2
⚠ Rights and Obligations / Residual Score : 2
⚠ Managerial assertion completeness / Residual Score : 4

⌄ Advanced
Key Control: Yes
Preventive/ Detective: Detective
Manual/Computer: Manual
Frequency: Yearly
Control Activity Type:

❯ IT
⌄ Financial
Financial Assertions:
1. Existence & Occurrence
2. Completeness
3. Rights & Obligations
4. Presentation & Disclosure
5. Valuation & Allocation:
   - Accuracy
   - Classification
   - Timing or Cut-Off
   - Posting & Summarization

COSO Components

Internal Environment
Objective Setting
Event Identification
Risk Assessment
Risk Response
Control Activities
Information & Communication
Monitoring

Financial Statements Impacted:
1. Balance Sheet
2. Retained Earnings
3. Income Statement
4. Statement of Cash Flow
5. Notes to Financial Statement

⌄ Responsibilities
⌄ Roles
👤 Accountant [A]
👤 Financial Statement Auditor [R]
❯ Properties
⌄ Impact
Objects Impacted

Object Name ▲
Accountant
Financial Statement Auditor
Ineffective internal controls
Managerial assertion completeness
Rights and Obligations

✓ Monitor controls through audits

✓ Recurrent audit scheduling

✓ Implement CAPAs based on test results

✓ COSO ERM framework

✓ General analysis, critical path analysis & high risk path analysis generated in a dynamic manner

✓ General Control Matrix Report & custom report

✓ Reusable key risk & control indicators for more than one source

✓ Target threshold setting for continuous improvement

Control Properties – COSO Components

Control Activities:
- Authorization
- Configuration/Account Mapping
- Exception/Edit Report
- Interface/Conversion Controls
- Key Performance Indicator
- Management Review
- Reconciliation
- Segregation of Duties
- System Access
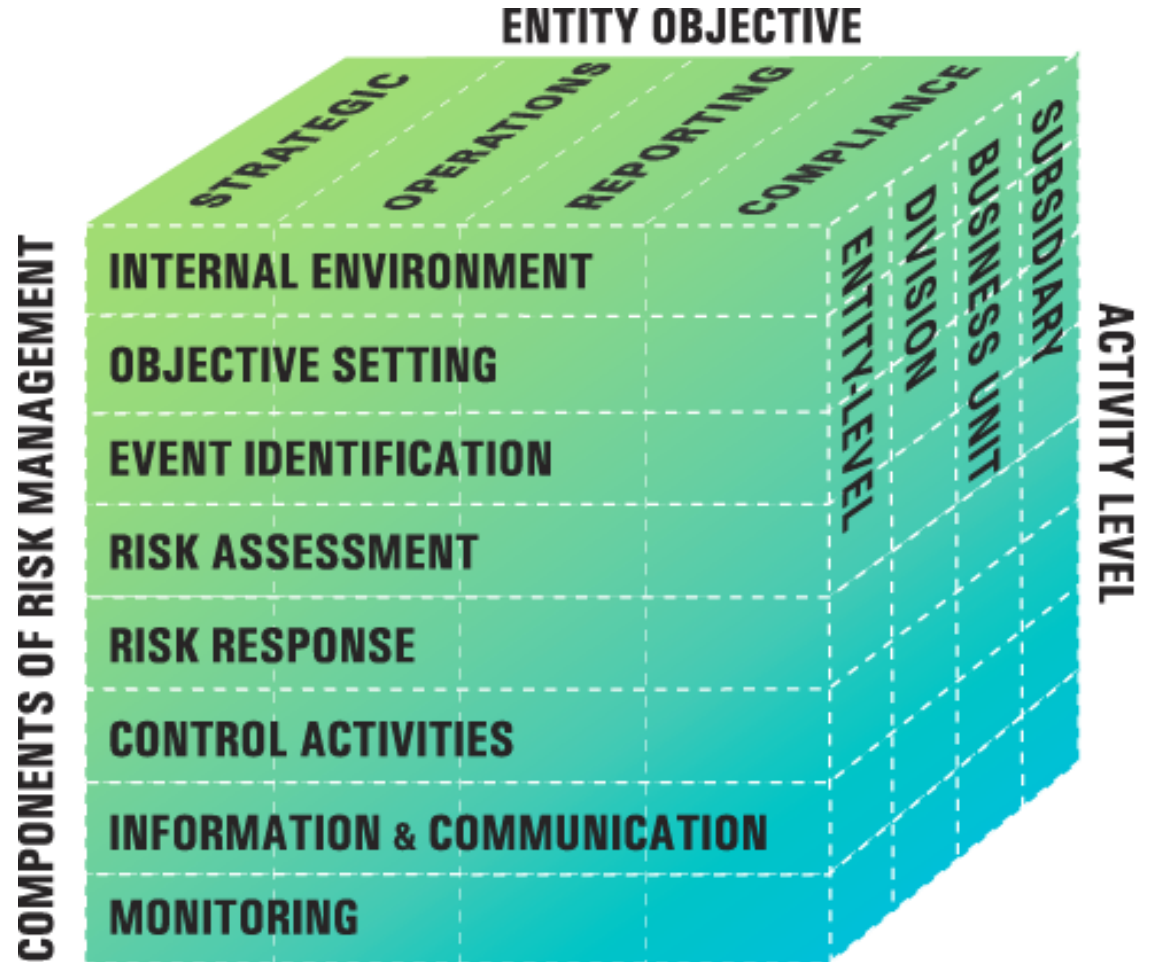
Audit & Compliance

- ✓ Capture all audit & test instances within one repository

- ✓ Search & sort audit fields by ID, name, frequency, sample size, etc.

- ✓ Triggered-to-start ad hoc audit & pre-scheduled audit

- ✓ Set key audit attributes such as auditor and auditee, deadline, trigger to start, prerequisite, etc.

