



RSA Archer Regulatory Change Management

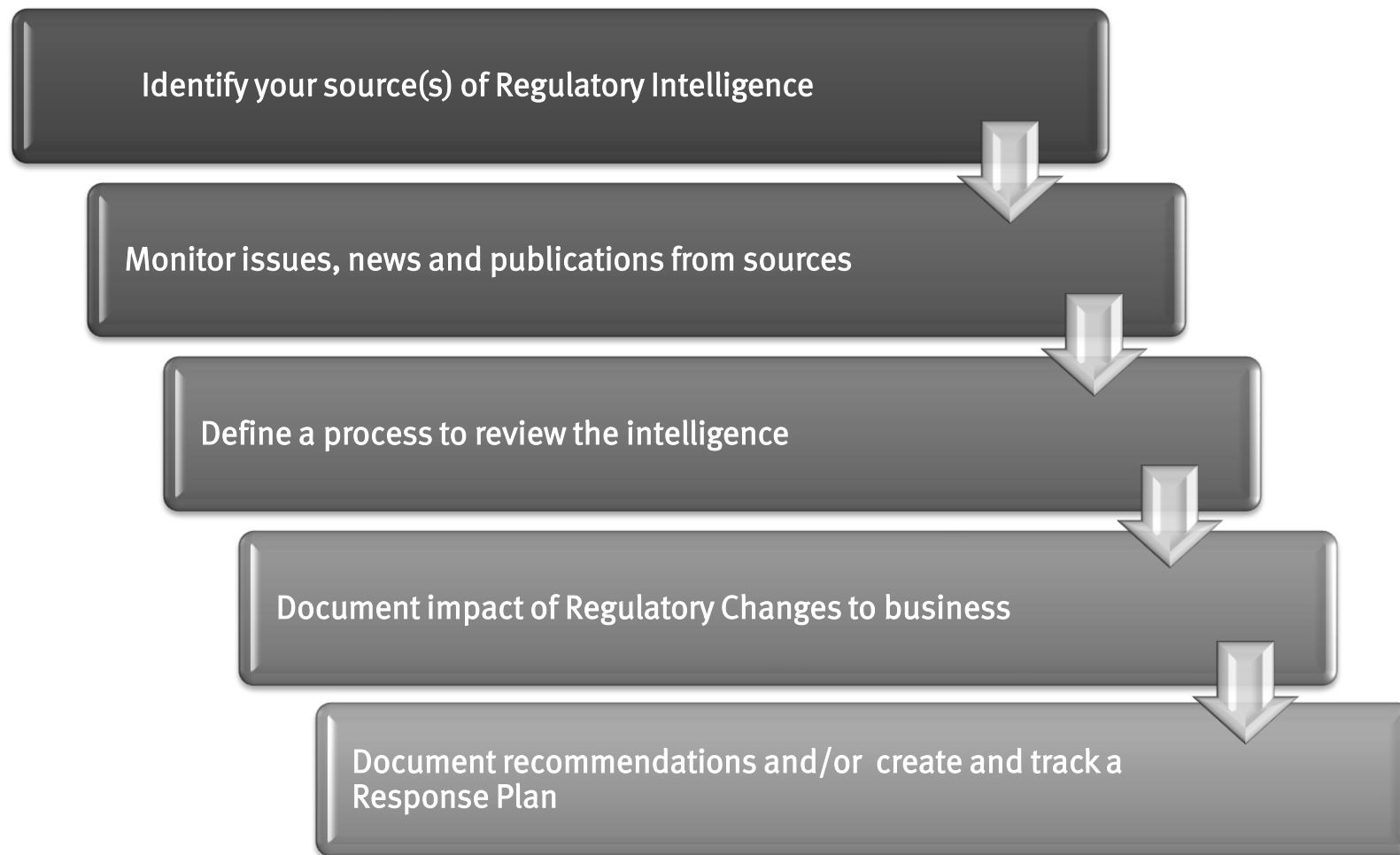
Steve Schlarman
eGRC Solution Manager
July, 2012

Business Issues

- Monitoring frequent changes to laws, regulations and industry requirements from multiple sources
- Identifying, prioritizing and responding to regulatory data that impacts your business
- Establishing processes to identify regulatory changes and implement measures to maintain compliance
- Tracking the impact of regulatory issues from identification to final remediation



Regulatory Intelligence



The Impact of Regulatory Changes

- Policy Changes
- Training and Awareness programs
- Process Changes
- Technology impacts
- Exceptions
- Roles Definition/Creation/Assignment
- ...

