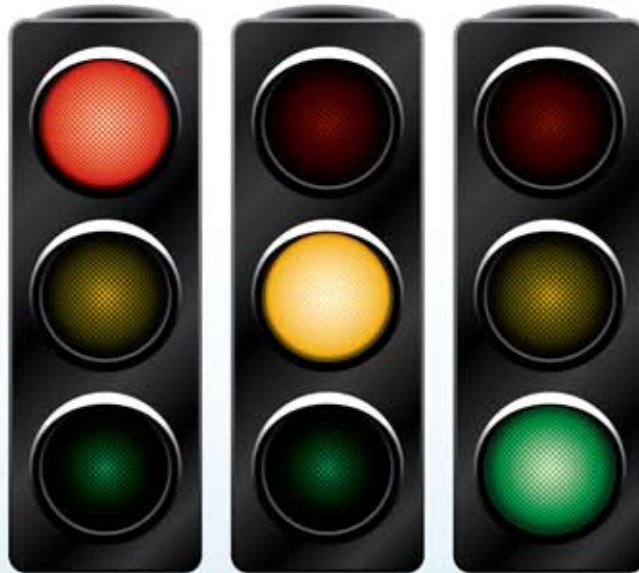**The leading web-based Governance, Risk, Compliance and Fraud Management solution**

"Board members need Red, Amber and Green 'traffic lights' on their desk tops that show what risks are outstanding, plus the utility to drill down and see who is responsible for mitigating them, no matter where they are worldwide, 24/7."

"Those with responsibility for risk mitigation and compliance need a facility to ensure that all supporting stakeholders are informed, enabled and active."

"Markets are becoming less tolerant of risks, so risk managers must assure top management that they are in control."

"At Infogov we understand that companies have varied and complex governance, risk, compliance and fraud challenges. Ranked by Gartner and fully developed, Proteus is the world's most mature single, combined GRC web-based utility. We started the GRC automated convergence revolution. A member of our management team also conceived and authored the world's first fraud management standard, to be published as BSI PAS 8000 during 2008; Proteus software automates this."

Stephen Hall CEO, Infogov

Contents

Thanks to our unrivalled service culture and close relationship with business partners and customers, we have the right GRC solution for you - whatever your size and nature. The Proteus® network is growing - many include your customers and suppliers. In this increasingly challenging world, becoming a Proteus® customer will enable you to manage your business knowing that you have the very best governance, compliance and risk automation tool there is.

What is governance, risk and compliance?

Governance, risk and compliance or 'GRC' is about organizations focusing on attaining compliance with legislation, regulations and standards in a joined-up way. It is also about sustaining compliance thereafter. But this involves identifying, quantifying, preventing or avoiding the identified risks in the market place, business and supply chain. Increasingly, compliance and risks need to be managed together.

GRC encompasses corporate requirements and its flow down into all areas of the business - including marketing, sales, R&D, design, operations, programmes, IT, quality, HR and finance. Today's GRC hot areas are corporate responsibility, business continuity, information systems management, fraud, SOX and all other current standards and compliance challenges.

GRC solutions are enterprise software tools that enable companies to comply with statutory, industry and established 'good practice' for risk management and stakeholder protection.

Examples for such requirements are regulations like the Sarbanes-Oxley Act, CobiT IT Governance, Information Security Management, and obligations for health, safety and environmental due diligence.

The uptake of GRC solutions is now accelerating because failure to meet legal and standards obligations can lead to severe penalties and civil liability, such as corporate manslaughter. Furthermore, the increasing regulatory burden is becoming impossible to manage as multiple discrete 'silo' activities. Therefore, governance, compliance and risk management is required within one single utility. Proteus is that utility. It fully supports and enables joined up e-Government and e-Business from a GRC perspective.

Initial interest in GRC was driven by SOX, with a heavy focus on IT resources. But GRC software requirements have changed and now are seen as a means to achieve enterprise-wide compliance and risk management. This is because we need to evolve from managing risk as a transaction or compliance activity to adding business value. This is accomplished by improving operational decision-making and strategic planning through risk avoidance and compliance assurance.