- ✓ View, edit and add sample results for different audit purposes

- ✓ Determine sample effectiveness and accuracy through automation buttons

- ✓ Complete audit trials & reports

1. Audit Planning, Execution & Review

– Never miss an opportunity to validate compliance!
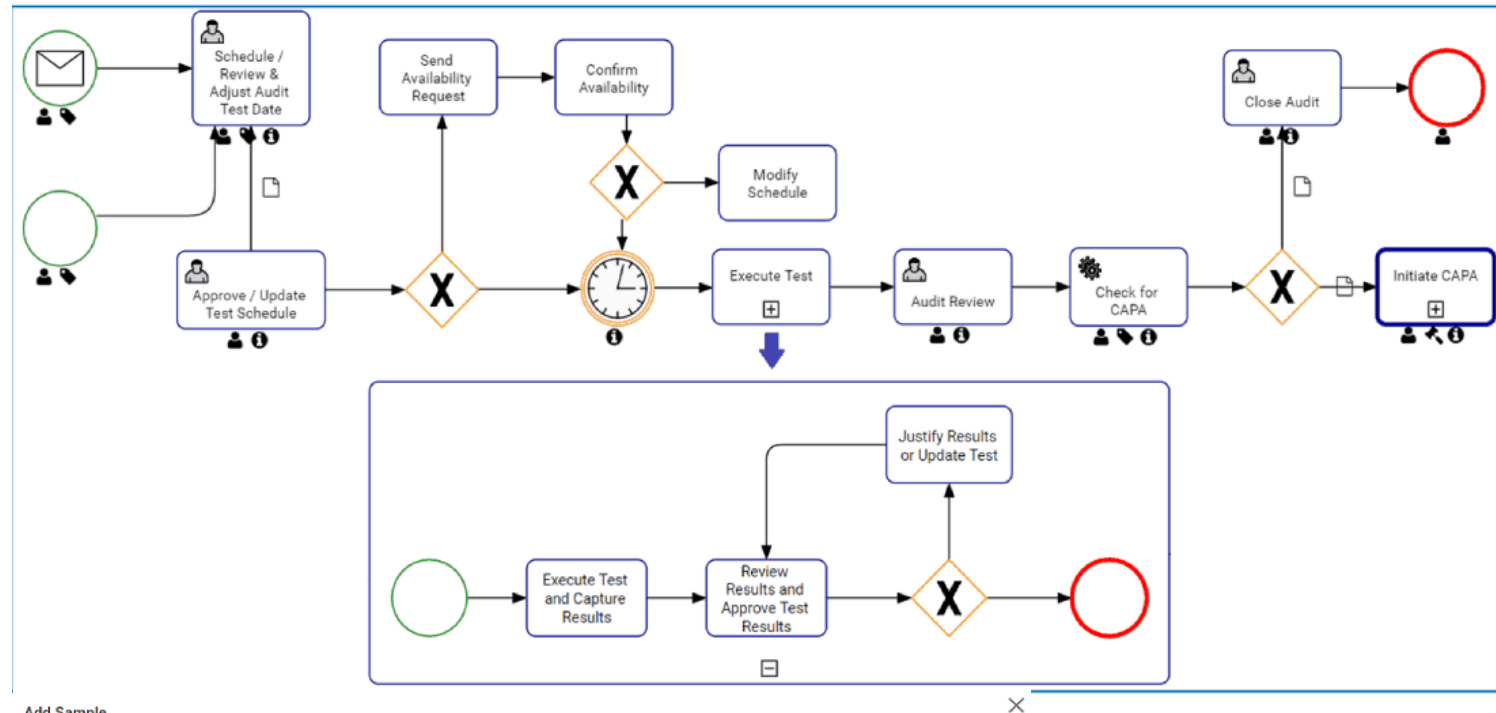
EPC reduces the time to plan, customize and document an end-to-end audit by means of automation

Audit & Compliance

- ✓ Trigger CAPA via failed audits, incidents, or ad hoc requests

- ✓ Add multiple AIs that define specific criteria (e.g. AI name, owner, action type, priority, etc.)

- ✓ Assign AIs to specific resources with clear deadlines & level of priority

- ✓ Automatic escalation CAPA request to its AI owner or a different role of equal responsibility in case of absence of its AI owner

- ✓ Allow AI owner to request extension on his assigned AI

- ✓ Collect & store AI evidence to validate completion

2. Create CAPA(s) & Assign Action Item(s)
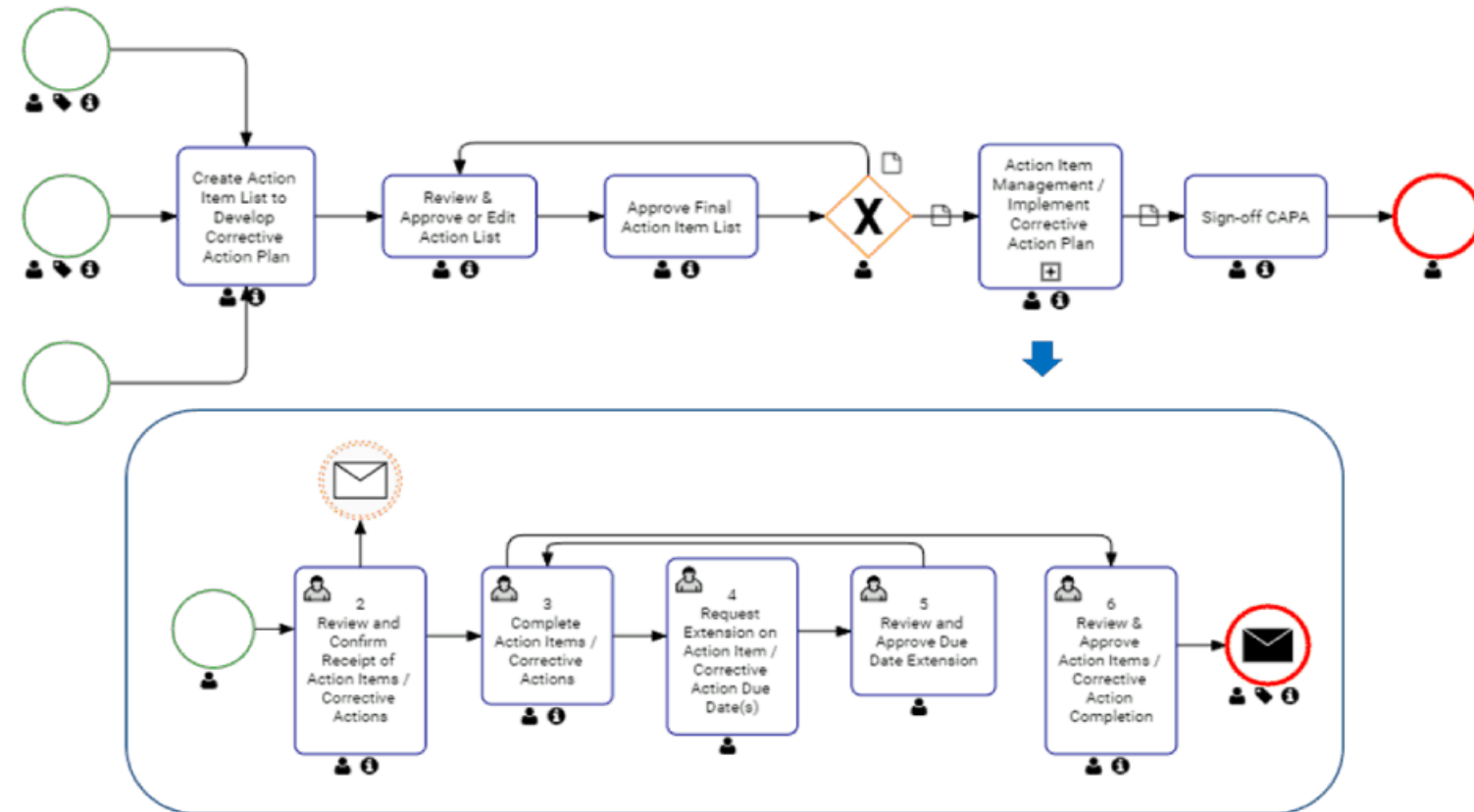
Automated CAPA & AI management simplifies the complexity of creating a full transparent audit cycle

CAPA Report

CAPA Audit Issues

Audit Name	Issue Name	Issue Description	Root Cause	Due Date	Description
NA	IssueName	IssueDescription	RootCause	Apr 25, 2018	Description
SOX s.302	Failure to comply with SOX Section 302.2	The current system does not track all user logins access to all computers that contain sensitive data and detects break-in attempts to computers, databases, fixed and removable storage, and websites.	Not all modules were obtained from vendor	Apr 23, 2018	Acquire the Security Access Management Module in the ERP system Train super users Design permission maps Integrate with AD Implement and retrain users
ISO-AM	non compliance with s.404 (a)	System must track all login requests	Omitted requirement in RFP	Apr 24, 2018	Purchase component Map permission maps Implement maps Train users

Drilldown to view subsets of each CAPA Audit Issue; expose and consult all related CAPA and Action Item details.

