



INTERNAL CONTROLS MANAGEMENT

Cut the Cost & Complexity of Internal Controls

Software to reduce costs and increase assurance by automating your manual and repetitive internal controls work.

Managing your internal controls like SOX, ITGC, ICFR and OMB A-123 is complicated, and spreadsheets and other legacy tools are inefficient and don't deliver the assurance you need.

By centrally managing and introducing automation to control testing and workflows, assurance is improved and the workload can be more evenly distributed. Risk assurance is improved, compliance is achieved, and the C-suite and investors are more confident.

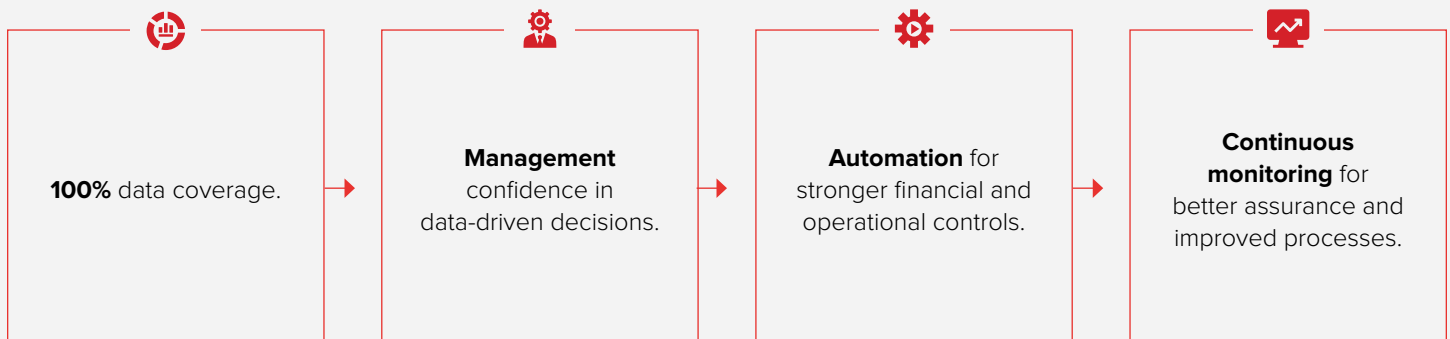
Why Choose Internal Controls Management?

- **Reduce costs** by minimizing duplicate work, rationalizing low-risk or non-key controls, and harmonizing controls that comply with multiple regulations
- **Engage process owners** and the first line of defense to test controls and remediate issues in a single platform
- **Save time** with pre-built templates and frameworks
- **Share real-time updates** on compliance issues, remediation tasks and certification status
- **Increase management and investor confidence**

“We’ve recognized quite a big improvement in the reliability and consistency of the controls, but also the efficiency of the processes underlying them.”

Jason A. Gross,
CPA, CIA, CFE, CISA, ACDA VP, controls management,
Siemens Financial Services, Inc.

Control Professionals Are Seeing Results with Internal Controls Management



Control ID	Description	Control design	Control operation	Status	Frequency	Owner
5314-05431	Policies on Corporate Governance - Management Responsibilities Control tasks	✓	✓ ...	Key Control	Bi-Weekly	Kris McKinnon
5314-05431	Policies on Corporate Governance - Management Responsibilities Control tasks	✓	✓ ✓ ...	Key Control	Bi-Weekly	Kris McKinnon
EC1-002	Install Security Card scanning terminals on every site entry points. Control tasks	✓	✓ ...	Key Control	Monthly	Kris McKinnon
EC1-002	Install Security Card scanning terminals on every site entry points.	✓	✓ ...	Key Control	Monthly	Kris McKinnon
AS-002	Ensure Strong Passwords are generated automatically	Key Control	Daily	Cory McBain
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Figure 1: Mission control.

Highlighted Features

Controls Testing & Oversight

1. Get a dashboard view into control status: what's been tested, what hasn't, what's operating effectively and what isn't.
2. Build automated workflows to engage process owners and the first line of defense to help test controls, and identify and remediate issues.
3. Pull data from business applications like SAP, Concur and Salesforce to automate control testing wherever possible.

Centralized Risk & Control Library

1. Build a risk and control library by importing information from Excel, or use built-in SOX COSO and SOX ITGC frameworks.
2. Rationalize low-risk or non-key controls.
3. Harmonize controls that comply with multiple regulations.

Reporting & Certification

1. Generate reports for management, PMO or external auditors—by entity, process, control status, or issues.
2. Demonstrate to your CEO and CFO that cross-functional leaders have reviewed testing results and have subcertified for SOX 302.
3. Get a real-time assurance report card.

About Diligent™

Diligent created the modern governance movement. As the leading governance, risk and compliance (GRC) SaaS company, we serve 1 million users from over 25,000 customers around the globe. Our innovative platform gives leaders a connected view of governance, risk, compliance and ESG across their organization. Our world-changing idea is to empower leaders with the technology, insights and connections they need to drive greater impact and accountability – to lead with purpose.

For more information or to request a demo, contact us today:

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