Beware the limitations of IT-GRC solutions that only address the technology issues and fail to deliver for the true business risk and compliance landscape. Proteus Enterprise is the leading single suite technology for the totality of an enterprise. It provides a secure shared risk and compliance environment, web based and therefore accessible worldwide for any site.

For a lesson in risk reduction you need only talk to your customer services teams to determine what issues are likely to turn off your customers.

But what then? Are you sure those in your enterprise have the wherewithall to effect product and service change sufficiently structured to ensure measurable gains, risks minimised?

Product recalls and down-graded service will lose you business. Without effective enterprise wide risk mitigation – with all relevant stakeholders involved – you may not have the very best pointers to justify change and thereby enable excellence.

Proteus® Enterprise, ranked by Gartner

Recently ranked by Gartner, Infogov are proud that Proteus Enterprise already meets – and comfortably supports - the new Gartner~Forrester common definition of Governance, Risk and Compliance (GRC) that includes:

- Controls and policy mapping
- Policy distribution and training attestation
- Control self-assessment and measurement
- GRCM asset repository
- Automated general computer control (GCC) collection
- Remediation and exception management
- Compliance reporting
- Compliance dashboards
- Risk evaluation

Technology for enterprise risk and compliance, integrated with the very latest management information systems and web infrastructures, is available today in Proteus. And all of this across any number of differing business lines.

Proteus supports most popular Standards, e.g. ISO 27001, BS 25999, PCI DSS, Sarbanes-Oxley, CobiT, and automates any on demand.

We have confidence that risks are being analyzed, but we also need confidence that risks are being managed. Proteus® enables compliance based management of risks, enterprise-wide - internationally."   **says Stephen Hall, designer of Proteus®**

Value of Proteus®

- Replaces manual audit
- Subject matter expert focus
- Dynamic results – always current
- Portal for all governance information, links disciplines
- Real time results straight to the audit committee and board
- Actively supports and promotes devolved ownership
- Improved risk and mitigation understanding
- Extends to supply chain

Reduce losses from non-compliance

Businesses are obliged to meet ever-increasing levels of compliance with regulatory standards and responsiveness to the Governance requirements of stakeholders.

Effective systems are required to inform staff, establish compliance against any given standard, aid the introduction of best practices, harness the knowledge within the organization, cut duplication of effort and deliver compliance reports without repeatedly asking the same questions in different ways.

The systems must be easy to use and can be tuned to reflect your own company standards, as well as regulatory requirements, and should integrate with systems that manage and automate the compliance process.

Prevention and minimisation of risks

There is increasing demand to identify, prevent and minimise risks. Therefore, risk management is now at the forefront of sustained business growth and development. Increased need for enhancing business continuity is driving organizations towards unified compliance, risk and crisis management strategies within existing information architectures. They no longer see these functions as separate project-based activities. Instead, they are seen as a composite framework that guides, standardises and strengthens processes and security, and that integrates GRC technology throughout the organization and supply chain.

Return on investment

- Dynamic rationalization of Controls enables 'best risk investment' decisions
- Drives any external or internal standards through your company
- Correlates and cross-references Controls across multiple standards
- Reduces threats from non-compliance, and impresses customers and prospects
- Efficiency and productivity gives credibility and confidence
- More consistent decision-making and risk avoidance
- Evidences compliance, and embeds GRC process and performance
- Highlights weakest links thereby creating opportunity
- Replaces spreadsheets, creates shared risk and compliance community
- Joins up disciplines and functions, enabling collaboration with ease
- Reinforces accountability and responsibility
- Encourages common definitions and terms, and reinforces reporting structures
- Majority electronic, fully evidenced audits generates more for less
- Eliminates waste by minimizing data entry

You face challenges due to continual changes in regulation, standards and risks. It is important that governance, risk and compliance becomes a core process within your business. It is also important that you automate and converge so that all stakeholders – worldwide if necessary - can become involved. For you, transformation rather than change might just be best.