Business Challenges

“ Companies seldom have efficient and reliable research capabilities for regulatory changes. ”

“ Companies do not have the resources to monitor regulatory issues. ”

“ Companies do not have an easy way to track which business assets are impacted by a regulatory change. ”

“ Once upcoming regulatory issues are identified, remediation processes are often managed ad-hoc. ”

“ Companies cannot track an incoming alert from a compliance entity to the final disposition of the change including policy changes resulting from the regulatory change. ”



Business Outcomes

“Companies seldom have efficient and reliable research capabilities for regulatory changes.”

“Companies do not have the resources to monitor regulatory issues.”

“Companies do not have an easy way to track which business assets are impacted by a regulatory change.”

“Once upcoming regulatory issues are identified, remediation processes are often managed ad-hoc.”

“Companies cannot track an incoming alert from a compliance entity to the final disposition of the change including policy changes resulting from the regulatory change.”



“Centralizing incoming regulatory intelligence eases research and improves coverage.”

“Resources can be assigned for the most impactful issues.”

“Combining Regulatory Change Management with GRC processes leverages information from multiple processes.”

“Remediation efforts are documented, consolidated and tracked easily.”

“Consolidated reporting and dashboards enable better business decisions via improved visibility to management.”

RSA Archer Regulatory Change Management

Objectives

- Centralized repository of regulatory data
- Clear reporting of activities related to regulatory issue remediation
- Consistent and repeatable process for regulatory change management
- Complements RSA Archer Policy and Compliance Management Solutions

RSA Archer Regulatory Change Management

Features

- Consolidate regulatory intelligence (from RSS or manually created feeds)
- Perform regulatory impact analysis
- Map regulatory impacts to your enterprise
- Track regulatory impacts to your policies and controls
- Track remediation efforts associated with regulatory change
- Report on regulatory change management activities



“Regulatory changes impact our business across the board. Getting out in front of the issues keeps us in compliance and lowers our risks.”

Senior Vice President of Enterprise Risk,
Financial Services Client

Regulatory Intelligence Feeds

Governmental Agencies

- Center for Medicare Services
- FASB
 - Action Alerts
 - News
- FDIC
 - Financial Institution Letters
 - OIG Reports
 - Press Releases
 - Special Alerts
- FERC
- FTC
- OCC-Treasury
- SEC
- US Federal Registry
- Department of Homeland Security
- US CERT
- US Dept Health and Human Services
- American Petroleum Institute
- Library of Congress (daily digest)

LexisNexis (free feeds)

