

# Building an enterprise strategy for sustainable compliance

Reducing time, cost, and risk from  
your compliance efforts.



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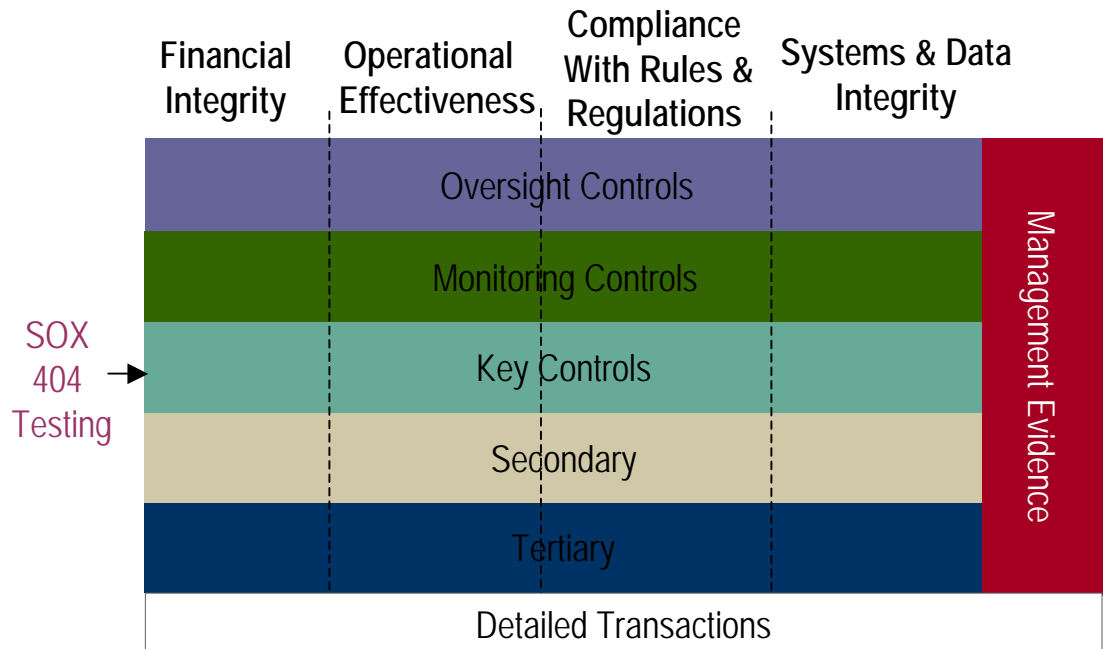
[sales@e-100group.com](mailto:sales@e-100group.com)

## The Transition to Year Two and Beyond

- ▶▶ Utilize all of your manual work from prior year
- ▶▶ Automate conversion of documents and information to SOA Director system
- ▶▶ Collaborative establishment of processes and controls
- ▶▶ Training of your participants

# 2005 Outlook: Recurring Quarterly Effort

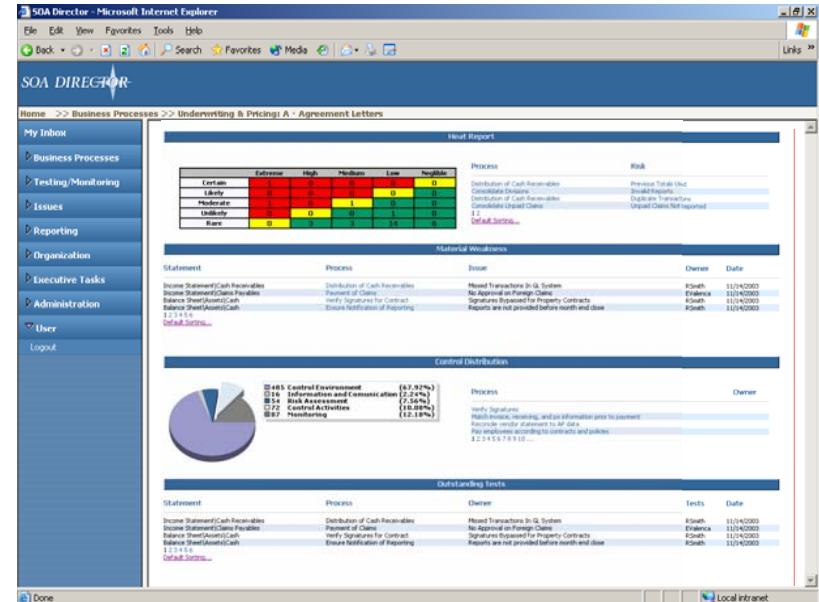
- ▶▶ Testing and Remediation
  - Identify & Update Control Changes
  - Evaluate Controls Design
  - Provide Evidence to be Validated
  - Certify Operating Effectiveness of Controls



