2025-06

The Integrity Imperative

Ensuring Compliance in an Era of Relentless Change

PRESENTATION

Governance, Risk Management & Compliance Insight

A Tale of Two Futures, is Our Future a . . .

- **Blade Runner Future?**
- **Star Trek Future?**

Navigating Chaos of Business & Compliance

> The more we study the major problems of our time, the more we come to realise that they cannot be understood in isolation. They are systemic problems, which means that they are interconnected and interdependent.
>
> - Physicist Fritjof Capra

Weak Links Are Often the Smaller Links

Well Written Policies & Compliance Documentation Are Not Enough . . .

Compliance Mystery House

- 160 rooms
- 47 fireplaces
- 6 kitchens
- 10,000 windows
- 65 doors to blank walls
- 13 staircases abandoned
- 25 skylights – in floors
- 147 builders/no architects
- Built without a blueprint
- $5.5 million over 38 years

Is Your Compliance Program Driving with the Rearview Mirror?

Compliance Needs to Lose the Image of the Corporate Cop

Compliance, Done Right, is the Bastion of Integrity of the Organization

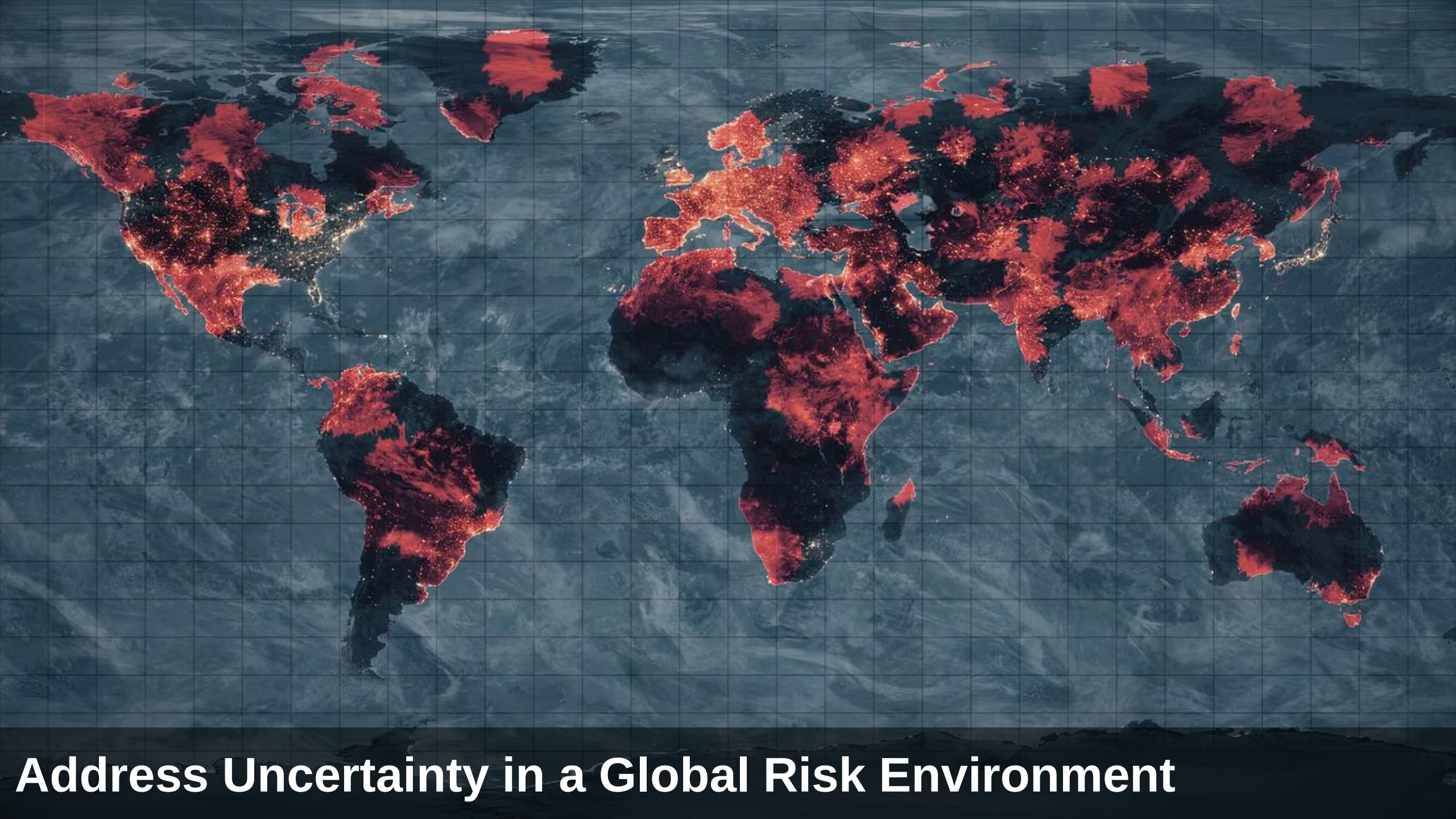
“Doing the right thing is never the wrong thing.”
- Ted Lasso