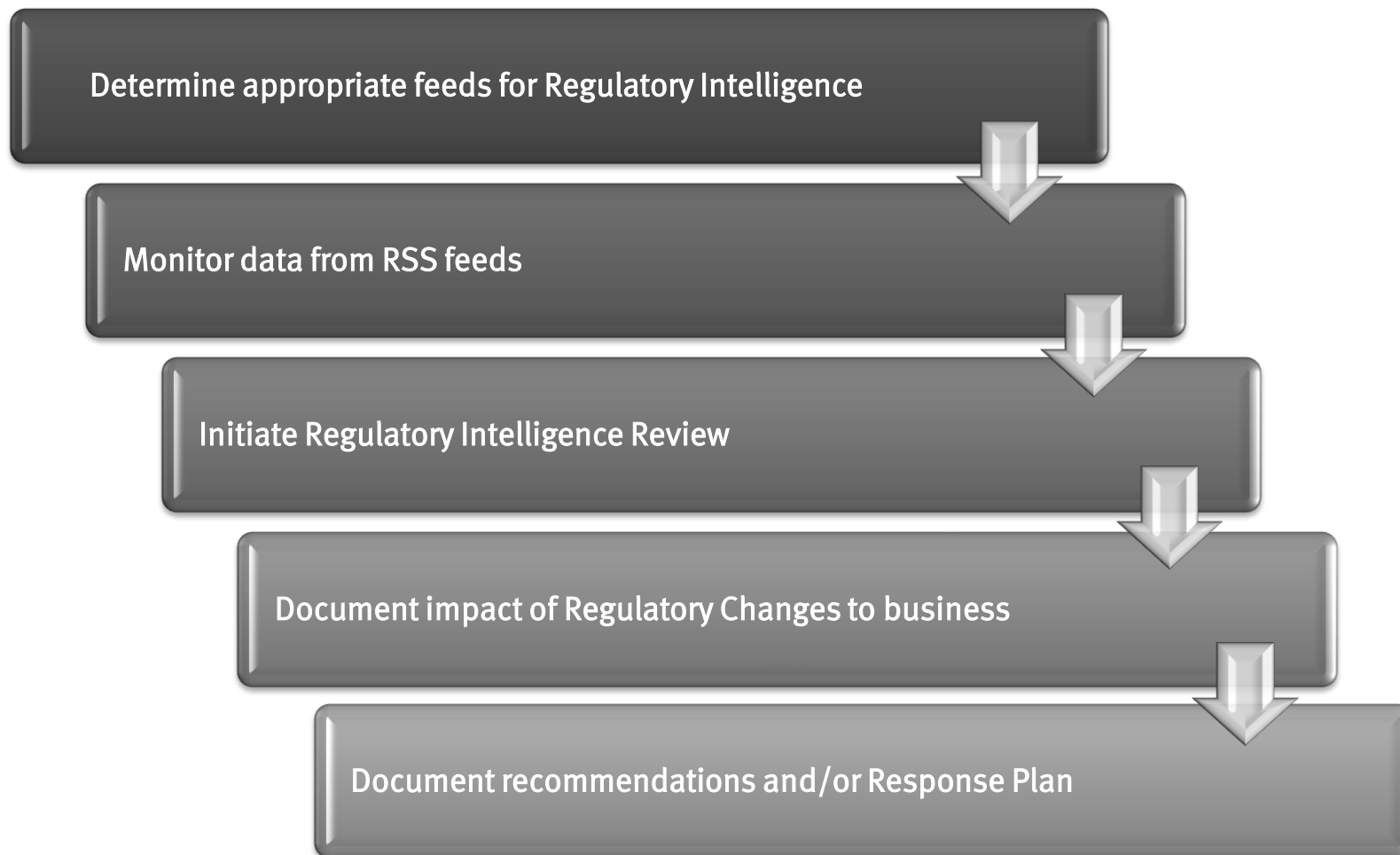
- Cyber and Privacy
- Dodd-Frank
- FCPA
- Labor Law Alerts
- Bankruptcy Law News
- Copyright and Trademark Law News
- Copyright and Trademark Law Emerging Issues
- Securities Law
- Corporate Law
- Business Law
- Emerging Issues Law News
- Focus on Oil, Gas, Energy Law
- Environmental Law and Climate Change news
- Insurance Law News
- Insurance Law Emerging Issues
- Patent Law News
- Patent Law Emerging Issues
- Tax Law News
- Tax Law Emerging Issues

