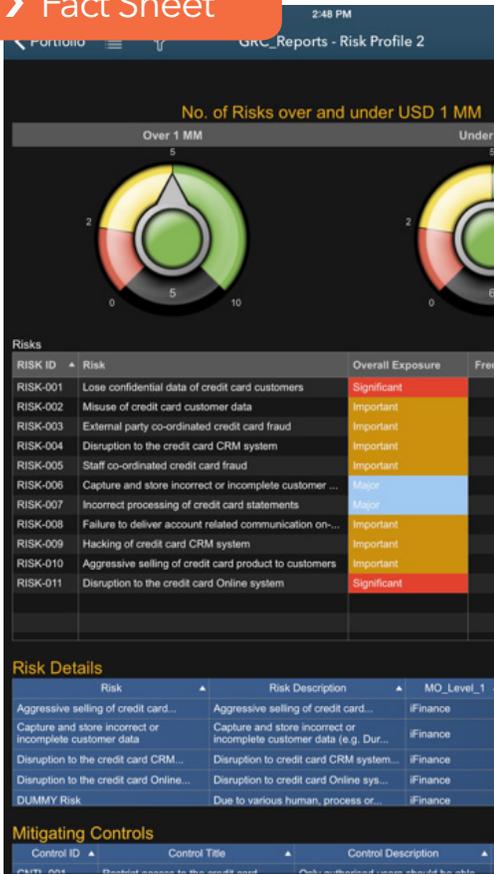


Fact Sheet



What does SAS® Enterprise GRC do?

SAS Enterprise GRC for Government strengthens governance and builds trust throughout an organization by enabling early and systematic management of risk exposures and associated issues, and - Where indicated - enables action plan development and tracking through resolution. The solution also helps you detect and prevent violations of applicable laws, regulations and policies, as well as ensure that your strategy aligns with your risk appetite / tolerance, key stakeholder expectations and external obligations.

Why is SAS® Enterprise GRC for Government important?

SAS Enterprise GRC for Government enables you to build a reliable view of your risk exposures and compliance obligations - a process that is error-prone and time-consuming when Governance risk and Compliance components are not integrated. The solution visually portrays risks, links them to impacts and all related dimensions, and captures and shows relationship strengths. SAS Enterprise GRC for Government also facilitates easy collaboration among GRC groups, while reducing the cost of risk management and compliance by eliminating duplication of both data and processes through automation.

For whom is SAS® Enterprise GRC for Government designed?

SAS Enterprise GRC for Government is designed for senior management, risk managers; compliance officers; internal and external auditors; lawyers; strategy officers; business users who provide inputs for GRC (e.g., risk assessments) are required to execute a GRC process (e.g. SHEQ or PFMA compliance assessments)

SAS® Enterprise GRC for Government

One environment for the entire analytical life cycle

"Enabling Government Transparency and Accountability through Combined Assurance"

A lack of shared information among departments or management is at the root of many scandals and operational disasters. Regardless of industry, organizations that do not sufficiently coordinate and monitor business processes will fail to uncover noncompliance with regulations and policies, such as PFMA, MFMA, SHEQ and others.

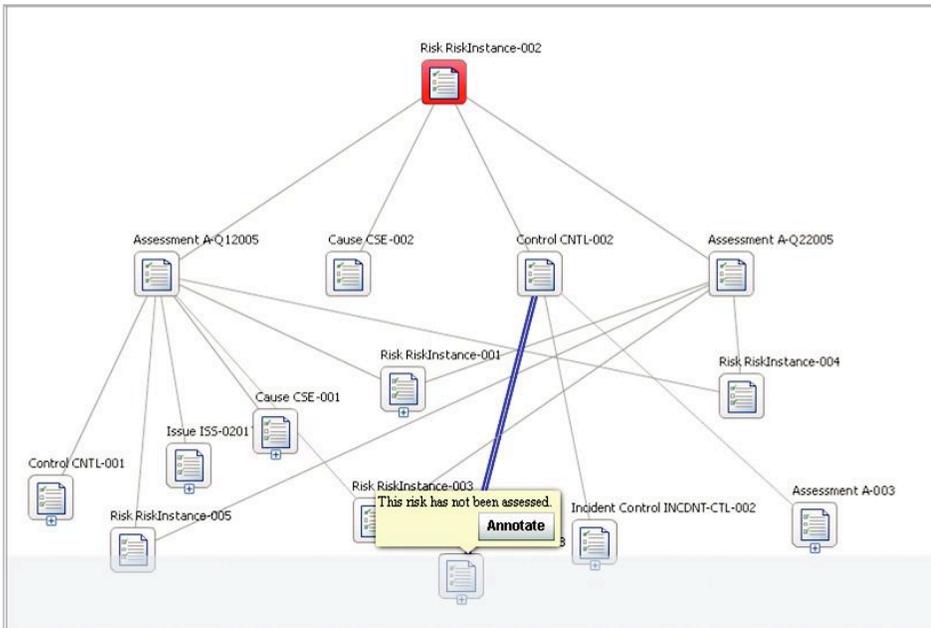
This fact has played out time and again in headlines that describe corruption, fraud, theft, computer network security failures, data breaches, and the list goes on. The fallout can be costly - from financial losses to negative publicity, downgraded corporate debt ratings, higher insurance costs, voter trust, etc.