The Official Definition of GRC . . .

> **GRC** is a capability that enables an organization to:
>
> **G)** reliably achieve ***objectives***
>
> **R)** address ***uncertainty***, and
>
> **C)** act with ***integrity***.

SOURCE: OCEG GRC Capability Model

The Goal is to Reliably Achieve Objectives



Address Uncertainty in a Global Risk Environment

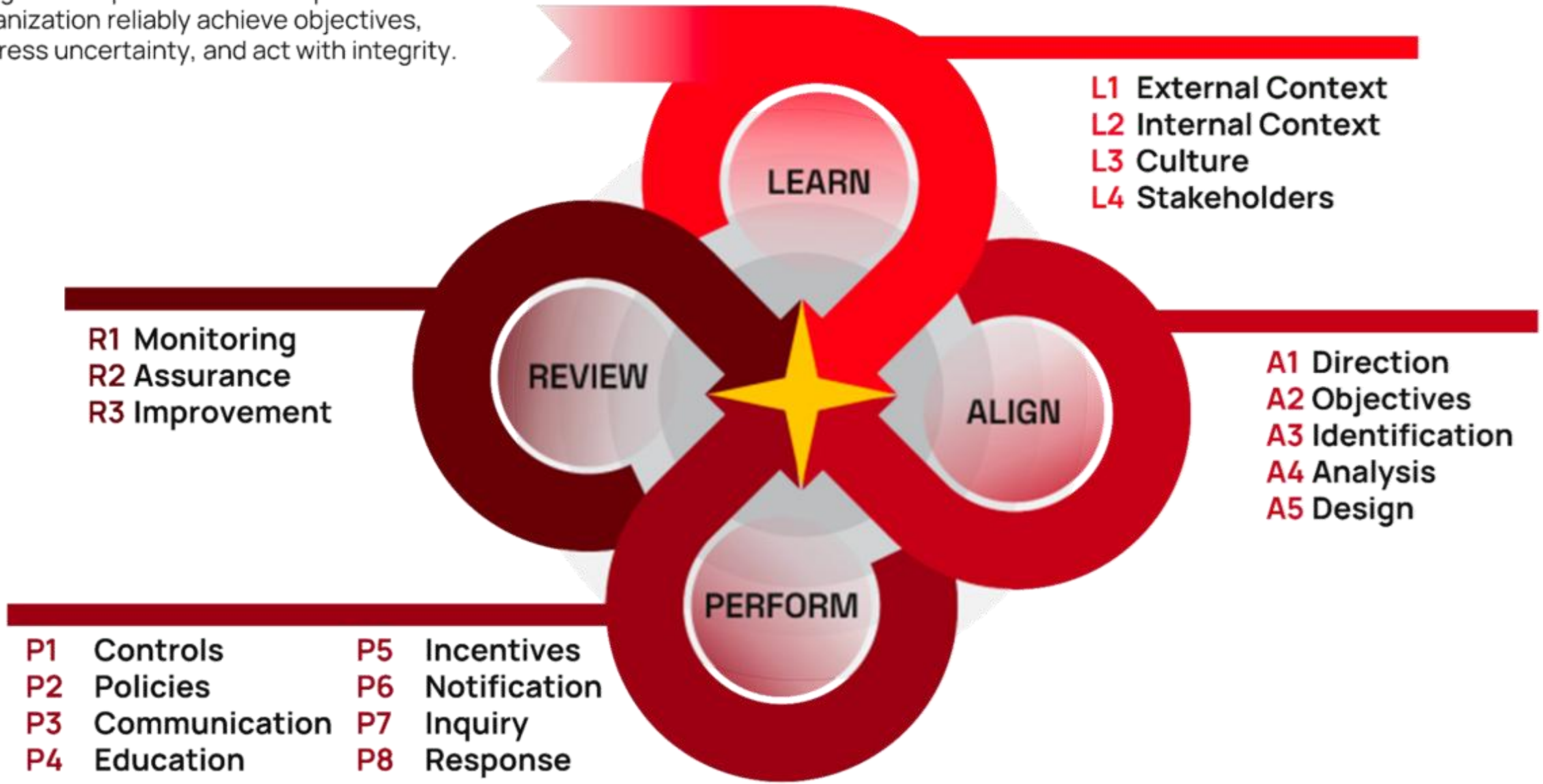
Act with Integrity to the Mandatory and Voluntary Boundaries

