

Powerful Insights. Proven Delivery.™



The Governance Portal Minimize Risk. Maximize Performance.

protiviti®
Risk & Business Consulting.
Internal Audit.



MAJOR ANALYSTS HAVE NOTED THAT THE GOVERNANCE PORTAL'S INTEGRATED AUDIT MANAGEMENT MODULE IS A KEY FEATURE THAT HELPS ORGANIZATIONS IMPROVE CORPORATE GOVERNANCE THROUGH INTEGRATED GRC ACTIVITIES AS WELL AS INDEPENDENT OVER-SIGHT OF THE GRC PROCESS.

Balancing Risk with Performance

Executives and boards are struggling to comply with evolving governance, risk and compliance (GRC) requirements while controlling costs and enhancing shareholder value.

You face a critical choice. You can approach future investments in GRC initiatives as one-off, silo-based activities. Or, you can invest in an integrated approach to GRC that will:

- Drive your corporate strategy through better performance management
- Protect your shareholders' value by managing risks and complying with laws

No matter where you are in your GRC process, Protiviti "gets it." We can help. Our technology is just like our people – efficient, effective and ready to make an impact on your GRC program.

Customers who implement the Governance Portal achieve value along a continuum of integrated GRC maturity, as depicted below:

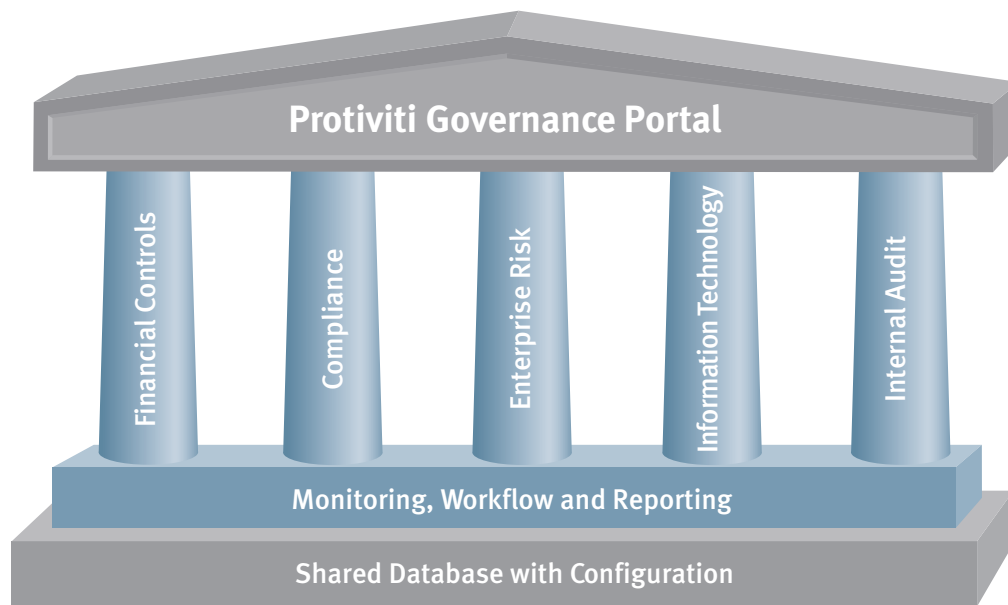
GRC Program Goal			Value
Effective Allocation of Assets/Resources			<ul style="list-style-type: none"> • Competitive advantage • Optimized performance • Protection of shareholder value
Optimized Coverage/Cost Structure			<ul style="list-style-type: none"> • Reduction of operational losses and incidents • Lower cost of total compliance
Demonstrable Compliance			<ul style="list-style-type: none"> • Compliance with regulatory filings/public reporting • Competitive advantage for regulatory and other government contracts
Correlated GRC Program Maturity			
Isolated GRC domains	Integrated risk and compliance practices	Alignment with performance management	IT Policy Compliance Group (ITPCG) research: <ul style="list-style-type: none"> • 17% higher revenues • 14% higher profits • 96% lower financial losses from the loss or theft of customer data • 50% less spent on regulatory compliance annually
Key GRC Platform Requirements			
<ul style="list-style-type: none"> • Policy-centric views • Automated compliance/CCM 	<ul style="list-style-type: none"> • Support of multiple GRC frameworks • Risk-centric views • Consolidated reporting 	<ul style="list-style-type: none"> • GL/ERP alignment • KPI/KRIs • Enterprise dashboards 	

PROTIVITI HAS BEEN POSITIONED AS A “VISIONARY” IN GARTNER’S MAGIC QUADRANT* FOR ENTERPRISE GOVERNANCE, RISK AND COMPLIANCE (EGRC) PLATFORMS.