The purpose of governance, risk and compliance (GRC) programs is to promote compliance with policies and applicable laws and ensure good governance over public funds. To do this effectively, a GRC solution must be able to identify and quantify combined risk exposures. Quantification of combined risk exposures ensures that exposures that may seem far less significant when viewed in isolation by disjointed departments are identifiable and quantifiable when combined.

SAS Enterprise GRC for Government provides an integrated platform for standardizing and managing strategic and operational risks, as well as consolidating information from financial systems such as BAS (Basic Accounting System) to enable reporting against certain key risks and metrics that are available via an enterprise wide view of risk and related compliance monitoring. The solution links your GRC functions to strengthen governance and foster trust by aligning GRC principles with government or department objectives and strategy execution. It further allows for the integrated view of compliance with reference to regulatory laws, policies and guidelines.

Benefits

- **Unify all GRC elements in a single platform.** Repositories for risks, controls, laws and regulations, obligations, policies, assessments, incident data, business continuity management, SHEQ and audits are combined into a single framework that facilitates collaboration among risk managers, compliance officers, auditors and business owners. The solution also enables the implementation of best practices defined in frameworks such as PFMA, MFMA, SHEQ, SHE, COSO, COBIT, and ISO 31000.
- **Make better decisions.** Gain a comprehensive, 360-degree view of your potential compliance and risk exposures and obligations. Easily view and explore connections among GRC elements. Integrate KPIs and KRIs so you can monitor strategy execution and business objectives proactively.
- **Get fewer unpleasant surprises.**
- **Combine your GRC framework with your strategy definition and execution processes,** and get early warning of emerging risks, associated issues and action plans for handling them via a comprehensive alert engine.
- **Improve GRC process efficiency and effectiveness.** Automate common GRC processes to enable continuous monitoring of controls, KRIs and risk exposures. Reduce the chance of duplicate processes (e.g., risk assessments) by enabling collaboration among risk managers, compliance officers and auditors.
- **Reduce risk-related losses.** Capture and monitor all risk-related losses in a single repository with fully customizable workflows, and learn from past losses by linking them with failed controls, causes, assessments and KRIs.



360-Degree View of GRC Environment

Overview

SAS Enterprise GRC for Government enables you to effectively integrate department strategy execution with your assurance, regulatory compliance and risk management practices. As a result, you can achieve organizational goals while managing risk and ensuring that operations stay within the bounds of the laws such as the PFMA and Government Treasury regulations and policies. Workflow-enabled alerts based on risk scores and KRIs indicate movement toward or away from a given target.

The solution interlinks all critical GRC elements - risks, controls, policies, laws and regulations, obligations, KRIs, events, issues, action plans, assessments, scenarios and audit missions - which enables you to easily visualize how any one GRC element affects others. By providing a 360-degree of your GRC environment, SAS Enterprise GRC for Government helps break down traditional, siloed thinking across various GRC elements and promotes collaboration across multiple GRC teams.

Risk Management

SAS Enterprise GRC provides an integrated platform for standardizing and managing strategic and operational risk, as well as compliance and assurance to develop an enterprise view of your risk profile throughout all common risk management stages - including risk identification, assessment, response and monitoring. It will provide a view of how well your department is doing while providing information on the compliance to regulatory guidelines.

A rich library of visualization capabilities (e.g., risk heat maps, dashboards, interactive graphs) enables easy identification and monitoring of critical risks. A customizable alert engine automates the monitoring of trends in risk exposure and provides early-warning alerts that enable proactive selection of the most appropriate risk response.

Performance Management

SAS Enterprise GRC empowers you to define optimal departmental strategies by combining your GRC processes with your strategy definition and execution processes using the integration functionality provided by SAS Enterprise GRC for Government and SAS Strategy Management. SAS Enterprise GRC also integrates with other performance management solutions, which gives you increased flexibility and protects your investment.

Policy Management

SAS Enterprise GRC unites multiple processes and systems within a single

platform, which helps you manage compliance costs and prepare for new regulations. An end-to-end, configurable workflow lets compliance officers create standardized policies that document the details, resources, respondents and content for each policy.

The workflow supports the entire life cycle of a policy - from evaluating the need for a new policy through to creating, communicating, implementing, monitoring, updating and retiring the policy. Compliance officers can also associate policies with GRC objects, such as processes, regulatory obligations and objectives.

Incident Management

SAS Enterprise GRC for Government captures and continuously monitors GRC information.