Breaking Down Compliance Silos and Federating Oversight

Compliance Management Orchestration

GRC Capability Model 3.5

integrated capabilities that help an organization reliably achieve objectives, address uncertainty, and act with integrity.



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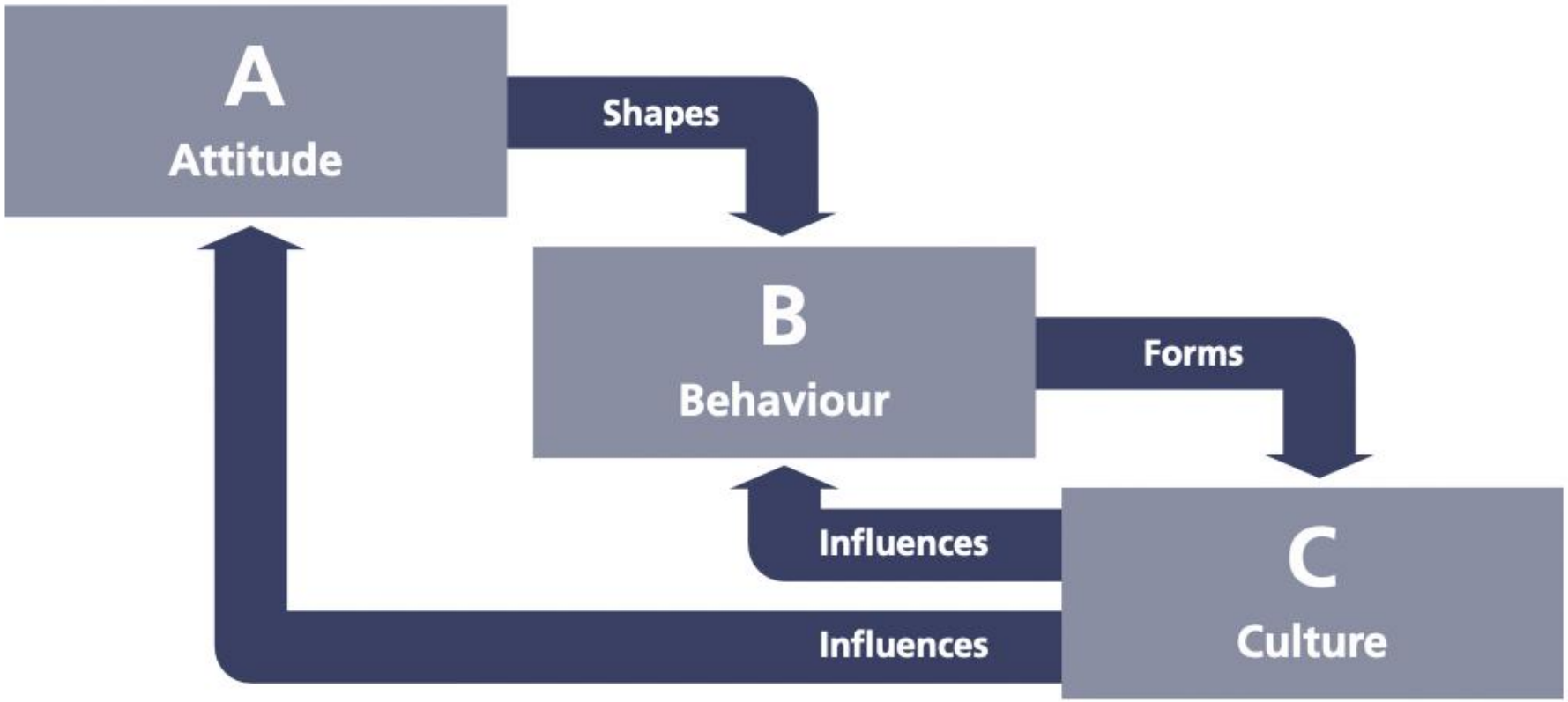
GOAL = Greater Accountability