List

Action Priority	ActionType	Submission Date	First Name	Last Name	Email	Comments Scheduling	Justification	Incident Name	Incident Location	Priority	Incident Prerequisites	Incident Procedure	Sample Size	Steps Taken	Attachments	Action Name
Low	Corrective	April 26, 2018	Erin	Haurylchyk	EHAURYLCHYK@INTERFACING.COM	Comments	Justification	ISO-AM	Maintenance Office	Low	1. All AM Procedure documents available 2. Process owner must be available for 2 hours for interviews	1. Review AM documents 2. Inspect for accuracy and completeness (ISO document control) 3. Interview process owner on control methods	5 AM documents chosen at random		NA	NA

CAPA Report & Dashboard – Closed vs. Open

CAPA Report

Issue	RootCause	DateRaised	DeadlineDate	Days until deadline
Often, notices will be displayed in danger areas on a trader's premises. If proper ventilation is not provided but you have to work in these areas when mists or fumes are likely to be generated, you must wear respiratory protection. If you work in confined spaces, such as on a vessel, hazardous fumes or gases could be present. You must use gas monitoring equipment to check both the level of atmospheric oxygen and if any hazardous fumes are present.	Janitor must use different cleaning supplies are not toxic.	Feb 8, 2019	Feb 15, 2019	-42 days
For flooring, the relative humidity must usually be below 80% and the floor under the plastic should be free of dampness, discoloration or damp odors.	RMA moisture test training must be delivered and test on training must be administered three weeks before roll-out.	Jan 16, 2019	Jan 18, 2019	-70 days
All servers shut down automatically because server room reached 30 degrees celsius	Server room air conditioner works on water and city shut down the water to building because they were conducting work on water pipes.	Jan 16, 2019	Jan 31, 2019	-57 days
Ensuring the AP balance is properly disclosed in end-of-year financial statements.	Inspected financial statements for verification - AP was listed as a current liability but 20% of purchases were not included in cost of goods calculations.	Mar 14, 2019	Mar 21, 2019	-8 days
Stirrer temperature couldn't stabilize at 23 degrees.	3 stirrers out of 5 weren't Teflon-coated.	Jan 19, 2019	Jan 31, 2019	-57 days
Compliance with FDA and FSMA inspections	The site next to the facility was an open field, but recently, construction began on the site, driving rodents toward the food facility.	Jan 12, 2019	Jan 17, 2019	-71 days
Security non-conformity	Passwords too simple	Jan 11, 2019	Feb 1, 2019	-56 days
Missing inventory; discrepancies in inventory items no. 567 and 765.	Equipment shipped to our location in NJ instead of NY.	Jan 17, 2019	Feb 28, 2019	-29 days
Manual barcode testing	Barcode scanner must be effective.	Jan 21, 2019	Feb 23, 2019	-34 days
Invoice had errors in all	VP - scott armstrong isnt properly reading the invoices	Jan 21, 2019	Feb 7, 2019	-50 days
Didn't handle attacks well -- enforce security	System was vulnerable	Mar 14, 2019	Mar 22, 2019	-7 days

Status
- Closed: 13, 29%
- Opened: 32, 71%
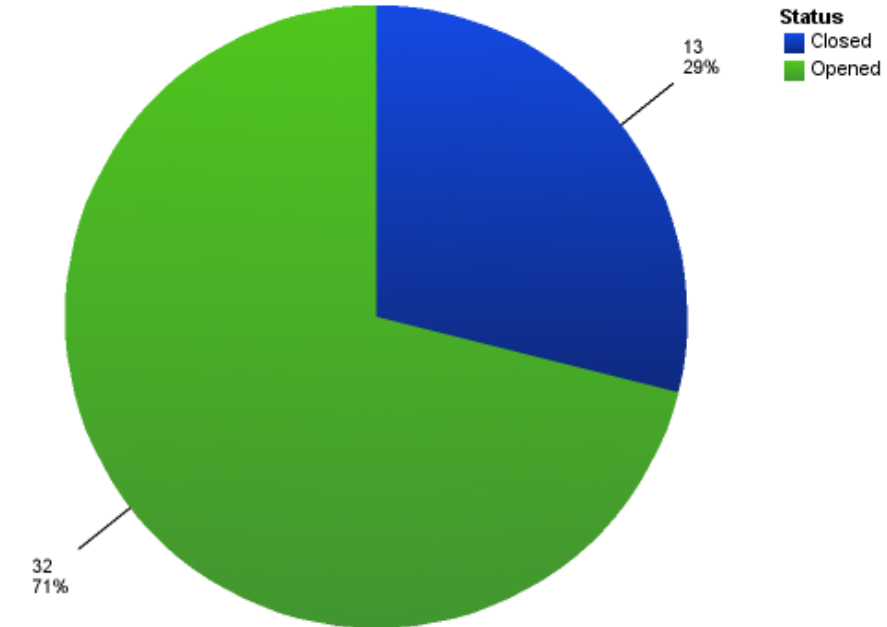
- Quickly generated based off real-time data
- Embed dashboards and charts into forms
- Monitor status and progression; percentage of closed vs. open CAPAs update in real-time
- Detailed, automatically generated reports in multiple formats such as Excel, PDF, etc.

Audit & Compliance

- ✓ Incident investigation with E-signature confirmation of completion

- ✓ Reuse information from previous stages of an incident process

- ✓ Perform root cause analysis & risk analysis

- ✓ Set multiple review cycles & approval cycles

- ✓ Trigger an escalation to CAPA if needed

- ✓ Track incident with tracking code at any stage of the process

- ✓ Incident reports with detailed drilldowns to view subsets of relative information

3. Incident Management

– Prevent any hazard that can harm your organization's operations, services and reputation!
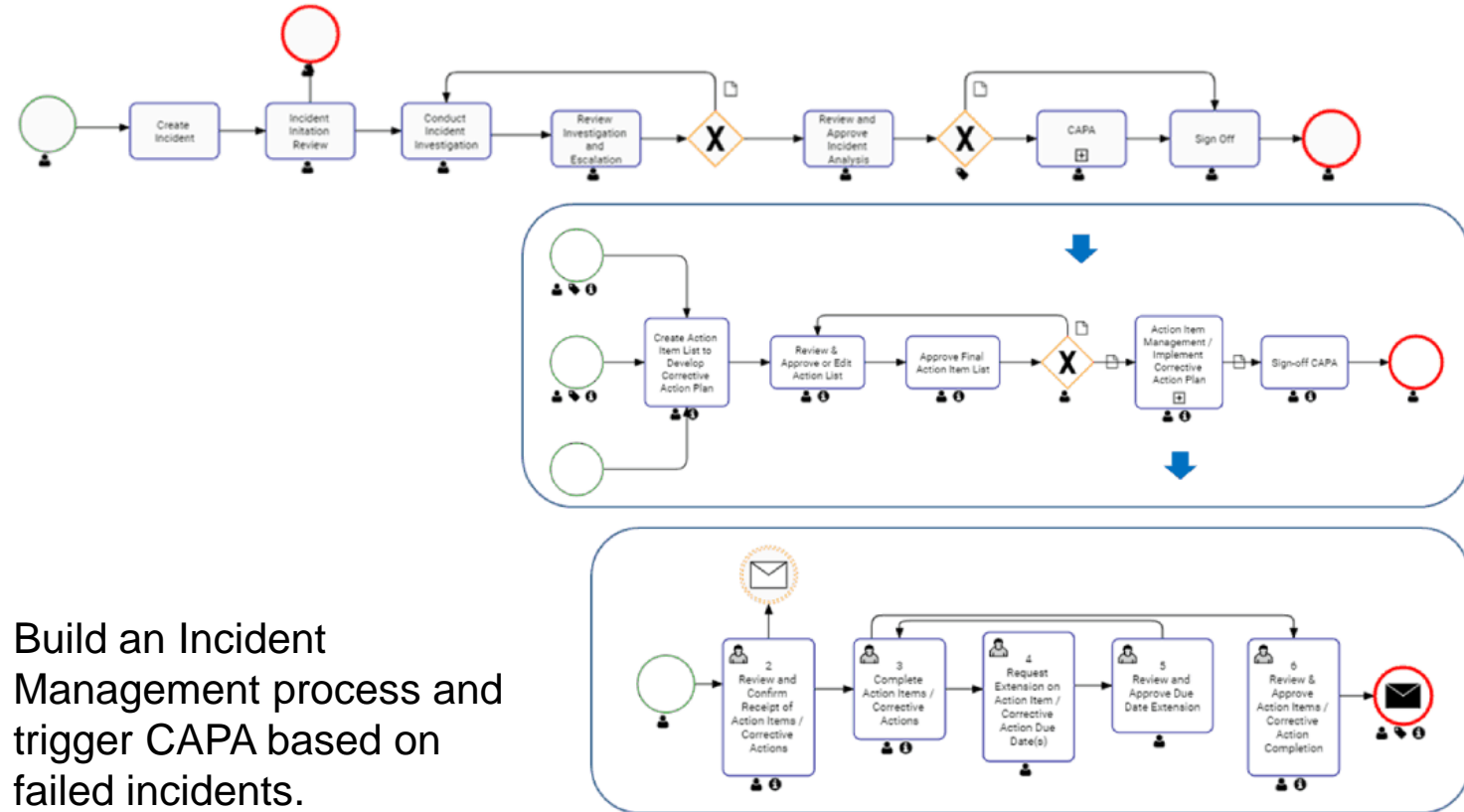
Build an Incident Management process and trigger CAPA based on failed incidents.