- e.g., control performance, KRIs, KPIs, etc.
- in operational systems across the organization. With the solution, you can:

- Capture and monitor all GRC-related incidents, including details such as events and their causes, controls that failed, consequences, insurance and noninsurance recoveries, remediation actions, etc.
- Monitor issues and impacts, gauge their severity and link them to risks.
- Sort out root causes - including multi-way combined effects - and distinguish between mistakes, control failures and willful noncompliance.

In addition, the solution lets you define and monitor one or more action plans for each identified issue, which helps you ensure that issues get addressed.

Audit Management

Internal auditors can use an end-to-end, configurable workflow to prioritize and create audit missions that document the details, scope, resources and schedule required for each audit. Auditors can document control testing results and send

Key Features

- 360-Degree View of GRC Environment
- A common repository interlinks all critical GRC elements (e.g., risks, controls, policies, laws and regulations, KRIs, loss events, issues, action plans, assessments, scenarios and audit missions).

Customizable Interface

- Customizable solution home page, including ability to surface user-specified task lists, shortcuts, dashboards, URLs and stored process-driven content.
- Drop-down, customizable menus.
- Ability to save views, including table actions.
- Table filtering for fields with enumerated values.

Risk Management

- Supports common risk management stages: identification, assessment, response, monitoring.
- Supports best practices adopted from common frameworks (e.g., ISO 31000, AS/NZS ISO31000, COSO ERM and ISO 27001).
- Automated, customizable alert engine for monitoring trends in risk exposure.
- Visualization capabilities (e.g., risk heat maps, dashboards, interactive graphs) that enable easy identification and monitoring of critical risks.
- Ability to create impact objects for risks and link impacts to risks.
- Approval workflow for risks, controls and impacts.
- Corporate Performance Management
- Integrates GRC processes with strategy definition and execution processes using integration functionality of SAS Enterprise GRC and SAS Strategy Management
- Supports integration with other corporate performance management solutions.

Policy Management

- Supports all policy lifecycle stages, including: Evaluating the need for a new policy.
- Creation of a new policy.
- Mapping policies to laws and regulations, risks and governance objectives.
- Approval for new policies or updates to existing policies.
- Attestation for new policies or updates to existing policies. Managing the communication process for each policy.
- Documenting, managing and monitoring policy implementation via processes and controls.
- Regular assessment of policies.
- Capturing and monitoring policy violations.
- Updates to existing policies.
- Retiring existing policies.

Incident Management

- Captures risk- and compliance-related incidents (e.g., event; event causes; controls that failed; event effect or consequences; insurance and noninsurance recoveries; remediation actions).
- Includes customizable incident management workflows.
- Ability to save incidents during creation.

those results through a configurable approval workflow.

In addition, auditors can view planned audits over a 12-month cycle and create action plans based on findings. The solution supports all key stages required by auditors to provide reliable assurance to stakeholders, including:

- Prioritization of audit resources by identifying departments with critical risk exposures or control weaknesses.
- Definition and management of audit plans and missions.
- Manual control testing.
- Automated control testing using computer-aided audit tools (CAATs).
- Audit point definition and issues.
- Approval and monitoring of department remediation actions.
- Proactive identification of deficient processes, emerging risks and changes to risk exposures across all departments through the definition and monitoring of alerts.
- Risk based auditing.

Benchmarking

SAS Enterprise GRC allows you to benchmark your strategy processes against a library of risk data that enhances your department's view of risk. The extensive

library comprises operational risk loss data from various public sources – both financial and nonfinancial– and is updated monthly. The library can be used to identify new risks, benchmark losses with peers, develop scenarios and measure your performance against budgetary and regulatory requirements.

Key Features (continued)

Audit Management

Supports all key stages required by auditors to provide reliable assurance to stakeholders:

- Prioritization of audit resources.
- Defining and managing audit plans and missions.
- Performing manual control testing as part of audit mission.
- Using CAATs for automating control testing.
- Defining audit points and issues as a result of the audit mission.
- Approval and monitoring of remediation actions undertaken by business units.
- Definition and monitoring of alerts to proactively identify emerging risks and changes to risk exposures across business units.

Reporting

- Out-of-the-box information maps for easier report creation.
- SAS Visual Analytics replaces ERS and BI Dashboards.

Issues and Action Plans

- Capture and monitoring of issues related to GRC processes.
- Definition and monitoring of one or more action plans for identified issues.
- Ability to create action plans without an issue.

GRC Assurance

- Continuous monitoring of GRC information.
- Continuous monitoring of control performance, KRIs, KPIs and GRC information in other specialized applications.
- Definition of alerts for proactive identification of emerging risks and deficient GRC processes.

External Loss Data

- Extensive library of operational risk loss data consolidated from various public sources.
 - Contains data for both financial and nonfinancial industries.
 - Is updated monthly.

To learn more about SAS Enterprise GRC system requirements, download white papers, view screenshots and see other related material, please visit, sas.com/za/enterprisegrc.