GOAL = Provide Transparency

GOAL = Stay Within Boundaries

GOAL = No Surprises

Compliance Culture: A-B-C Model



Source: The Institute of Risk Management; ***Risk Culture: Resources for Practitioners***

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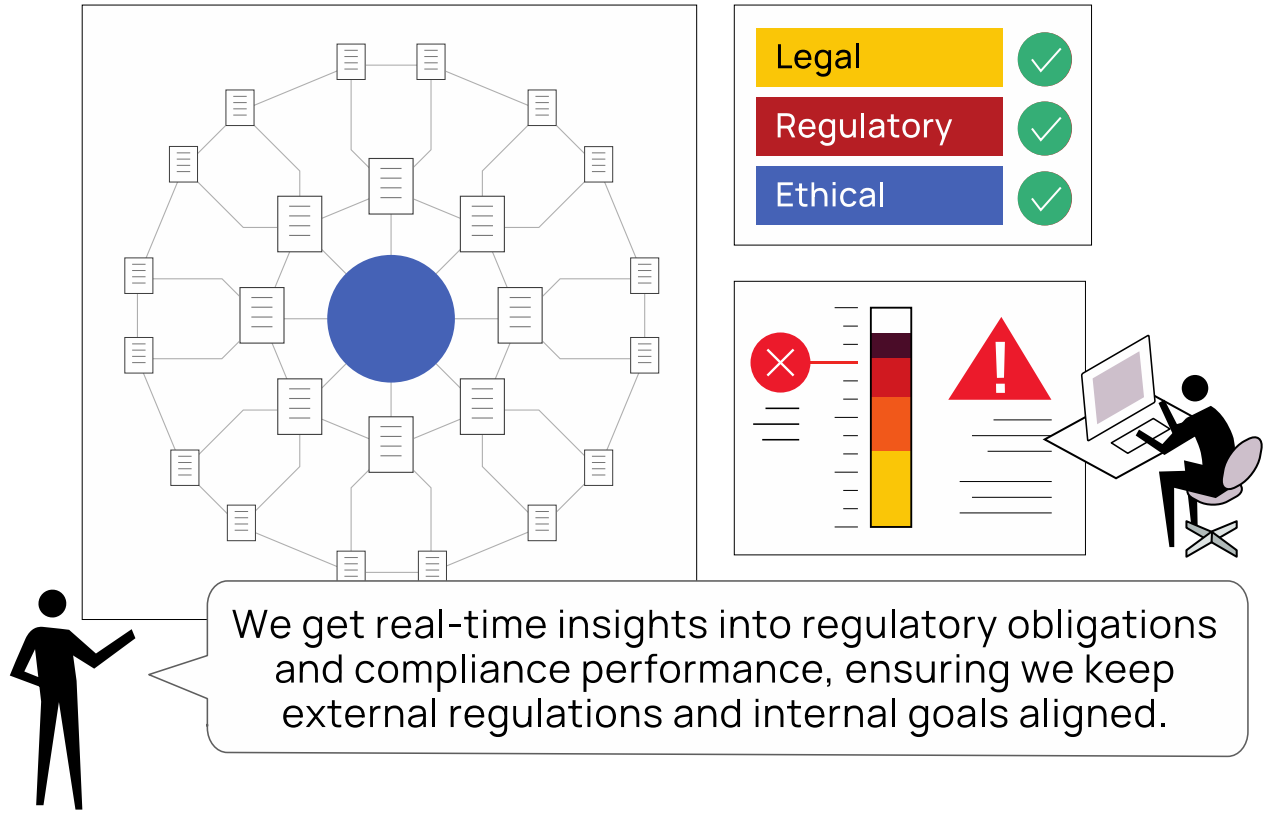
Compliance Engagement: The Human Firewall

1 Compliance Program Management

Compliance Program Management involves creating a unified and integrated framework to ensure that the organization adheres to legal, regulatory, and self-imposed values and ethical requirements. This includes developing strategies, policies, and processes to manage compliance risks effectively across all business units.



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2 Organization Mapping & Understanding

Compliance responsibilities are clearly defined, jurisdictional variations are accounted for, and the organization can respond to regulatory requirements specific to location via mapping. It serves as the foundation for an effective compliance management system by establishing clarity around how regulatory obligations apply to different parts of the organization.