Incident Report

Incident Name	Issue Name	Issue Description	Root Cause	Due Date	Description
Product 405	Product Recall n.11	21 CRF 2.143.221 test failure	Repeated test failures of product not investigated due to negligence.	Apr 25, 2018	Inadequate investigation of failed particulate inspection. Failure to document action regarding instrument calibration check which did not meet specification.
Compliances.404	Failure to comply with SOX Section 302.2	The current system does not track all user logins access to all computers that contain sensitive data and detects break-in attempts to computers, databases, fixed and removable storage, and websites.	Not all modules were obtained from vendor	Apr 23, 2018	Acquire the Security Access Management Module in the ERP system Train super users Design permission maps Integrate with AD Implement and retrain users
TRK	TRK# 9357	TRK# 9357 was implemented to address execution of varied manual interventions performed during aseptic filling operations. Inspection found that the laboratory manager had documented "NIL" (i.e., no growth for this plate), while the same laboratory manager comfirmed microbial growth in the presence of the investigators. Later during the inspection, the FDA investigator asked to see the original plate and was told that it had been destroyed.	The laboratory manager misread the plate count, and this deficiency was the result of a human error.	Apr 24, 2018	Extend corrective actions to include component suppliers, training, acceptance activities and field actions.
Xantha v2	Biopharmaceutical xantha v2 does not conform to health & safety regulation 14.2	The forms utilized don't follow the flow of the procedure; the forms do not provide enough space for more than a brief entry; verbal decisions are not written down; responsible people are assigned but timelines for the follow-ups are not given and are vague.	Nonconformities are not adequately categorized and trended - root causes of existing nonconformities are not adequately investigated or addressed to eliminate the reoccurence of the nonconformity discrepancy	Apr 23, 2018	Revise all Quality Assurance Procefures to emphasize CAPA and to link discrepancy reporting and disposition to preventive acion. Initiate a trending and root cause analysis program; present those programs to management and to staff. Provide a Quality update at the monthly staff meeting.
Login Requests	Noncompliance with s.404 (a)	System must track all login requests.	Omitted requirement in RFP.	Apr 23, 2018	Purchase component - map permission maps - implement maps - train users

Drilldown to view subsets of each Incident Report to expose and consult all related CAPA and Action Item details.

List															
Action Priority	ActionType	Submission Date	First Name	Last Name	Email	Comments Scheduling	Justification	Incident Name	Incident Location	Priority	Incident Prerequisites	Incident Procedure	Sample Size	Steps Taken	Attachments	Action Name
Low	Corrective	April 26, 2018	Erin	Haurylchyk	EHAURYLCHYK@INTERFACING.COM	Comments	Justification	TRK	Maintenance Office	Low	1. All AM Procedure documents available 2. Process owner must be available for 2 hours for interviews	1. Review AM documents 2. Inspect for accuracy and completeness (ISO document control) 3. Interview process owner on control methods	5 AM documents chosen at random		NA	NA

Impact Report (Assets)

The Impact report allows a user with proper access and security to select any object or asset (as specified to the right) and view all of its associations and impacts

interfacing.

Assets Impact

Asset Name	Attribute	Attribute Value	# Process Impacted	# Flow Objects Impacted	# Risks Impacted	# Assets Impacted	# Documents Impacted	# Controls Impacted
Libra Loan SAP-CMS	Business Priority	Critical	0	0	0	0	0	1
	ISO	ISO 14000						
	Security Ratings	Confidential						
Oracle Financials	Business Priority	Normal	0	0	0	0	0	0
	ISO	ISO 27001						
	Security Ratings	Confidential						
Oracle Workflow	Business Priority	Critical	0	1	0	0	0	0
	Security Ratings	Normal						
PeopleSoft	Business Priority	Critical	0	0	0	0	0	0
	currency	CDN						
	Security Ratings	Confidential						
SAP Financials	Business Priority	Critical	1	4	0	1	0	0
	currency	CDN						
	ISO	ISO 27001						
	ISO	ISO 9001						
	Security Ratings	Confidential						
Salesforce	Business Priority	Critical	0	5	0	1	0	0
	currency	CDN						
	ISO	ISO 22000						
	ISO	ISO 31000						

Drilldown from the top-level report to view the details of an object and all its impacted associations.

View data such as: process description, owner, flow object name and description, responsible role, asset, rule, risk, KPI, document, etc.

