

Governance Risk & Compliance Technology Services

FTI CONSULTING™

EXPERTS WITH IMPACT™



Governance Risk & Compliance (“GRC”) platforms can deliver excellent value to an organization’s compliance program. However, without regular program updates and optimization, the systems can fall short over time, putting compliance and legal teams at risk of not meeting regulatory requirements. Several factors contribute to this: limited internal resources, broken or missing connections between compliance IT and GRC platforms, data quality and consistency issues, and underdeveloped use cases.

A thriving GRC platform requires proper design, compliance and framework mapping implementation, and overall technology enablement. As regulations change, compliance programs need to be continuously updated.

FTI Technology's Expertise in Governance, Risk & Compliance

FTI Technology's Risk & Compliance experts are exceptionally well-equipped to master complex regulatory and compliance matters on behalf of organization senior management and through outside counsel. Our objective is to equip legal and compliance advisors with the practical expertise necessary to confidently advise their senior management and ensure they have a comprehensive understanding of their obligations and risks. Additionally, our experts are adept at creating comprehensive and cost-effective compliance programs as well as enhancing existing ones in a defensible manner.

Risk Assessments ▶ **Program Assessments** ▶ **Compliance Roadmaps** ▶ **Effectiveness Testing** ▶ **Program Improvement**

Compliance Issues

The GRC group consists of an international team of compliance, risk, and investigations professionals with significant hands-on experience in leading multidisciplinary engagements spanning compliance issues such as: Anti-Money Laundering, Fraud, IP/Leavers, Antitrust, Ethics & Whistleblowers, Anti-Bribery and Corruption. Our deep experience working with global organizations in modernizing GRC programs enables us to maximize efficiency, improve defensibility, and remove barriers to adoption.

AML/Sanctions

- Risk Assessments
- Transaction Monitoring
- Identity verification
- Know-Your-Customer
- Customer Risk Ratings
- Data validation *(NYDFS Part 504)*
- Reporting integration *(BSA e-filing)*
- Recordkeeping

Fraud

- Fraud, Waste, Abuse (FWA) testing of entities, transactions
- Risk Scoring for anomalies, exceptions
- Transaction Monitoring
- Program health check/diagnostic Vendor / Employee

IP/Leavers

- Workflow for departed employee – eDiscovery capture and targeted analysis
- Laptop data, email, Teams
- Off-channel and mobile communications capture
- Communications monitoring and risk scoring

Antitrust

- 2nd request / SIR for M&A eDiscovery
- Communications risk scoring and tailored metrics development
- On-going data monitoring program setup and case management, as needed
- Mobile capture
- Systems assessment, M365 Consulting

Ethics & Whistleblower

- Whistleblower program setup and functional review
- Systems assessment – workflow, data connectors
- Downstream case management systems
- OneTrust/NAVEX support
- Metrics/KPIs

Anti-Bribery & Corruption

- Data Maturity Assessments
- Communications Monitoring and Transaction Monitoring
- Vendor/Third Party Risk Management
- Recordkeeping, gifts & entertainment

Our GRC Solutions and Services

The FTI Technology Risk and Compliance group supports global organizations with their **Governance, Risk, and Compliance (GRC) Platforms**, by addressing challenges with a software-based approach.

Compliance Advisory

We have specific expertise and qualifications in GRC Platform Optimization that allows us to assist across a broad array of GRC software, drive program development and help companies improve complex areas like IT Risk and Compliance Management, and Third-Party Risk Management (TPRM).

GRC TECHNOLOGY SOLUTIONS:



GRC Platform Optimization



IT Risk and Compliance Management



Third Party Risk Management (TPRM) Technology Enablement

OUR SERVICES:

- Readiness and Maturity Assessments
- Framework Design
- Technology Selection and Integration
- Risk Assessments
- Framework and Controls Mapping
- Program Design
- Vendor Selection and Requirements
- Risk Assessments Automation

GRC Platform Optimization

To maximize the benefits of a GRC platform requires experts to properly design and build the platform. GRC platforms are not plug and play, they require the development of workflows, playbooks and reporting to realize true ROI.

The Challenge

Clients often purchase software but correctly integrating it into their business is a difficult challenge. Often, the software is not fully adapted to specific business needs, and automation features can be under-utilized which could both lower one's risk profile and drive cost savings.

Why FTI

FTI has extensive expertise across many different GRC platforms, in providing both overall operational program advice and technology enablement. We customize each platform to the specific needs of the business.