Independent Watchdog Services

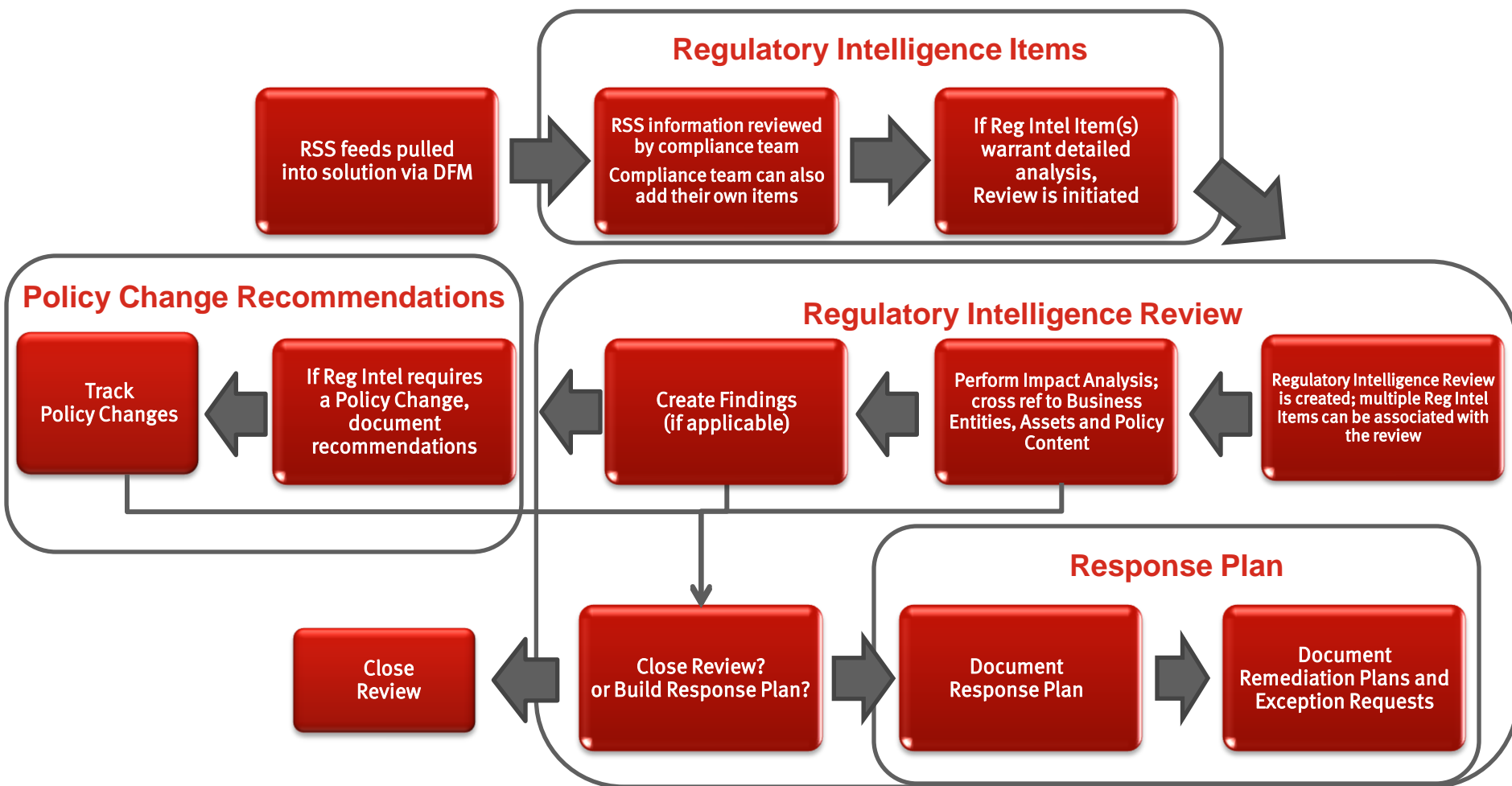
- OpenCongress.gov
 - Top Bills in the News
 - Healthcare
 - Energy
 - Environmental Protection
 - Financial Industry
 - Utilities
 - Banking and Financial Institution regulations
 - Insurance Industry Regulations
 - Privacy
 - Technology
- OpenRegs (www.openregs.com)
 - Upcoming Closing Comment Periods
 - Recently Opened Comment Periods
 - Published Final Regulations
 - Opened Significant Regulations