Process Name	Process description	Owner	Seq #	Flow Object Name	Flow Object description	Responsible	Asset	Rule	Risk	Control	KPI	Document	Entity	attribute
IT Change Implementation and Release Management	Scope and Applicability:The Change Implementation & Release Management encompasses within its scope any and all alteration to any and all IT-based assets developed, customized and operated by the IT division while in production:Lays out of scope the following:• Modification made to non-production systems and resources (such as testing-environments)• Non-IT Changes such as Organisational Changes, or Changes to Facilities.• Business Unit self-developed and/or operated applications (EUC)The Change Advisory Board (CAB) may modify periodically the scope of the Change Implementation & Release Management Process to exclude or include items within it.This Policy applies to all legal entities of ODDO BHF Group.External regulative Imperatives / Requirements:This Policy follows the external provisions of the Federal Financial Supervisory Authority (Bundesanstalt für Finanzdienstleistungsaufsicht, BaFin); in particular, the current provisions of the Minimum Requirements for Risk Management (Mindes	Change Manager	14.01	Change Ticket		Requester					# of incidents in processing		Change_Request	Chg_ID
			14.02	Verify Requirements	Verify that all required documentation and Information is provided	Change Manager	Content Management System Cordys	Change request are to be reviewed by the Change management for completeness or inadequacy.	Change requests are not in line with business requirements		# of disruption, incidents, problems, errors caused by unsuccessful changes and Releases.		Change_Request	
			14.03	Priority Validation	Verify the change prioritization and update if necessary	Change Manager	Content Management System Cordys				# of emergency changes	ODDO - Rule Book	Change_Request	Chg_Priority
											Percentage of Change Requests per status (e.g. opened, planned, closed etc...)	ODDO - Rule Book	Change_Request	Chg_Priority
			14.04	Change Type	Identify the type of change	Change Manager	Abacus Da Vinci	Every change request MUST be associated to a Change Type which will determine how the CR moves through the Stages of the Change Implementation & release management.						Chg_Type
			14.05	Operational Management Approval	Obtain Management Approval for all changes with significant or major risk evaluation	Change Advisory Board (CAB)	Outlook					ODDO BHF Service Desk Role Procedure		
			14.06	Risk Validation	Evaluate the likelihood of adversely affecting the operational environment and the risk of implementing the change	Change Advisory Board (CAB)	Outlook		Change Requests lead to incidents and service disruptions					
			14.07	Verify Business and Technical Approvals	Verify that all required approvals are present	Change Manager	Outlook		Change Requests lead to Service disruptions	Evaluate the likelihood of adversely affecting the operational environment	# of Authorized changes Per week / Month			
											# of unauthorized changes			
										Verify that all required approvals are present to	# of Authorized changes Per week /			

≍ Top ≊ Page up ▼ Page down ≍ Bottom

Drilldown further and generate a more specific report on a related object such as a control, (for example, as shown on the right) to view details such as control description, type, owner, frequency, control type, and additional related impacts

Control Name	Control Description	Control Rich Text Description	Type	Key Control (KC)	Control ID	Subprocess and Process Reference	Control Owner/Title (Responsible)	Control Owner/Title (Accountable)	Control Owner/Title (Consulted)	Executive Owner/Title (Informed)	COSO Component	Control Activity Type	Frequency	Manual	Computer Assisted	Automated	Prevent	Detect	C	E	O	P	V	Valuation and Allocation	Financ Impac
Change Planning	Plan implementation of changes (Considering risk, priorities and inter dependencies and their impacts).Expected Control Result : Risk Oriented Planning	Plan implementation of changes (Considering risk, priorities and inter dependencies and their impacts).	[en] None				Change Advisory Board (CAB)						T	X			X								
			Aucun																						
			Ningún																						
		Expected Control Result : Risk Oriented Planning	None																						
Ensure no deviation from the defined policies and procedures	For a sample of Change Requests review :a) Requirements documentationb) Test concept and documentationc) Technical and Business Test Approvald) Change Prioritizatione) Change Categorizationf) Change Risk EvaluationExpected Control Result : No deviations from the defined policies and processes	For a sample of Change Requests review :

a) Requirements documentation

b) Test concept and documentation

c) Technical and Business Test Approval

d) Change Prioritization

e) Change Categorization

f) Change Risk Evaluation | [en] None | | | | | | | | | | M | X | | | | X | | | | | | | |
			Aucun																						
			Ningún																						
		Expected Control Result : No deviations from the defined policies and processes	None																						
Evaluate the likelihood of adversely affecting the operational environment	Expected Control Result : Risk level is appropriate	Expected Control Result : Risk level is appropriate	[en] None				Change Advisory Board (CAB)						T	X			X								
			Aucun																						
			Ningún																						
			None																						
Obtain Sign Off from Stakeholders to confirm the change had the desired effect/outcome	In case of an unsuccessful Change, confirm the affected services have been successfully restored.Verify that monitoring capabilities have been restored after	In case of an unsuccessful Change, confirm the affected services have been successfully restored.	[en] None				Change Manager						T	X				X							

Incident Dashboards

Total number of incident requests in different locations
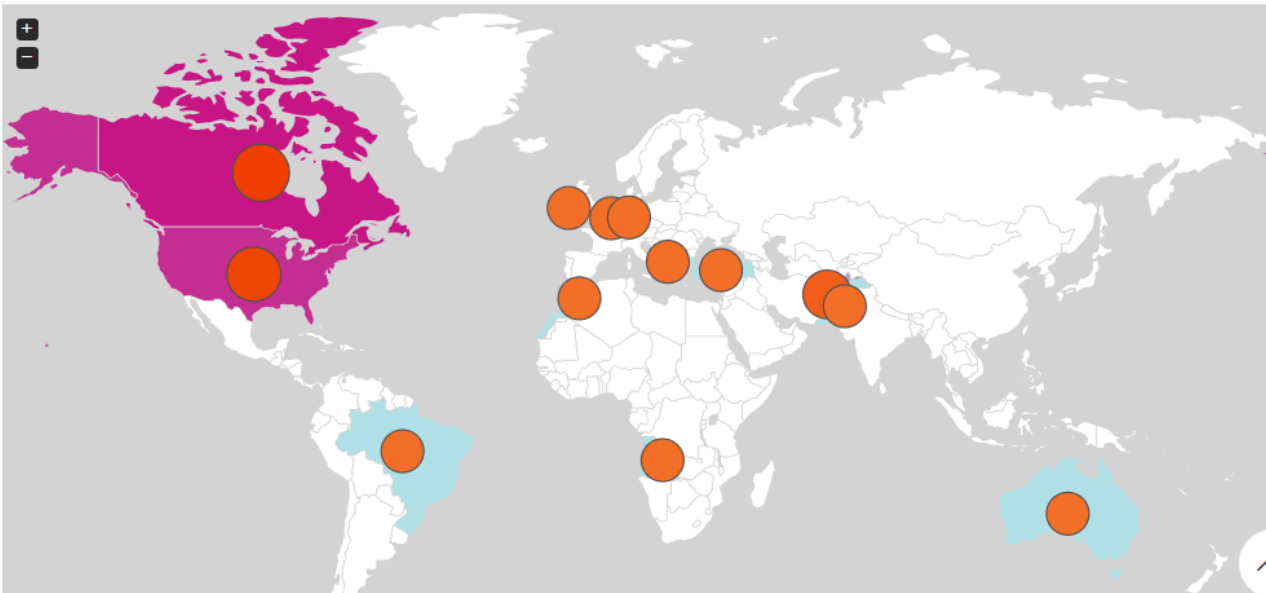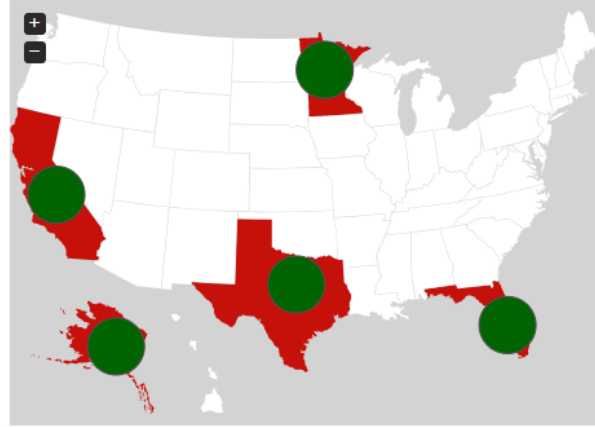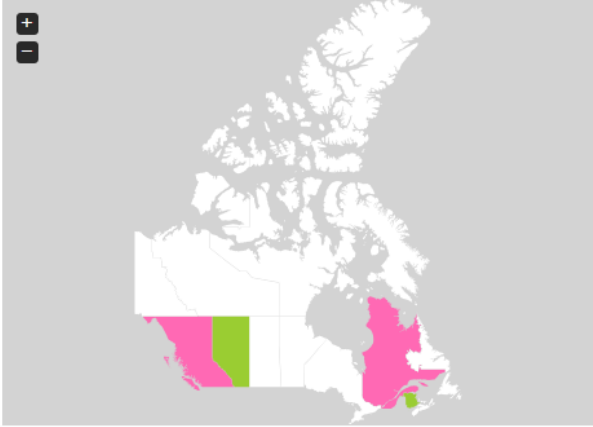
- Incorporate dashboards and charts into forms
- Monitor test progressions, percentage of resolved incidents in real-time
- View number of incidents logged per location, within a specific time frame
- Drill down into metrics
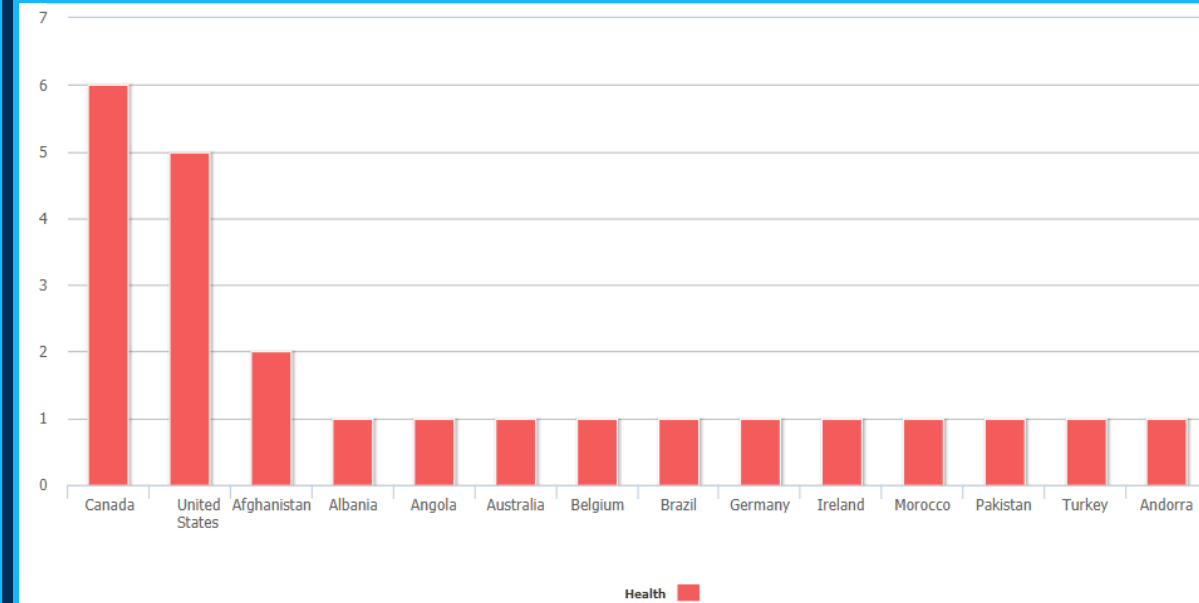
1. Complete Data Lifecycle Management