We've done a comprehensive review of the organization's structure, including jurisdictions, legal entities, and the regulatory bodies that govern each part of the business.

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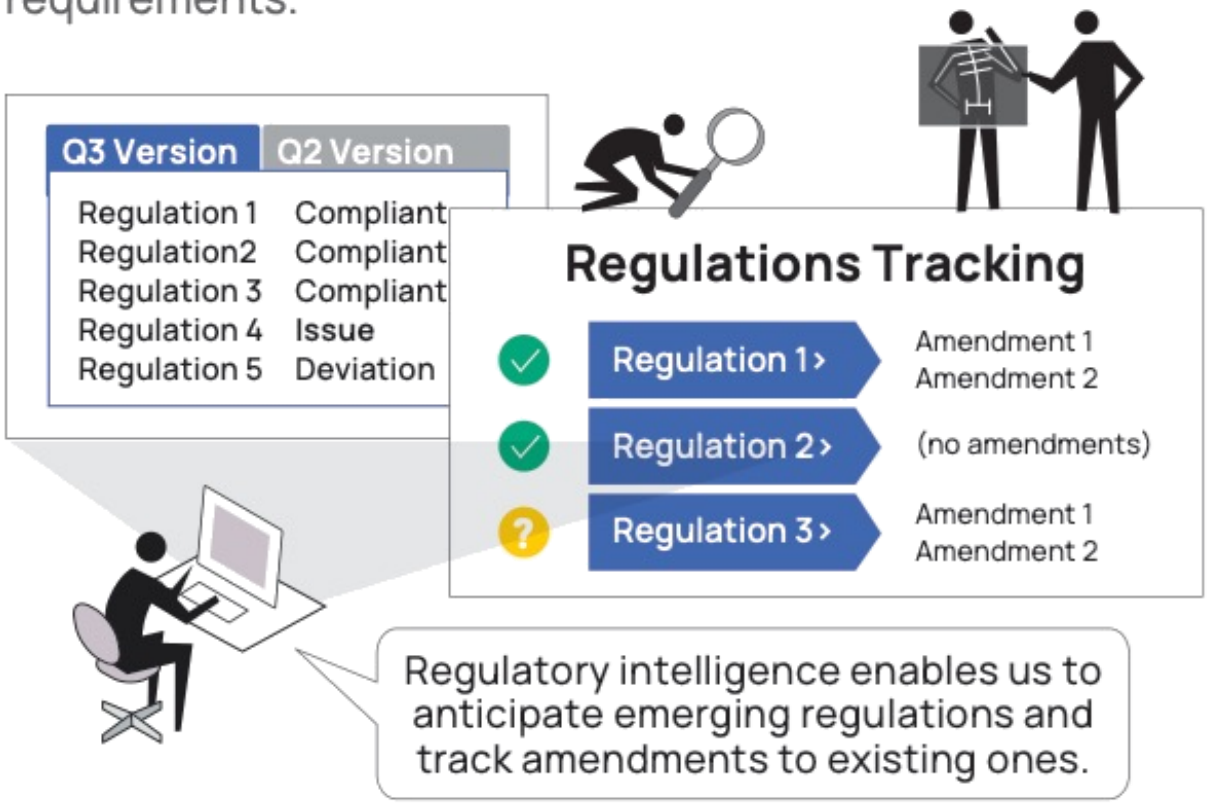
3 Regulatory Intelligence

This includes redlining regulatory updates to compare new versions with previous ones and enable organizations to understand the implications of regulatory changes on their operations. Organizations can proactively adjust their compliance strategies by integrating regulatory intelligence into compliance workflows to meet evolving requirements.