The Governance Portal

The Governance Portal is an Enterprise Governance, Risk and Compliance (EGRC) platform that integrates content and commonly accepted frameworks with world-class consulting expertise into a comprehensive platform.

Our software provides you the targeted GRC solutions you need today, and helps you converge multiple GRC practices into a single enterprise platform that aligns sound governance with business performance.



Our expert consultants have worked with thousands of global clients. We have leveraged this experience to create the Governance Portal – an EGRC solution that integrates real-world experience and content with leading-edge technology. The integration of process, knowledge and technology helps you quickly launch your GRC program, efficiently execute your plan and easily sustain the process year after year.

* The Magic Quadrant is copyrighted August 12, 2009 by Gartner, Inc. and is reused with permission. The Magic Quadrant is a graphical representation of a marketplace at and for a specific time period. It depicts Gartner’s analysis of how certain vendors measure against criteria for that marketplace, as defined by Gartner. Gartner does not endorse any vendor, product or service depicted in the Magic Quadrant, and does not advise technology users to select only those vendors placed in the “Leaders” quadrant. The Magic Quadrant is intended solely as a research tool, and is not meant to be a specific guide to action. Gartner disclaims all warranties, express or implied, with respect to this research, including any warranties of merchantability or fitness for a particular purpose.

Working Together – A Single Solution

The Governance Portal helps you manage:

- Financial Controls – Address financial reporting regulations such as Sarbanes-Oxley Sections 302 and 404, J-SOX, NI 52-109, A123, Bill 198, IFRS and other equivalent regulations across Europe and the rest of the world. The Governance Portal for Financial Controls serves as a repository for all internal control documentation, evaluation, testing, remediation and certification.
- Information Technology – Manage the risks associated with your IT systems, processes and projects as they relate to information technology regulations such as PCI DSS, GLBA and HIPAA. The Governance Portal for Information Technology allows you to inventory your IT landscape, identify high-risk IT areas, document IT policies and objectives, evaluate the effectiveness of the IT organization relative to your strategic objectives and remediate resulting issues.
- Internal Audit – Execute all key phases of internal audit, including enterprise risk assessment, annual planning, project planning, execution, documentation, reporting and issue follow-up. The Governance Portal for Internal Audit’s configurable design makes it the perfect tool to support any size audit department.
- Compliance Management – Streamline the dissemination of and compliance with continuous regulatory updates while leveraging a common set of controls, process and risk documentation. The Governance Portal for Compliance Management helps you minimize duplication of work across the enterprise, decrease your risk of non-compliance and reduce costs.
- Risk Management – Break out of your silo-based approach to risk management. The Governance Portal for Risk Management enables you to identify, source, measure and manage risk through risk and control self-assessment, incident management, key indicator monitoring and scenario analysis.

Key Features – Improving Your GRC Management

The Governance Portal provides a single, flexible platform that shares common functionality to improve efficiency, reduce risk and enhance strategic decision making. Highlights of the Governance Portal include:

Risk and Control Management – Analyze your risks and controls through an easy-to-use interface that shows the relationships among objectives, risks, controls and tests.

03. Analyze Risk & Controls

Entity: 010.002.001 Process Accounts Payable (Finance) | Scope: Only In Scope

Risks	Controls	Tests
Cash may be disbursed prior to due date	Establish a dollar threshold for checks requiring 2 signatures – either 2 manual signatures or 1 manual signature and 1 computer-generated signature	Approvals for purchase orders
Unintentional or deliberate errors on supplier invoices	Establish a dollar threshold for checks requiring 2 signatures – either 2 manual signatures or 1 manual signature and 1 computer-generated signature	Goods received, not yet invoiced
	Reconcile accounts payable subsidiary ledger with the General Ledger	Adequate documentation and adherence to bid process

“VERY GOOD JOB OF INCORPORATING COMPLIANCE FRAMEWORK/METHODOLOGY IN THE GOVERNANCE PORTAL; IT IS VERY FLEXIBLE; REPORTING FOR LINES OF BUSINESS IS EASY; THE SYSTEM HAS DRIVEN STANDARDIZATION (FIELDS) AT OUR COMPANY.”