– Build your enterprise data catalogs based on a centralized Master Data file to create a common point of reference!

EPC creates & maintains robust Master Data assets for your organization, and guides you towards success

Data Governance

✓ Full-text search on all meta data (e.g. names, descriptions, custom properties, etc.) for easy & fast data retrieval

✓ Import Master Data of a specific system

✓ Mobile responsiveness: create Master Data on-the-fly

✓ Customize your data (e.g. business-friendly vocabulary, pre-defined values…)

✓ Search, filter & report by compliance attributes

✓ Automated revision & approval workflows

✓ Change notifications to all stakeholders

✓ Full audit trial on all data changes

2. Data-process Alignment Visualization

– Align your Master Data with your business processes by visualizing all touchpoints centrally!

EPC indicates data lineage through Hierarchical Graphs & Impact Graphs

✓ Clarify interdependencies among data (e.g. relationship between entities and attributes, documents used, applicable business rules, etc.)

✓ Associate in which system, forms and screens data is created, updated or used

✓ Document which data applies to GDPR & other compliance regulations

✓ Use Impact Graph to see multi-level downstream impact (e.g. by role, system, process, task, etc.)

✓ Relate accurate data to any process or activity by Application Database Entity Relationship Diagram

3. Data Ownership & Permissions Assignment

– Control who can read, write, edit, approve and delete your data!

EPC clarifies data ownership & permissions by following best practice frameworks and combining security matrices (RASCI-VS & CRUD)

Data Governance

✓ Clarify data ownership through RASCI-VS (Responsible, Accountable, Supportive, Consulted, Informed, Verifier, Signatory)

✓ Clarify data access permissions through CRUD (Create, Read, Update, Delete)

✓ Define required permissions by role and entity and/or attribute

✓ Define WHERE data is used in which processes, WHO and for what purpose (WHY)

✓ Collaboration by leveraging crowd source efforts

✓ One-click Master Data Book generation

✓ Report on all data touchpoints across your processes & tasks

Risk Surveying

- ✓ Determine how much risk you are willing to accept to produce value within the risk appetite survey

- ✓ Define threats or hazards properly and associate the employee at risk with that threat, or identify employees that work in a location with multiple threats present

- ✓ Select an EPC object such as a process or control and calculate its impact, likelihood, and detectability; weighted averages on each radio button determine the overall risk appetite and assessment of the object

- ✓ Generate real-time graphical charts from RIA data captured around your processes or controls
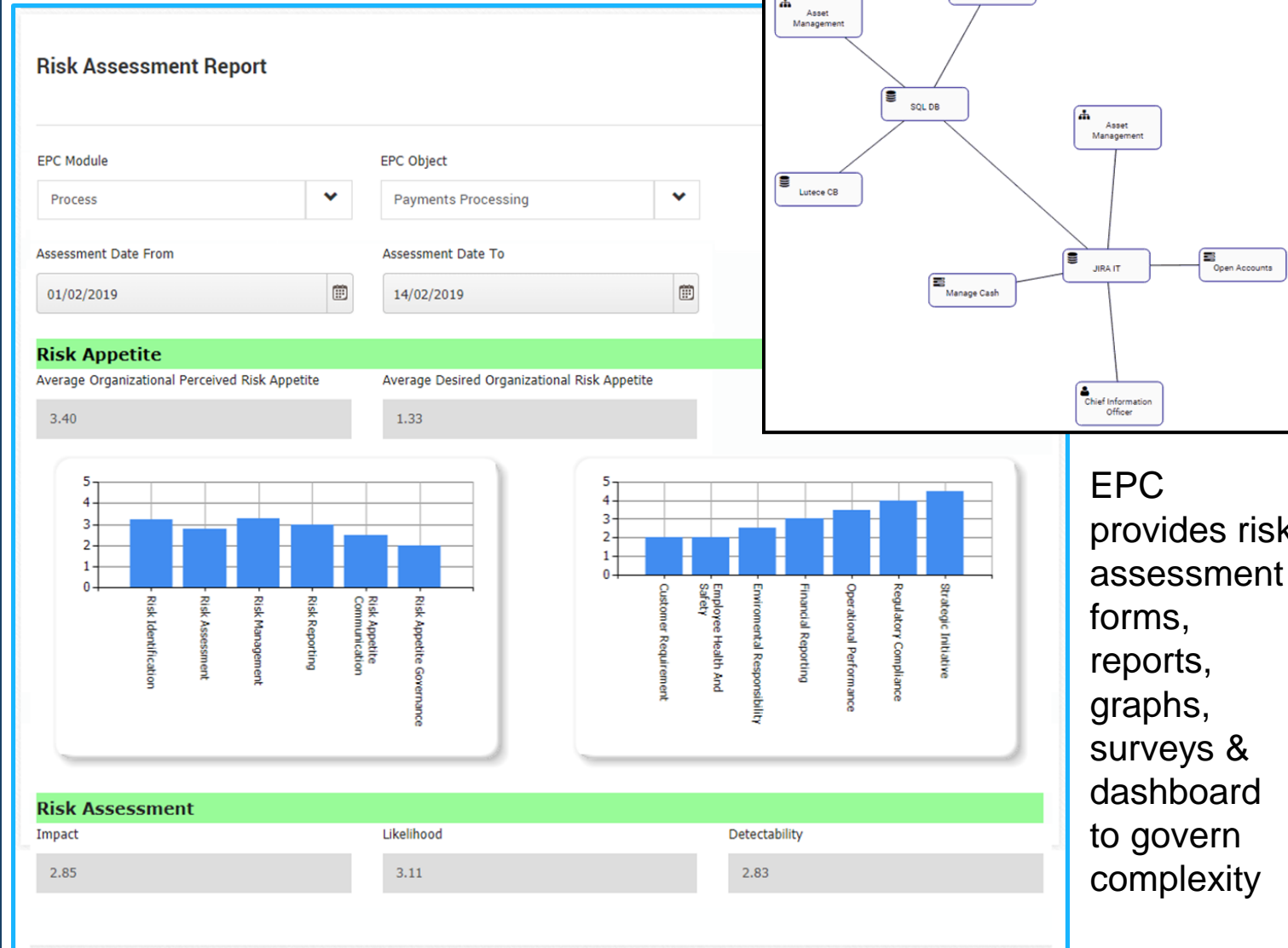
✓ Visualize risks & collateral associations (e.g. department, service, rule or asset) by Impact Diagrams