Note: Other RSS feeds can be added to meet your organization's requirements

Regulatory Intelligence Workflow

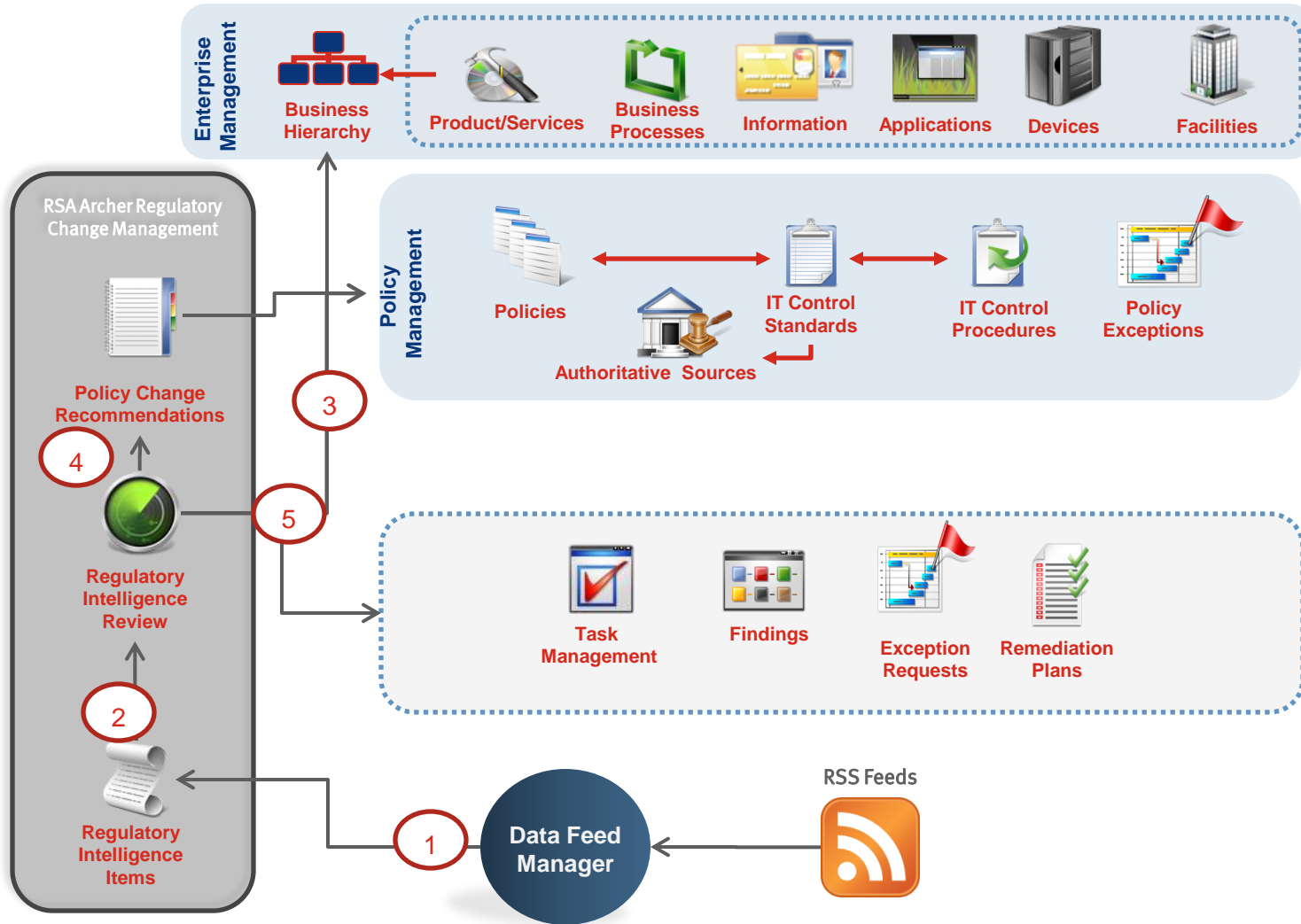


Regulatory Change Workflow



Solution Overview

1. Prebuilt RSS Feeds from regulatory bodies pull news and alerts into the Regulatory Intelligence Items application
2. Compliance team can “bundle” news/alerts from Regulatory Intelligence Items into one review process for analysis
3. The review includes an impact analysis to relate to Policy, Standards and Controls Business Hierarchy and Assets (Findings can be created, if necessary)
4. If the Impact includes a Policy Change, recommendations can be documented and related to Policy content.
5. If the Impact requires a Response Plan, the plan is documented via Remediation Plans and Exception Requests