– Global Supplier of High-Tech Telecommunications Network Equipment

Workflow – Perform assessment, review and remediation across GRC domains through notification-driven action items.

Entity Name	Action Plan Name	Action Plan Due Date	Action Plan Status	Action Plan Review Comment	Action Plan Review Status
Organizational Unit "Corporate Finance Process: "General Ledger Accounting (Close the Books)"	Lack of segregation of duties	11/28/2009	2. In Progress		1. Not Reviewed
Organizational Unit "Corporate Finance Process: "General Ledger Accounting (Close the Books)"	Please update	4/17/2008	2. In Progress		1. Not Reviewed
Organizational Unit "Global Corporate and Retail Bank	Please update regulatory documents	7/6/2009	1. Not Started		1. Not Reviewed
Organizational Unit "Corporate Finance Process: Process Accounts Receivable and Collectors	Unauthorized Approver for Invoices	8/28/2008	4. Complete	This control has a history of good performance and the two exceptions noted occurred during an unusual period.	4. Closed
Organizational Unit "Corporate Finance Process: "Process Accounts Payable	Update Process Documentation	5/7/2008	2. In Progress		1. Not Reviewed

Survey – Facilitate GRC diagnostics, communication, training and certification via an integrated survey engine.

Due Date: 12/31/2009 **AML Annual Training 2009**

QUESTION
[Anti Money Laundering - AML History](#) Instructions: Review this section by reading the linked presentation, then answer the following questions.

Non-compliance with anti-money laundering requirements may result in what type of disciplinary action by regulators ?

RESPONSE

Criminal
 Civil
 Criminal and Civil

[Anti Money Laundering - AML Requirements I](#) Instructions: Review this section by reading the linked presentation, then answer the following questions.

As part of the Fair and Accurate Credit Transactions Act of 2003, financial institutions and creditors are required to develop and implement identify theft programs by what year and date?

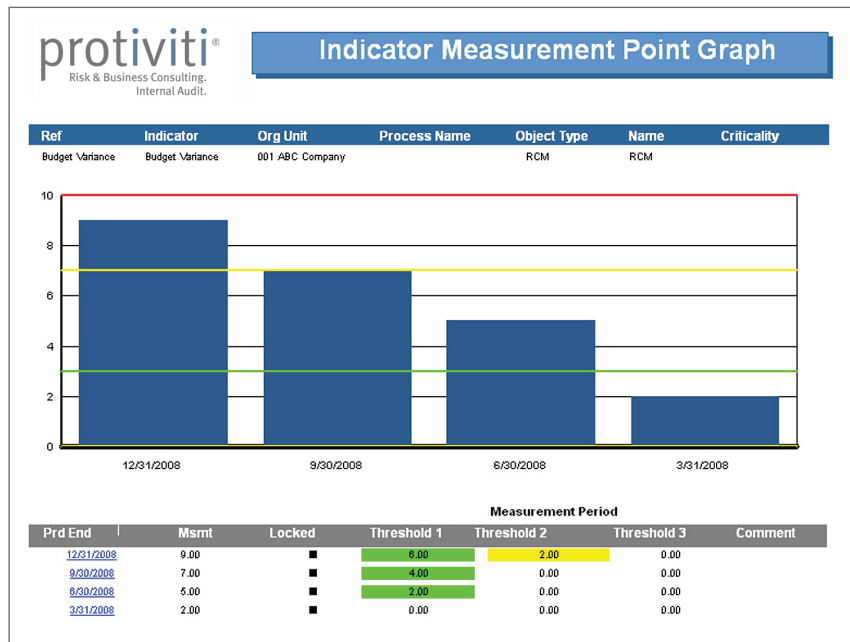
January 1, 2009
 November 1, 2008
 July 1, 2008

[Anti Money Laundering - AML Requirements II](#) Instructions: Review this section by reading the linked presentation, then answer the following questions.

The US Patriot act requires financial institutions to develop an understanding of their clients' financial backgrounds.

True
 False

Reports and Dashboards – Gain insight and transparency by monitoring your GRC results through ad-hoc searches, dashboards and reports.