✓ Determine your risk appetite & produce effective KRIs with RIA (risk impact analysis)

✓ Generate real-time graphical charts from RIA data captured around your processes or controls

✓ User-friendly dashboards & customizable reports transforming raw data into actionable management insights

✓ Pre-calculated rules based on weighted averages transform raw data into dashboards and reports to generate overall impact, likelihood, and detectability scores

1. Risk Surveying

– Assess a risk & its downstream associations to understand potential impact of the risk!

Risk Assessment Report

EPC Module
Process

EPC Object
Payments Processing

Assessment Date From
01/02/2019

Assessment Date To
14/02/2019

Risk Appetite

Average Organizational Perceived Risk Appetite
3.40

Average Desired Organizational Risk Appetite
1.33

Risk Assessment

Impact
2.85

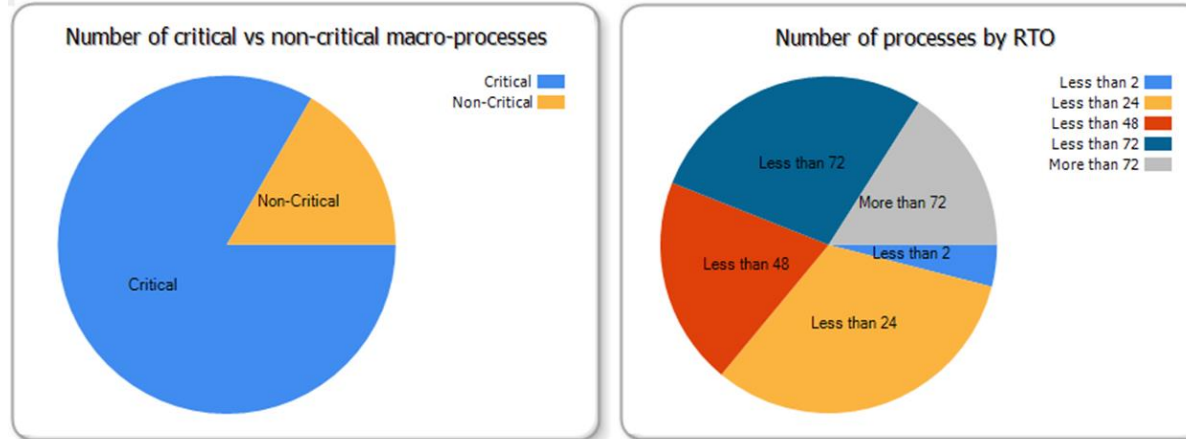Likelihood
3.11

Detectability
2.83

EPC provides risk assessment forms, reports, graphs, surveys & dashboard to govern complexity

BCM (Business Continuity Management)

- ✓ Define critical business processes, activities, key resources & assets using BIA (business impact analysis)

- ✓ Access & reuse already created processes from the EPC to your BIA

- ✓ Assign criticality scoring & calculations of recovery objectives to your process

- ✓ Create BCP from pre-built templates in BIA, revisit, & maintain BCP over time

- ✓ Associate BCP to processes, assets, asset owners, controls, etc.

- ✓ Create & map Alternative Processes for your workforce to adjust to a back-up plan

- ✓ BIA dashboards generated based off real-time data

BIA Dashboard

Number of critical vs non-critical macro-processes
- Critical
- Non-Critical

Number of processes by RTO
- Less than 2
- Less than 24
- Less than 48
- Less than 72
- More than 72

BIA Dashboard

Generated based off real-time data

Embed charts and dashboards into forms

Drill down into macro-processes

Business Continuity Management Dashboard

View all processes and their statuses -- urgent, internal service, external service, SLA, RTO

View top processes at risk

View most cited process

Business Continuity Management Dashboard

Top processes at risk

U = Urgent IS = Internal Service ES = External Service SLA = Service Level Agreement

Process Name	U	SI	SE	SLA	RTO
Arbitration	1	1	1	1	24
Modification of contracts	0	0	0	0	72
Subscriptions to ECE contracts	1	1	1	1	56

Process Coverage | Current RTO (hours) | Current RPO (hours)

Recent Events
Feb 7, 2019   Fire in the IT Room
Jan 31, 2019   Lithium-ion battery for e-cigarette caused fire in WestJet Boeing 737 cargo hold

Reports

Export collected data with a single click
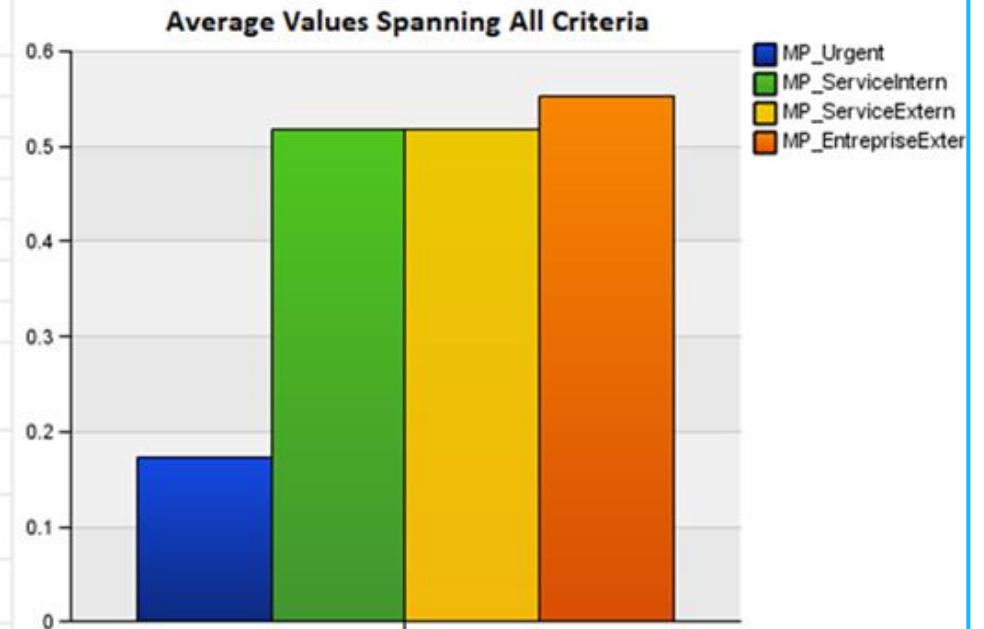
Detailed, automatically generated reports in multiple formats such as Excel, PDF, etc.