DEMO

Solution “In a Nutshell”

RSA Archer Regulatory Change Management is an integrated platform for collecting regulatory intelligence, documenting the impact of regulatory changes and tracking response efforts



CHALLENGES

- Multiple data sources for regulatory intelligence
- Limited resources to determine issues and identify gaps
- Complex compliance and risk requirements
- Lack of business context to prioritize regulatory changes
- Lack of tracking of issues from identification to final remediation

SOLUTION

- **RSA Archer Regulatory Change Management:** Purpose built regulatory change management solution
- **RSA Archer GRC Platform:** Policy Management, Enterprise Management and GRC platform
- Pre-built data feeds for multiple regulatory intelligence feeds

RESULTS

- Reduced time and effort required to gather and analyze potential regulatory changes
- Improved visibility to regulatory changes for compliance, risk and audit functions via easy-to-use portal
- Demonstrated due diligence processes for compliance
- Merged regulatory monitoring into broader GRC efforts



The Security Division of EMC

Regulatory Intelligence Review

(Step 1 - Review: Document review scope and business impact)

Regulatory Intelligence Review: 186438

New Copy Save Apply View Delete Record 2 of 3 Export Print Email

▼ About

General Information

Tracking ID:	186438	Analyst:	Rohlf, Jason
Date Review Started:	10/10/2011	Status:	In Progress
Date Review Closed:			

Review Description:

Changes to the Deputy Comptroller for Economic and Policy Analysis indicates a change in policy towards privacy affairs. Immediately following his appointment, his statements indicate a highly probable change in policy requiring U.S. entities with operations in Albania and Estonia to appoint privacy officers locally.

Words: 45 Characters: 319

▼ Regulatory Intelligence Items | Add New | Lookup |

Tracking ID	Title	Source	Date Published
186087	David Nebhut Named Deputy Comptroller for Economic and Policy Analysis	OCC News	10/4/2011
186089	Acting Comptroller Discusses Housing and Foreclosures at the Institute of International Finance	OCC News	9/23/2011
186098	October 6, 2011, issue	SEC News	10/6/2011

Review Response

▼ Business Impact

Impacted Business Entities:	Impacted Business: Asia Pac Shared services EMEA Shared Services	Impacted Geographies:	Albania Bermuda Estonia
-----------------------------	---	-----------------------	-------------------------------

Regulatory Intelligence Review

(Step 2 - Response: Identify plan accountability and regulatory risk treatment activities)

Review **Response**

▼ Response Plan

Plan Approver:	Rohlf, Jason	Plan Manager:	Simmons, Karen
Response Plan Overview:	This is the plan overview. <small>Words: 5 Characters: 26</small>		
Expected Plan Start Date:	<input type="text"/>	Expected Plan Completion Date:	<input type="text"/>
Estimated Remediation Plan Costs:	\$100,000	Actual Remediation Plan Costs:	\$765,434
		Response Plan Status:	Open

▼ Remediation Plans | Add New | Lookup |

Name	Remediation Plan Manager	Remediation Plan Owner	Status
Awareness Campaign for Regulation X		Niehues, Dustin	In Process

▼ Exception Requests | Add New | Lookup |

No records to display.

▼ Open Tasks/Activities | Add New |

Status	Due Date	Assigned To	Description
In Progress	10/25/2011	Schlarman, Steve	Set up a meeting with Legal Counsel in Albania for review of this issue.

Closed Tasks

No records to display.