Who should the principal actors of transformation be? All your Directors, your Heads of Operational Risk, Regulation and Compliance, and Chief Operating, Information Security and Finance Officers.

Why not use Proteus® and come together to:

■ Understand why you should automate and converge
■ Transform your company's governance, risk and compliance operations
■ Ready yourselves to convey the benefits of such transformation to your colleagues

Why? Because to grasp the GRC-related competitive challenges ahead you will need one unified architecture.

You should no longer see GRC functions as separate project-based activities, but as a single composite framework that guides, standardises and strengthens processes and security throughout the organization and supply chain, and integrates with your main information management systems.

Proteus is fully developed and designed to enable joined-up e-Government and e-Business.

"Proteus® enables compliance to the Sarbanes-Oxley Act and many other essential standards such as ISO 27002 (Information Security Management), BS 25999 (Business Continuity), and CoBiT (IT Governance) within a fully integrated environment worldwide."
                                          said Stephen Hall, CEO of Infogov.

Dashboard views

- Global risk, compliance or threat status
- View risks by categories, e.g. assets, business impact, continuity or disaster recovery
- Financial impact of risks, control failures or incidents on the business
- Threat exposures and residual risk
- Helps you build an investment using the action plans, work-flow and task management
- Compliance schedules

Capability

- Information security asset register
- Policy management Compliance and non-compliance
- Impact, risk and control
- Integrates incident and improvement management
- Consistency and visibility
- Rapid deployment
- Intuitive browser interface
- Makes governance dynamic and current
- Provides new opportunities for significant governance improvements
- Delivers tangible productivity enhancements
- Offers true Return on Investment

Proteus® provides comprehensive GRC utility, including:

- Electronic audits of governance, risk and compliance
- Remediation and action planning
- Incident management
- Business impact analysis
- Business continuity and asset management
- Risk assessment
- Policy and procedure management
- Reporting of risk and compliance
- Management information graphical 'dashboard' views for all risk and compliance data
- All in one total solution - web based

Proteus® works with any external or internal standard, such as COBIT, 27002, COSO, DPA, NIST, PCI DSS, SOX, SOGP, FFIEC, BSA, HIPAA FEMA 426, C-TPAT, SB 1386, GLBA.

Data can be imported or exported to or from Proteus using XML simply and easily. XML is a self-describing data array that is supported by most databases and tools (even Excel for example can export XML). Using the XML interface, clients can avoid lengthy setup times and populate Proteus quickly with data that already exists in the organization.

Why is Proteus® different?

Proteus has a 4-year lead in the GRC market. We were the first to bring together governance, risk and compliance in one automated technology, web based and designed to integrate with the leading enterprise level management information system solutions.

It is different due to its flexibility. The technology spans fraud, crisis, identity and information management, and enables defence and protection against data, procedural or policy breaches across any type of business line in one web-based tool.

Proteus ensures compliance with any number of regulation and standard including risk management in one solution.

Our unique approach brings together and links controls, compliance, business impact, risk analysis, documentation and incident management. And it provides a powerful business intelligence 'dashboard' and reporting capability allowing real time visibility of risks at Board level via the web, with drill down into any site.

Proteus® is different because:

- It is a single system that includes, online compliance & gap analysis, business impact analysis, risk assessment, business continuity, incident management, asset management, organisation roles, policy repository and action plans.
- Its compliance engine supports any Standard (International, Industry and corporate specific) and is supplied with a choice of comprehensive template questionnaires.
- The system is fully scaleable and can size from a single user up to the largest of multinational organisations.
- The product maintains a full audit trail, every function, every action and decision is recorded for future reference.
- It can perform online audits for both internal departments and external suppliers.

- Fully supports BS ISO/IEC 27001, PCI DSS, ISF SOGP, NIST Combined Code, Sarbanes Oxley, GLB, HIPAA, Data Protection Act, Freedom of Information Act, Caldicott, Basel II, BS25999, Civil Contingency Act etc.
- It uniquely shares information between Business Impact and Risk Assessment that allows you to assess your risks much more accurately.
- Proteus presents real-time Corporate Governance, Compliance and Risk information directly to the Board in a graphical format.
- The workflow engine helps you collect, collate and keep your compliance and corporate governance programme on-track.
- Industry leading reporting using Business Objects (Proteus includes many standard reports but custom reports can be user defined).