# SOA Director™ – 404 Benefits

Single web-based platform across the enterprise with:

- Automated upload of existing control documentation
- Fully leverages multiple Enterprise Content Management (ECM) architectures such as Documentum and Stellent
- Roles and responsibility based structure
- Extensive tracking and reporting capability

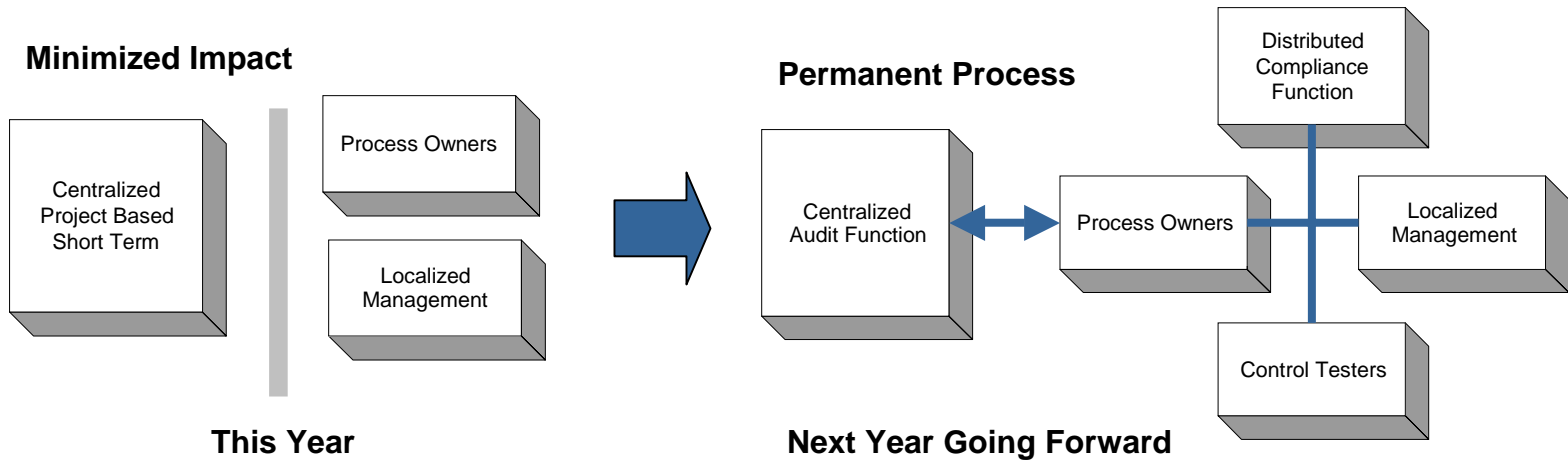




# Product Overview

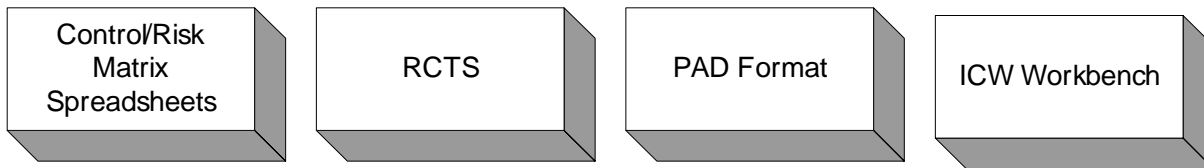
# SOA Director™ Methodology

- ▶ Flexible Deployment – Short term and long term configurations

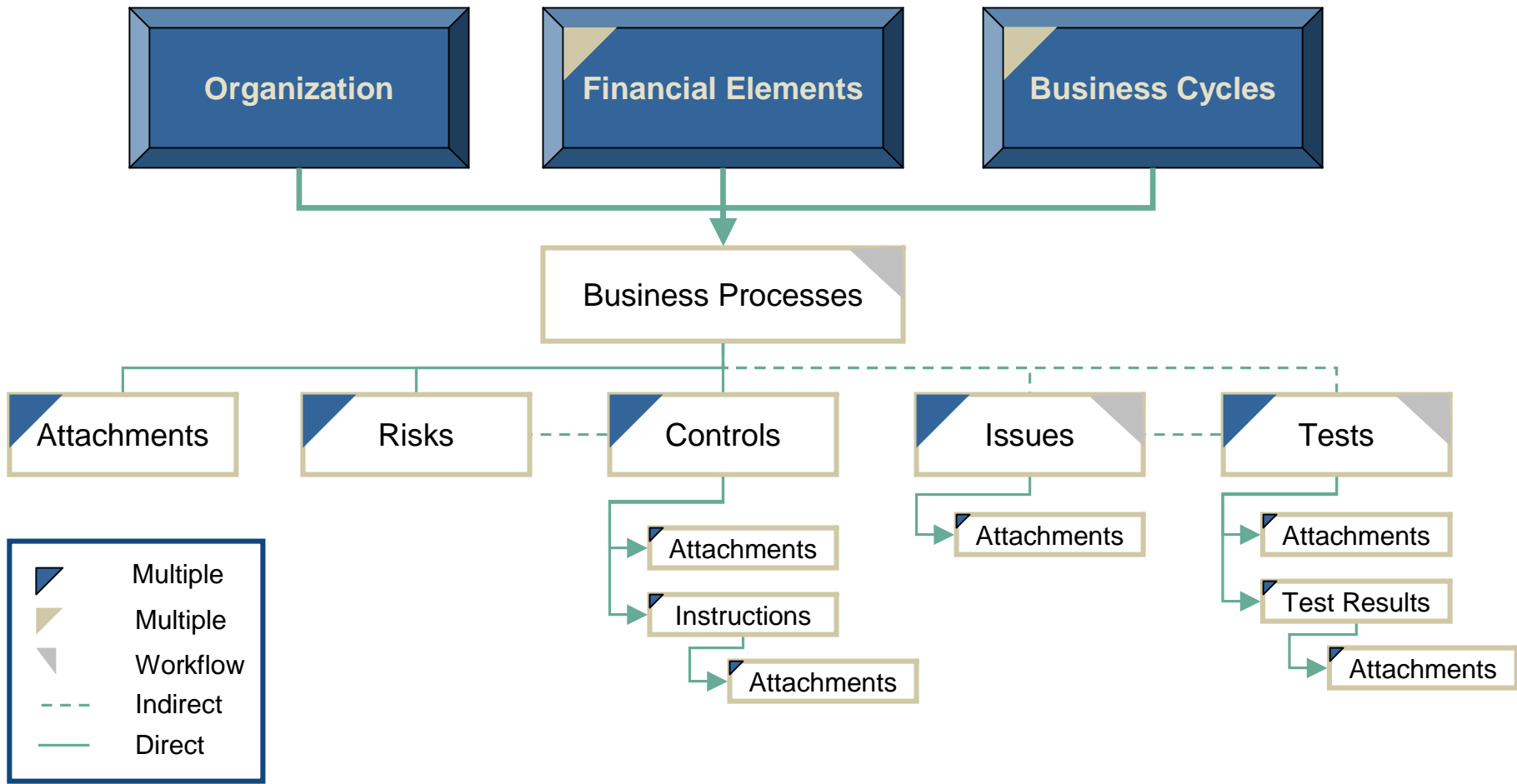


- ▶ Rapid Migration – Utilize a pre-built utility for importing existing information