Policy Change Recommendations

(Step 3 - Recommendation: Create Policy changes to address new regulatory requirements)

The screenshot displays two overlapping windows from a web application. The top window is titled 'Policy Change Recommendation: 208263' and the bottom window is titled 'Policy Change Recommendation: 208264'. Both windows have a standard toolbar with icons for New, Copy, Save, Apply, View, Delete, Export, Print, and Email. The top window's content includes a 'General Information' section with fields for Tracking ID (208263), Regulatory Intelligence Review (194831), Name of Change (Add New Policy for XYZ), and Recommendations (We need a new policy to cover XYZ). It also has fields for Date of Recommendation (10/28/2011) and Content Change Owner (Rohlf, Jason). The bottom window's 'General Information' section includes Tracking ID (208264), Regulatory Intelligence Review (194831), Name of Change (Change Control Standards), and Recommendations (Change Control Standards). It also has fields for Date of Recommendation (10/28/2011), Deadline Date (11/17/2011), and Content Change Owner (Simmons, Karen). Below the forms, there are sections for 'Policies' and 'Control Standards'. The 'Policies' section shows a table with one entry: '01.0 Security Management'. The 'Control Standards' section shows a table with three entries: 'ATCS-006', 'ATCS-007', and 'ATCS-008'. The bottom window also has sections for 'Control Procedures' and 'Open Tasks/Activities', both showing 'No records to display'. A footer at the bottom of the bottom window reads 'Required | Copyright © 2011 EMC Corporation. All Rights Reserved | Version 5.1.1.1053 |'.

Policy Change Recommendation: 208263

Tracking ID: 208263 - Type of Change: New Content

Regulatory Intelligence Review: 194831

Name of Change: Add New Policy for XYZ

Recommendations: We need a new policy to cover XYZ.

Words: 8 Characters: 34

Date of Recommendation: 10/28/2011

Content Change Owner: Rohlf, Jason

Policy Change Recommendation: 208264

Tracking ID: 208264 - Type of Change: Change Existing Content

Regulatory Intelligence Review: 194831

Name of Change: Change Control Standards

Recommendations: Change Control Standards

Words: 3 Characters: 24

Date of Recommendation: 10/28/2011

Deadline Date: 11/17/2011

Content Change Owner: Simmons, Karen

Last Updated: 10/28/2011 3:52 PM

Policies

Policy Name
01.0 Security Management

Control Standards

Standard ID	Standard Name	Control Standard Owner	Published Date
ATCS-006	Chief Information Security Officer		7/30/2009
ATCS-007	Responsibilities of the Information Security Function		7/30/2009
ATCS-008	Information Security Officers		7/30/2009

Control Procedures

No records to display.

Open Tasks/Activities

No records to display.

Required | Copyright © 2011 EMC Corporation. All Rights Reserved | Version 5.1.1.1053 |

Regulatory Intelligence Center Dashboard

(Step 4 - Report: Track new regulations in real time reports)

RSA Archer eGRC Enterprise Governance, Risk and Compliance

Preferences Reports Help Logout Search: Regulatory Intelligence

Enterprise Management Incident Management Threat Management Business Continuity Management Audit Management Administration **Regulatory Change Management** More

Regulatory Intelligence Items Regulatory Intelligence Reviews

Navigation Menu

- Administration
- Regulatory Intelligence
- Regulatory Intelligence Items
 - Advanced Search
 - Add New
 - Display All
 - By Source
 - By Status
 - Reports
- Regulatory Intelligence Review
- Policy Change Recommendation
- Task Management
- Issue Management
 - Exception Requests
 - Findings
 - Remediation Plans

Dashboard: Regulatory Intelligence Center Welcome, Steve Schlarman Options

Search Regulatory Intelligence

GO

Latest Regulatory Intelligence

Regulatory Intelligence Items (Last 7 days)

Tracking ID	Title	Source	Link
Date Published: 11/1/2011			
Source: Dodd-Frank			
208333	Evaluating Integration of the Compliance Function in Pre-Acquisition Due Diligence	LexisNexis Dodd-Frank	http://www.lexisnfrank/archive/2011/compliance-functi
Source: News			
208328	Independent Foreclosure Review Underway	OCC News	http://www.occ.gov/issuances/news-releases/2011/nr-c-2011-133.html
Source: Agency for Healthcare Research and Quality			
208339	Notice - Common Formats for Patient Safety Data Collection and Event	Federal Registry Agency for Healthcare Research and	http://regulations.it

