

# Sarbanes-Oxley Compliance



Remove the Uncertainty

- ✓ Specify the internal business environment
- ✓ Define and document organizational structure, business functions, job duties and work responsibilities
- ✓ Design and configure control processes
- ✓ Document business process maps, policies and procedures
- ✓ Manage and control business processes and business controls
- ✓ Identify, validate and monitor compliance requirements
- ✓ Ensure compliance processes, practices and rules are followed

## The Challenge

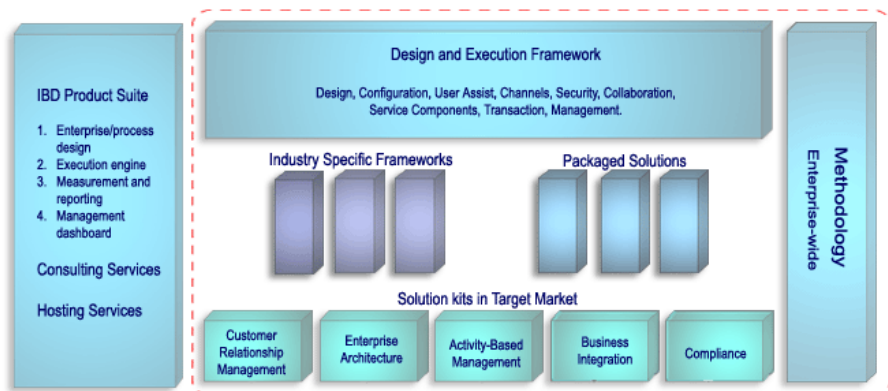
Except in the simplest cases, Sarbanes-Oxley compliance can be a daunting task given the size and scope of such an effort. The Sarbanes-Oxley Act emphasizes accountability through management and control where people must clearly and transparently take responsibility for their actions. Given this requirement the challenges faced by CEOs and CFOs are:

- How does one manage accountability (decision-making processes) through multiple business units?
- How does one address questions such as who did (or was supposed to do) what, when, where, how, why, for whom, and at what cost?
- How does one deal with issues and resolve disputes when things do not go as planned?
- How do you deliver accountability and, therefore, ensure that the right people are performing their work responsibilities, using the right tools, at the right time, in full compliance with the policies and procedures of the business?
- How does a company overcome business and technology fragmentation problems?
- How to break down the barrier to the flow of information and management accountability

**The Performance Group (TPG)**, an experienced provider of Performance Management, Six Sigma process consulting and state-of-the-art Optimization and Information Analysis Business Intelligence solutions has partnered with **Designing Business, Inc. (DBI)** to deliver a comprehensive BI solution that addresses Sarbanes-Oxley management and control requirements.

The DBI solution provides a flexible business design framework and advanced execution environment that facilitates the documentation, management, and monitoring of internal controls necessary to ensure SOX compliance. Core to the solution is an Integrated Business Design framework that automates the design, implementation, and an ongoing monitoring of systems of internal control processes. The DBI approach consists of defining the control environment of the business, setting objectives, identifying events and related risks, control activities, and ongoing monitoring. These activities touch many facets of the business environment including strategies, policies, plans, procedures, processes, systems, projects, and initiatives.

## Integrated Business Design



## Integrating Compliance Requirements

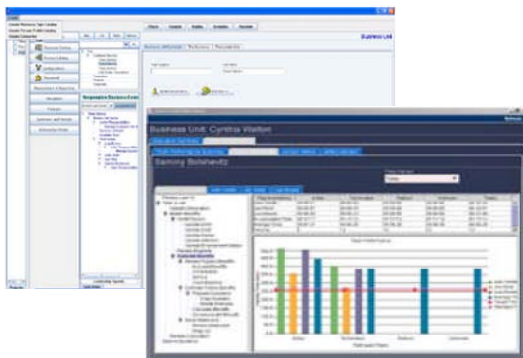
Using DBI's SOX business intelligence solution, users can assemble and interconnect governance, enterprise risk management, internal control components and other objects as needed into a design representation of the enterprise. The solution framework captures the work that is being done at all levels of management, across business units and functional boundaries; why the work is done, when it is being done, by whom it is done (i.e., which performer in which business area), etc. Aspects of governance, risk management, internal controls, and IT infrastructure built into the model include;

- Governance – goals and measures, mission, vision, strategies, and hierarchy of accountability
- Business Process – policies and procedures, business terms, work activities, and business rules
- Risk Management – events and impact, threats and opportunities, and response and control activities
- Business Operations – people doing the work, their skills, their work responsibilities
- IT Environment – software components, applications, systems, databases, and the enabling execution platforms and computers

### Key Features and Benefits

- Provides reusable business models that dramatically simplify the capture of structural and behavioral aspects of an enterprise
- Links performance targets to risk exposure enabling managers the ability to balance aggressive performance targets with downside risks
- Monitors business performance and risk exposure, and senses potential future events that can cause downside risk
- Provides early warning of potential risk-driven business strategy
- A scalable approach that allows organizations to configure a solution with a narrow vertical focus to full enterprise integration
- Built in accountability – who is doing what, when, why, and for whom

***The DBI product suite enables the goals of Sarbanes-Oxley to be accomplished through a structured and dynamic process and software solution that helps assure company transactions are properly authorized, recorded, and reported and assets are safeguarded from unauthorized use.***



## About The Performance Group



At TPG we work in close partnership with management teams to assess, define and implement Performance Management best practices and Basel II Operational Risk, AML/fraud detection and Price Optimization business intelligence solutions that will ensure business goals and objectives are achieved. Leveraging an experienced team of consultants and state-of-the-art Business Intelligence solutions, TPG and its partners are able to help companies meet their regulatory requirements, and monitor and drive business performance.

Whether considering new or upgrading existing AML/fraud detection implementations, TPG can provide a team of experts who are experienced implementing and maintaining Actimize, Mantas, or Searchspace products. In addition, we offer products and applications that are designed to manage alerts generated by data mining, transaction monitoring, and data surveillance systems.

And, utilizing the Earnix Price Optimization BI solution, Earnix Optimizer™ (EO), we assist banks improve net interest margins by 10-30 basis points and insurance companies operating profits by 2%-5% of written premiums.

The products and services the TPG Team provides includes:

- Performance Management Consulting Services
- Six Sigma Process Improvement, Program Management & Training
- KPI/KRI Metrics Development
- AML/Fraud Detection Consulting Services
- Banking and Insurance Price Optimization BI Solutions
- Basel II Operational Risk Consulting and Management Solution
- Data Mining, Transaction Monitoring, and Data Surveillance Products
- Executive Dashboard Analytics and Reporting