GRC technologies exist for a number of reasons, for example:

- Quantifying and qualifying risks
- Controls to evidence compliance such as anti-fraud measures
- Utility for mitigation work
- Secure shared data working
- Linking policies, processes and assets to point out most significant risks

Companies are in danger of procuring the wrong governance, risk and compliance technology because of their apparent simplicity.

Then months later they discover that they cannot actually do all that they need to in order to really get down to minimising their most important risks and attaining compliance.

Proteus is comprehensive and embraces all areas of the business including supply chain - and the customer, if required. Its flexibility enables it to work equally within and across R&D, simulation and modelling, funding acquisition, design, programmes, service introduction, ongoing operations, maintenance and logistics, and of course disposal.

Vitally, most people in the organization will need only partial access to Proteus; this simplification is easily achieved through its compelling administration, customisation and access control functions.

"This is the world's leading utility for ensuring compliance with any regulation or standard, and risk management - all in one enterprise package." **says Stephen Hall, InfoGov's CEO.**

Simplicity Over Capability

Companies are procuring GRC technology because it appears simple to use and then discover it can't do what they want. So getting it right first time remains as ever true, and that takes research and engagement – with a shortlist of suppliers who will take the time and effort to justify why they think theirs is best!

It's staff that make you secure (or insecure)

A recent UK Government survey emphasised that changing employee behavior is key to improving business security. The survey also pointed out that increasing numbers of UK companies allow staff to access data remotely and have no restrictions on internet access. And Proteus provides controls on technology, processes and staff.

Automated GRC and Fraud

Because Proteus integrates with Microsoft, Oracle and SAP etc., you can automate your business continuity, compliance and risk management activities within these frameworks via the web and across any number of differing business lines.

Through-Life Application

Major enterprises should be able to apply GRC technology within and between all key through-life-processes of concept evolution, R&D, simulation and modelling, 'main gate' funding acquisition, design, programme management, introduction to service, operations, maintenance and logistics, and of course disposal. Proteus is the single software solution for the whole of e-Government and e-Business joining up all functions from a GRC perspective, including supply chain.

Corporate Manslaughter and Corporate Homicide

Organizations can be liable for a gross failing involving fatal consequences. Proteus Enterprise helps with this. It provides collation of evidence and statements, full history log - from opening of incident to close and full security to protect sensitive data. It also enables uploading of evidence and documents, cross-referencing of incidents to failed controls and other affected assets. Publishing of incident web portal pages is possible to gather related data across the organization. With data linked to Proteus Enterprise, automated text and e-mail alerts with predefined incident categories are possible. Your activities are therefore managed to help avoid liability for a gross breach of duty of care.

Compliance with ID card requirements

With incoming new ID card schemes, how will those required to sign up for an ID card and submit biometric data to a national database be checked? Companies will need utility for rapid determination of registration and data provision. Proteus provides assurance and protection against identity fraud and other crimes including illegal immigration and terrorism.

Avoid Computer Disc Losses

Computer disc losses continue and even large companies who own up are damaging their reputation in the market place. Its time to get serious and learn about what is out there to tackle these problems. Proteus assures management that staff who are required to comply with policy and procedure do so.

Business Continuity

Business continuity is driving organizations towards unified compliance, risk and crisis management strategies within existing information architectures. They no longer see these functions as separate project-based activities, but as a composite framework that guides, standardises and strengthens processes and security, and integrates technology throughout the organization and supply chain. Proteus automates compliance and risk management.

Confidence in risk management required

With fears that Banks are becoming more wary of lending to each other, latest technology-enabled risk man-agement is now an even bigger opportunity. You need confidence that risks are being analysed. Yes, but you also need confidence that risks are being managed too. Proteus enables compliance based management of risks, enterprise-wide - internationally.