IT Risk Management and Compliance

The complexity of IT risk management is a challenge for most organizations. Skilled advisors who are experts with the tools, have written IT policies, have compliance experience from roles within Fortune 1000 companies, and can discuss IT from a risk management perspective are needed.

The Challenge

Building reputational trust with customers through data protection compliance and management of IT risk is critical. Information protection lapses have led to regulatory inquiries, costly penalties and ultimately reputation damage.

Post-breach landscapes can reveal further IT risks and compliance shortcomings across NIST CSF, ISO, SOC2, and other IT risk frameworks.

Why FTI

Our experts are practitioners in the field with 20+ years industry experience and have a proven track record in deploying technical and tailored IT risk and compliance solutions across multiple industry sectors.

Third-Party Risk Management (TPRM)

Managing third-party risk is increasingly difficult as organizations integrate vendors, contractors and other third parties into their corporate ecosystem and infrastructure.

The Challenge

CCOs and Procurement Managers need help with TPRM to build programs that go beyond simple diligence or red flags on background checks.

They need experts that can translate high-level requirements into executable project plans and develop custom processes designed specifically for the client's business.

Why FTI

We have expertise in developing and deploying TPRM technology solutions across all industry sectors. Our professionals have worked in TPRM roles within organizations and have utilized tools including OneTrust, LogicGate, MetricStream, Navex and Archer.

CASE STUDY

GRC PLATFORM OPTIMIZATION

SITUATION

A leading Private Equity firm struggling with five disparate GRC systems across portfolio of companies needed a singular view to assess and manage risk.

OUR ROLE

We conducted vendor demos and selection, and implemented a new LogicGate unified system to merge old GRC systems, providing a unified workflow automation and dashboard reporting.

OUR IMPACT

The client was able to quickly identify emerging risks, technology cost savings opportunities, and overall reduction in audit/compliance costs through efficiencies of a centralized GRC system. Goals were achieved 18 months ahead of schedule.

CASE STUDY

IT RISK MANAGEMENT AND COMPLIANCE

SITUATION

A manufacturer launched a strategic initiative to revamp their risk management process across multiple business lines.

OUR ROLE

We optimized their RSA Archer platform, including IT Risk Management, Audit Management, Document Governance, and TPRM.

OUR IMPACT

The Client was able to significantly reduce operational complexities and costs, achieving an estimated overhead cost reduction of $1.2 million, while also lowering audit expenses.

CASE STUDY

TPRM PROGRAM ENHANCEMENT

SITUATION

A biotech firm needed to streamline the supply chain review process and minimize the risk of production downtime.

OUR ROLE

We designed a full-scale TPRM and supply chain risk management program using OneTrust TPRM and IT Risk Management modules.

OUR IMPACT

We provided the client with real-time insights and analytics, enabling them to make informed decisions quickly, while maintaining efficiency and safeguards across their operations. Headcount requirements were reduced by approximately $400k/year.

Our Experts



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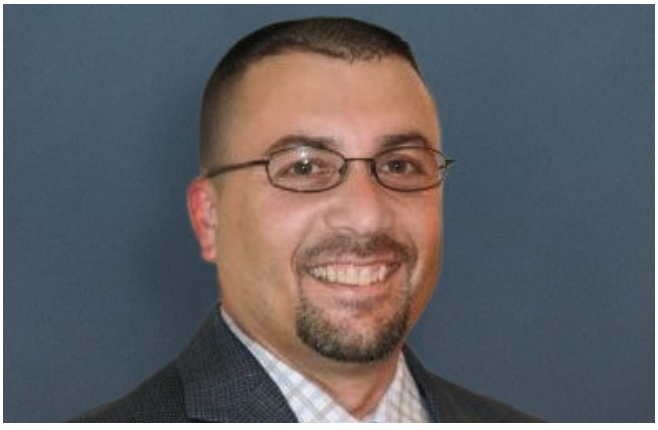


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FTI Consulting is an independent global business advisory firm dedicated to helping organizations manage change, mitigate risk and resolve disputes: financial, legal, operational, political & regulatory, reputational and transactional. FTI Consulting professionals, located in all major business centers throughout the world, work closely with clients to anticipate, illuminate and overcome complex business challenges and opportunities. FTI Technology is a segment within the FTI Consulting (NYSE:FCN) network of affiliated entities worldwide and is operated as a distinct legal entity in certain jurisdictions, including the U.S. and Australia.
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