Regulatory Intelligence Sources

Regulatory Intelligence Items by Source (Last 7 days)

- SEC: News
- OCC: News
- LexisNexis: Labor Law Alerts
- LexisNexis: FCPA
- LexisNexis: Dodd-Frank
- Federal Registry: Copyright Office, Library of Congress
- Federal Registry: Committee for Purchase From People Who Are Blind or Severely Disabled
- Federal Registry: Coast Guard
- Federal Registry: Children and Families Administration
- Federal Registry: Centers for Medicare & Medicaid Services
- Federal Registry: Census Bureau
- Federal Registry: Army Department
- Federal Registry: Antitrust Division
- Federal Registry: Animal and Plant Health Inspection Service

Local intranet | Protected Mode: Off 100%

Regulatory Reviews Dashboard

(Step 4 - Report cont.: Track review accountability and status)

RSA Archer eGRC Enterprise Governance, Risk and Compliance

Preferences Reports Help Logout Search: Regulatory Intelligence

Enterprise Management Incident Management Threat Management Business Continuity Management Audit Management Administration **Regulatory Change Management** More

Regulatory Intelligence Items Regulatory Intelligence Reviews

Navigation Menu

- Administration
- Regulatory Intelligence
- Regulatory Intelligence Items
 - Advanced Search
 - Add New
 - Display All
 - By Source
 - By Status
 - Reports
- Regulatory Intelligence Review
- Policy Change Recommendation
- Task Management
- Issue Management
- Exception Requests
- Findings
- Remediation Plans

Dashboard: Regulatory Intelligence Reviews **Welcome, Steve Schlarman** Options

My Regulatory Reviews

My Regulatory Reviews

Tracking ID	Analyst	Review Status	Date Review Started	Review Description
186437	Schlarman, Steve	Assigned	10/19/2011	Review of latest FDIC Alerts
194831	Schlarman, Steve	In Progress	10/23/2011	Review of Notices from AntiTrust Division from Fed Registry.
208262	Schlarman, Steve	Assigned	10/28/2011	

Page 1 of 1 (3 records)

Regulatory Intelligence Reviews Work Queue

Regulatory Intelligence Reviews by Reviewer

Reviewer	Count	Percentage
Rohlif, Jason	2	28.57%
Schlarman, Steve	3	42.86%
Simmons, Karen	1	14.29%
Toburen, Marshall	1	14.29%

Regulatory Intelligence Reviews

Regulatory Intelligence Reviews by Status

Status	Count
Assigned	2
In Progress	3
Closed	2

Local intranet | Protected Mode: Off 100%

Policy Change Management Dashboard

(Step 4 - Report cont.: Manage policy change workflow)

The dashboard displays the following components:

- Header:** RSA Archer eGRC logo, navigation tabs (Enterprise Management, Incident Management, Threat Management, Business Continuity Management, Audit Management, Administration, Regulatory Change Management), and a search bar.
- Navigation Menu:** A sidebar menu with categories like Administration, Regulatory Intelligence, Task Management, and Issue Management.
- Dashboard:** Shows "Policy Change Management" with a dropdown for "Policy Change Recommendations Initiated".
- Table:** A table with columns: Tracking ID, Content Change Owner, Date of Recommendation, Name of Change, Status, and Type of Change. It contains one record: Tracking ID 208264, Content Change Owner Simmons, Karen, Date of Recommendation 10/28/2011, Name of Change Change Control Standards, Status Policy Change Initiated, and Type of Change Change Existing Content.
- Policy Change Trends:** A line chart titled "Policy Change Recommendations by Deadline Date" showing a count of 1 for both November 2011 and December 2011.
- Policy Change Recommendations:** A bar chart titled "Policy Change Recommendations by Content Owner" showing a count of 1 for Rohlif, Jason (blue bar) and Simmons, Karen (green bar).