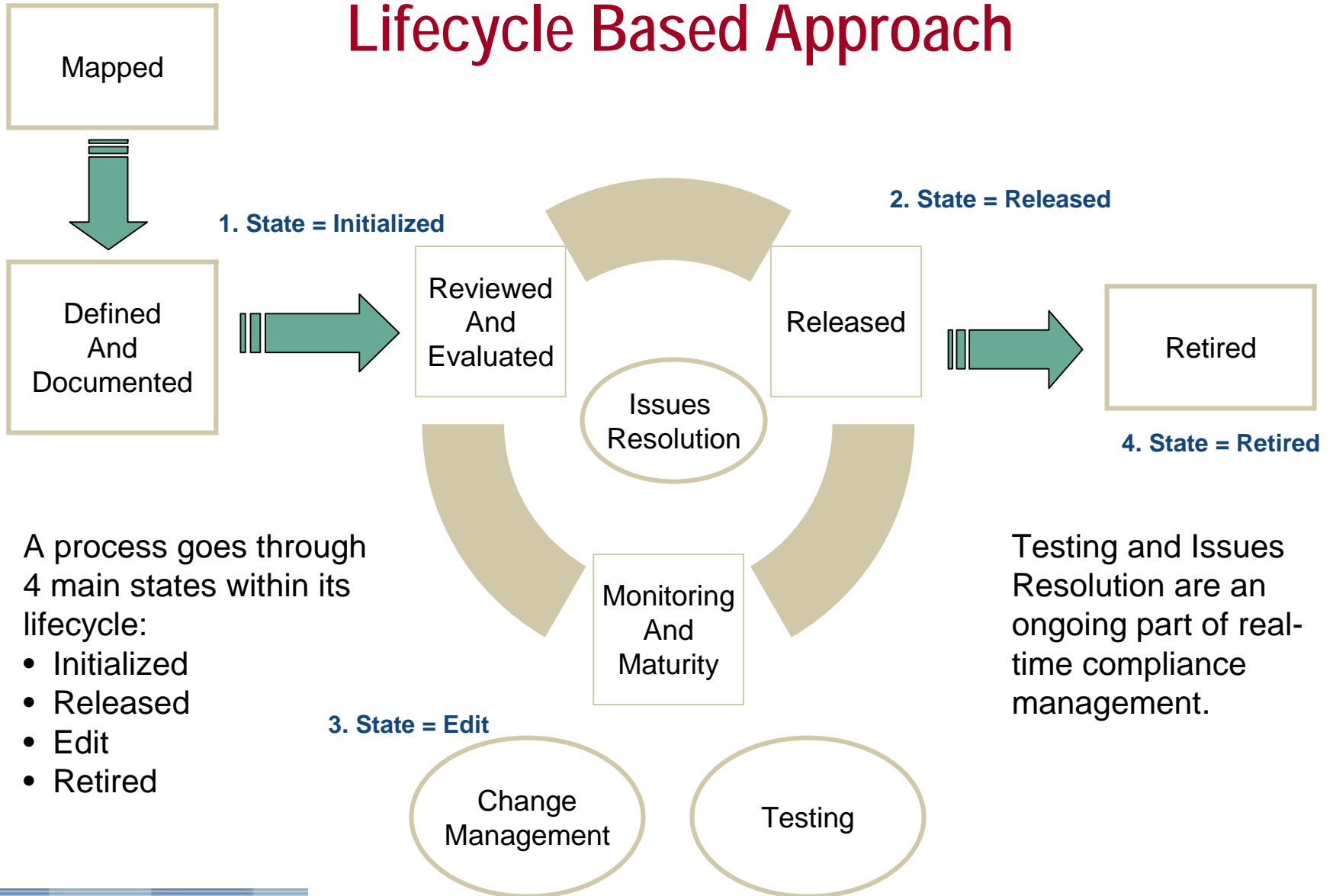
**Any Format**



# Business Process Focus



# Lifecycle Based Approach



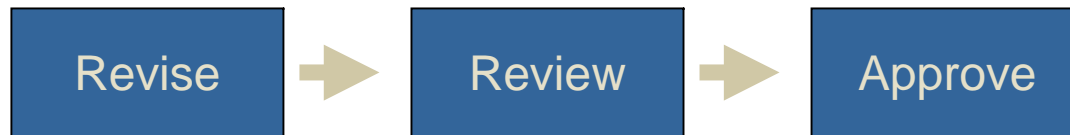
A process goes through 4 main states within its lifecycle:

- Initialized
- Released
- Edit
- Retired

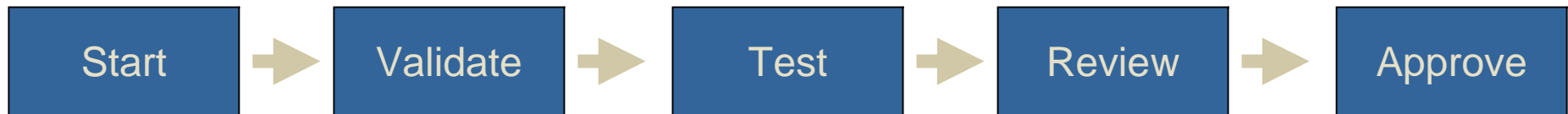
Testing and Issues Resolution are an ongoing part of real-time compliance management.

## Roles and Ownership

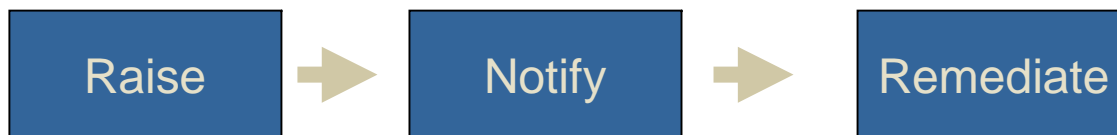
- ▶▶ **Process Documentation** – Maintain narratives, flowcharts and identified owners, risks, and controls over time.



- ▶▶ **Process Testing** – Utilize a pre-built utility for importing existing information



- ▶▶ **Issue Management** – Utilize a pre-built utility for importing existing information



# Data Integration and Import

*“Our migration tool supports all major formats, including Spreadsheets, first generation toolsets or any data source, specific to the needs of the client”*

## ▶▶ Export of major Audit and Risk Management Templates

- Process Narratives
- Key Risks & Controls
- Test Instructions
- Existing Templates

## SOA Director™ Key Benefits

- ▶▶ **Audit Trail Access** – Tracks and manages changes on documentation over time, offering complete point in time audit trail access
- ▶▶ **Enterprise Ready** – Utilizes a leading enterprise content document management system as its repository and integrates into existing environment using a role based user interface
- ▶▶ **Real-Time Compliance** – Allows the business process owners and the compliance personnel access to the same repository in a user-friendly, easy to use format with change notification
- ▶▶ **Robust Reporting** – Over 60 reports out of the box and includes a detailed COSO Report and Executive Dashboard with drill down capability
- ▶▶ **Automated Workflows** – Email notification for automated work assignment and escalation capability for raised awareness of critical issues

## Why e-Onehundred

- ▶▶ 8 years of underlying Compliance and Technology experience
- ▶▶ Award winning “second generation” SOX application
  - Cross-Compliance Capability
  - Built on world class Content Management
  - Expandable Compliance Framework
- ▶▶ World class professional services team
- ▶▶ Proven partnerships
- ▶▶ 100% customer satisfaction