Multi-lateral actions, internationally

Major global players need to be able to capture, analyse and advise on multi-lateral actions essential to securing a stronger global economy and that needs collaborative compliance and risk management. With such an immense information and knowledge challenge, Proteus is the technology that enables this. Major enterprises can take 6 months to perform one complete compliance and risk evaluation cycle. Proteus enables rapid and widespread information capture, unhindered by conventional technological boundaries and complemented by a rich tapestry of governance, risk and compliance utility.

Proteus®- already fully developed

Fed up with prospective suppliers turning your ideas into their product – while you wait? Proteus has evolved over many years into a fully developed governance, risk, compliance and fraud utility that is ready now!   If your answer is 'NO' to the question 'does your governance, risk, compliance and fraud utility enable risk assessment, business impact analysis, business continuity, reporting, document control, compliance gap analysis, incident management, and action plans?' - then you need Proteus.

Let us start with some simple statements to position what your initial objectives might be with regard to your GRC requirements:

- How can you tell the business "this is a critical process with significant Operational and Financial exposures" without understanding if the assets it relies on are running unacceptably high levels of risk?

- Conversely, how can you risk assess an asset without understanding what the asset is used for, and which business processes does it support?

- If one of your servers has been hacked or a laptop has been stolen, what is the operational and financial impact of losing this asset, and have you breached any legislation?

- Are there any assets supporting critical business processes that rely on data not backed up or taken off-site and/or do not have a disaster recovery asset?

Proteus can answer all these questions, and more.

What assets should the fully supported pilot focus on? Perhaps:

- Physical asset - this is a server, firewall or could be a document.
- Information asset - this is a database or could be a document also, anything representing information.
- Group asset - this means "I've no idea where my assets are so I'll either do it later or get someone else to do it". As an example you might create a group asset called 'BILLING ASSETS'. You know they're out there but don't know the specifics.

What business processes should the fully supported pilot focus on? Perhaps:

- Individual core business functions.
- Groups of Processes, e.g. forming core Applications like SAP or Billing, which you may receive as a service, managed through a service level agreement for example.
- A Service, or group of services, e.g. a Service Level Agreement (SLA), typically a document that describes a level of service from a third party.

'IGL' Pilot Site

After a familiarization demonstration via the web, we recommend a fully supported pilot using the 'IGL' demo site.

The IGL Pilot Site contains the

- Assets (Information, Physical and Group)
- Roles
- Business Processes
- Business Continuity Assessments
- Risk Assessments
- Action Plans
- Incidents
- Documents
- Sites

De-risk this procurement with a pilot programme

- To de-risk your GRC procurement, contact Infogov to book a fully supported pilot.
- Gain a low-cost insight into what is possible from Proteus Enterprise.
- No need to enter into expensive add-ons later. 4 years in, Proteus is a complete, mature, quality enterprise software solution.
- Know the value of Proteus before you start.

A fully supported pilot programme involves:

- Setting the pilot objectives, e.g. 'to assess suitability of Proteus as the enterprise-wide risk and compliance platform'
- Non-disclosure agreement
- Transfer of relevant compliance and risk trial information
- Interpretation of your specific GRC vocabulary
- Pilot site set up and provision of logins
- 2-day on-site preparatory workshop (definition of objectives, target compliance controls and risks cross-referencing, intended activities, and planned outcomes against objectives for assessment at end)
- On-site staff training as required, according to the need of administrators (expert users) and end-users.
- Commence pilot (a series of one-hour pre-booked telecons for pilot monitoring, and provision of advice and guidance)
- Pilot outcome review, report writing and next steps review

- Clear and simple
- Proceed with confidence
- Risk and compliance management is now a key priority
- You have confidence that risks are being analysed Now you need confidence that risks are being managed too
- Take a fully supported pilot and assure yourself that you are in control of your exposures and compliances, from anywhere in the world

Notes:

For hardware requirements for Proteus please visit
www.infogov.co.uk, call +44 (0)870 991 7213 or email
sales@infogov.co.uk

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