Why Choose the Governance Portal?

Protiviti delivers powerful insights and proven delivery through enabling technology to provide you with a holistic GRC solution to manage risks that affect your organization's strategy, performance and growth.

By using the Governance Portal you will:

Achieve results faster with out-of-the-box solutions

- Diagnostics help you focus on target areas
- Content libraries help you jump-start your documentation efforts
- Scorecards and reports drive analysis against industry frameworks
- Content Solutions include*:
 - Governance (internal audit, information protection, PCI, code of conduct)
 - Risk management (COSO ERM, Basel II, telecommunications risk framework)
 - Compliance (financial controls SAS 70)

*List not all-inclusive

Increase the success of your GRC program with professional expertise and global support

- Choose from several implementation approaches, based on your requirements and experience
- Receive local assistance from our 2,900 experienced professionals in more than 60 offices around the world
- Access 24x5 global support

Maximize your return on investment with a complete GRC technology solution

- Integrated survey engine automatically updates underlying data points
- Offline audit workbench utilizes leading-edge technologies
- Integrated internal audit functions drive value-add risk management practices through your organization
- Obtain powerful, ad-hoc analysis through easy-to-use reporting templates
- Converge all GRC practices for potentially zero additional technology investment

“We selected Protiviti because of the full range of Governance Portal risk and compliance solutions, including controls management, risk management, assessment management, internal audit management, policy and compliance management, and IT governance. The Governance Portal offers the flexibility and configurability that we were looking for and provides for a streamlined and sustainable approach to SOX compliance.”

Senior Manager, Real Estate Network Company

“Protiviti’s consultants helped me fully consider our complete GRC universe. Their insights have helped me set up the system to support my specific SOX program today while positioning me to grow our GRC function for future success.”

Internal Controls Manager, Diversified Industrial Company

“Our goal is to establish a government-wide risk profile while sharing best practices across the more than 30 government entities we support. We needed a common supporting application that could be used by 150 internal auditors across these entities. Protiviti’s Governance Portal clearly aligns audit execution with our broader enterprise risk management goals.”

Executive Director, Government Entity

Why Protiviti?

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Protiviti is a leading provider of independent risk consulting and internal audit services. The company provides consulting and advisory services to help clients identify, assess, measure and manage financial, operational and technology-related risks, and assists in the implementation of the processes and controls to enable their continued monitoring. Protiviti has experience working with clients around the world to provide risk consulting services and internal audit solutions. Our more than 2,900 business professionals across five continents are connected on a daily basis to emerging GRC practices.

Protiviti offers organizations a delivery capability that cannot be matched by any other software vendor, providing the benefits of a smoother implementation plus a focus on streamlining and adding value to your risk management programs. Protiviti’s continued investment in the solution is backed by parent company Robert Half International – an S&P 500 company with a \$7 billion market cap – and demonstrated through seven incremental releases since March 2003, making the Governance Portal one of the most mature GRC platforms available on the market.

THE AMERICAS

UNITED STATES

Alexandria	Kansas City	Salt Lake City
Atlanta	Los Angeles	San Francisco
Baltimore	Milwaukee	Seattle
Boston	Minneapolis	Silicon Valley/ Santa Clara
Charlotte	New York	Stamford
Chicago	Orlando	St. Louis
Cincinnati	Philadelphia	Tampa
Cleveland	Phoenix	Vienna
Dallas	Pittsburgh	Woodbridge
Denver	Portland	
Fort Lauderdale	Richmond	
Houston	Sacramento	

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Mexico City

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Toronto

PERU

Lima*

ASIA-PACIFIC

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Melbourne
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INDIA

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Mumbai
New Delhi

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Singapore

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Seoul

CHINA

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Shanghai
Shenzhen

INDONESIA

Jakarta**

JAPAN

Osaka
Tokyo

* Protiviti Member Firm

** Protiviti Alliance Member

Protiviti (www.protiviti.com) is a global business consulting and internal audit firm composed of experts specializing in risk, advisory and transaction services. The firm helps solve problems in finance and transactions, operations, technology, litigation, governance, risk, and compliance. Protiviti's highly trained, results-oriented professionals provide a unique perspective on a wide range of critical business issues for clients in the Americas, Asia-Pacific, Europe and the Middle East.

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