Customize reports with your logo

BCM Plan Structure Report

Critical Service Providers: 3	Emergency Boxes: 3	Emergency Workspaces: 2	Critical Customers: 3

Business Continuity Process

Task	Duration	Description
Allow access to the alternative places	10min	At the gatekeeper at the respective location the accessclearing set up (alternative location at the KL55 1 0 is secured by glass door with access system!)
Check the systems	30min	- Does user and password work in the new environment? - Are all applications available that are needed? - Are network drives available for saving files? - Are prints assigned to r?
Collect the emergency team	5min	The emergency team gathers at the agreed location and goes to the emergency workstations after all employees have arrived.
Inform emergency staff	30min	- The team coordinators inform the employees who are scheduled for the emergency operation. On the first day nmax. the number of employees in each department listed in section 6.1 to maintain emergency operation.
		You decide who is traveling and inform about the exactmeeting place at the place of departure (only required if driving together) They inform about the meeting place at the place of arrival . The available means of transport will be communicated to the team coordinators by the CB / IB Coordination.
		The beginning of the emergency response is precisely defined and announced .
Information about the local conditions	15min	
Information about the means of transport and the destination	30min	- Pick up information on CB / IB coordination on traffic situation - Define the means of transport Are public transport available? Stop e ask to exit announce Deliver directions
		In case of failure of public. Transportation: car or taxi
		Clarify which cars are available. Are parking spaces available for emergency workplaces?
		For taxi transport: organize collective taxi rides Clarify transport for the disabled (wheelchairs, accessibility for emergency workplaces)
Initiate response plan	0 00:05:00	Notify all parties of the event and initiate the response plan

Standard Alert Communication Plan
Carried out through the described procedures by the CB / IB Coordination

Holiday Alert Communication Plan
In case of emergencies on weekends and public holidays, the CB / IB area management and the CB / IB emergency coordination can be reached via Blackberry number r n. In turn, it informs the department heads of Corporate + International Banking.

Evacuation Communication Plan
Escape and rescue plans depend on all floor levels.

Providers to contact

Company	ContactPerson	Phone	Email
Abledesign	Iaroslav Gontaric	5142323331	iaroslav@interfacing.ca
Ablesoft	Scott Armstrong	5147353434	scott.armstrong@interfacing.ca
Interfacing	Matias Fontecilla	5144632168	matias.fontecilla@interfacing.com

Emergency Box Locations

Designation	Content	Location
DC2	DHC4	YUL
P51	DHC2	YYZ
S43	DHC3	YUL

Emergency Workspaces

EPCDepartmentName	FloorPlan	h2	h8	h24	h48	h72
Home Insurance	47C	2	2	3	4	4
Middle Office	34B	2	3	2		

Customers to contact

SurName	ContactPerson	Phone	Email
Abilify	Tony Bruneau	5144344343	tony.bruneau@interfacing.com
LDN	Ladan Zare	5144567654	ladan.zare@interfacing.ca
BDN	John Doe	514342123	john.doe@interfacing.com

Department restart priorities

EPCDepartmentName	Priority
Information Technology	1
Middle Office	2
Home Insurance	3

BIA Report of All Processes

BIA - Information

ID	Name	Urgent?	Internal Service?	External Service?	SLA?	Time Required	Comments
	Accounts Payable	No	No	No	No	No	
	Administrative modification of contracts and third parties	No	No	No	No	72	
	Administrative modification of contracts and third parties	No	Yes	Yes	Yes	48	
	Arbitration	No	No	No	No	No	
	Arbitration	No	No	No	No	6	
	Accounts Receivable	No	Yes	Yes	Yes	24	
	Closed contracts	No	No	No	No	120	
	Closed contracts	No	No	No	No	24	
	Client communication	No	Yes	Yes	Yes	102	
	Client communication	No	Yes	Yes	Yes	72	
	Order book management and values repository	No	No	No	No	2	
	Mandate and manual processing	No	No	No	No	333	
	Mandate and manual processing	No	Yes	Yes	Yes	24	
	Life Insurance Credit Check	No	No	No	No	0	
	Opening contracts	No	Yes	Yes	Yes	24	Relationship between the receipt, processing of orders and the opening of contracts processing of orders, closing of contracts and processing of withdrawals
	Portfolio Management	No	No	No	No	24	
	Portfolio Management	No	Yes	Yes	Yes	55	
	Portfolio Management	No	Yes	Yes	Yes	55	
	Portfolio Management	No	No	No	No	24	

Average Values Spanning All Criteria

Legend:
- MP_Urgent
- MP_ServiceIntern
- MP_ServiceExtern
- MP_EntrepriseExter

BIA Report Per Process

BIA Per Process

Process ID:	
Process name:	Reimbursement Method

General information

Essential or urgent?	
Internal supplier?	Yes
External supplier?	Yes
Services/SLA?	Yes
Time Required:	48
Comments:	

Financial impact

2 hours	Low
4 hours	Low
24 hours	Low
48 hours	Low
72-240 hours	Medium
Comments:	

Non-financial impact

Negative media coverage

2 hours	
4 hours	
24 hours	Low
48 hours	Low
72-240 hours	Medium
Comments:	

Negative evolution of market share

2 hours	
4 hours	
24 hours	Low
48 hours	Low
72-240 hours	Medium
Comments:	

Failure to comply with legal/regulatory obligations (reporting obligations)

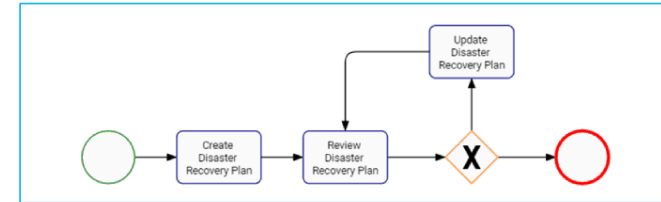| 2 hours	
4 hours	
24 hours	Low
48 hours	Low
72-240 hours	Medium
Comments:	

BCM (Business Continuity Management)

- ✓ Classify disaster data according to criticality & severity

- ✓ Access contract lists & recovery team

- ✓ Route AIs to AI owners, communicate deadlines & step-by-step procedures to AI owners throughout DRP

- ✓ Simulate or launch DRP in real time

- ✓ Mass notifications sent to critical resources following a crisis event

- ✓ Store AI list and process history with previous details (e.g. who sent, received, modified, completed, and approved which AI)

3. DRP (Disaster Recovery Plan)

– A documented & structured approach with instructions for responding unplanned incidents!

EPC covers a broad spectrum of DRP initiatives from strategy to execution

interfacing.

www.interfacing.com

Empower organizations to efficiently d transform, govern business complexity and continuously improve through process based quality, performance and compliance solutions.