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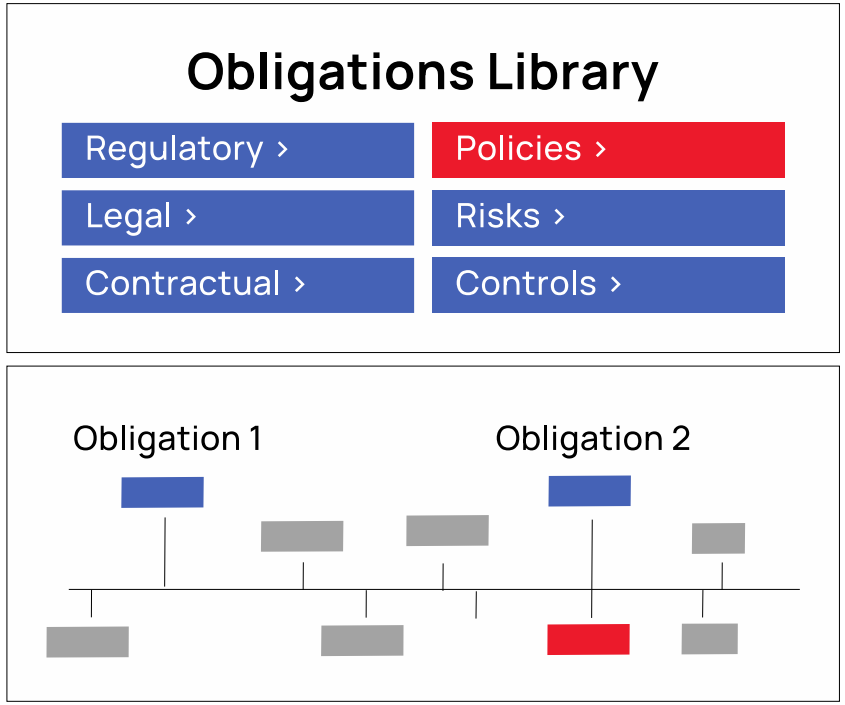
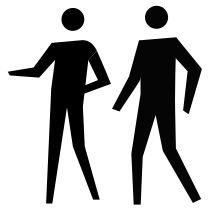
4 Obligations Library

A comprehensive database that maps the organization's regulatory, legal, and contractual obligations to its policies, risks, and controls, the obligations library ensures that all current obligations are documented and linked to relevant areas within the organization, allowing for a clear understanding of the regulatory landscape.



This mapping helps compliance teams align obligations and the organization's policies, ensuring no regulatory requirements are overlooked.



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5 Policy Control & Alignment

Organizations can better meet evolving regulatory standards and maintain a proactive compliance posture by suggesting necessary adjustments to policies and controls. Alignment reduces compliance risks and ensures that the organization remains resilient in the face of regulatory shifts.

We are continuously updating and refining policies and controls to reflect the latest regulatory changes, and ensure the org's guidelines and procedures remain compliant.

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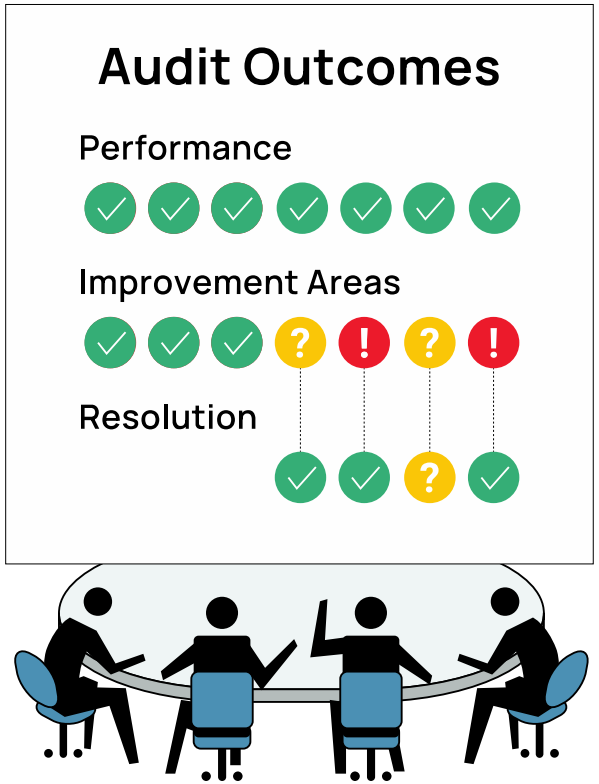
6 Compliance Monitoring & Ongoing Assessment

The continuous process of evaluating the organization's adherence to regulatory requirements includes conducting regular assessments, audits, and reviews of compliance activities, tracking key performance indicators (KPIs), and identifying areas for improvement through ongoing monitoring,



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Compliance Management Solutions

Compliance management solutions are vital for automating and managing an organization's compliance program and meeting mandatory (regulatory/legal) and self-imposed (values, ethical) obligations. These tools ensure that organizations stay updated on regulatory requirements, reduce risks, and adhere to compliance frameworks across various jurisdictions. By offering real-time monitoring, streamlined processes, and comprehensive audit trails, these solutions help organizations manage compliance effectively and align their strategies with the ever-evolving regulatory landscape.

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Innovating & Rearchitecting GRC

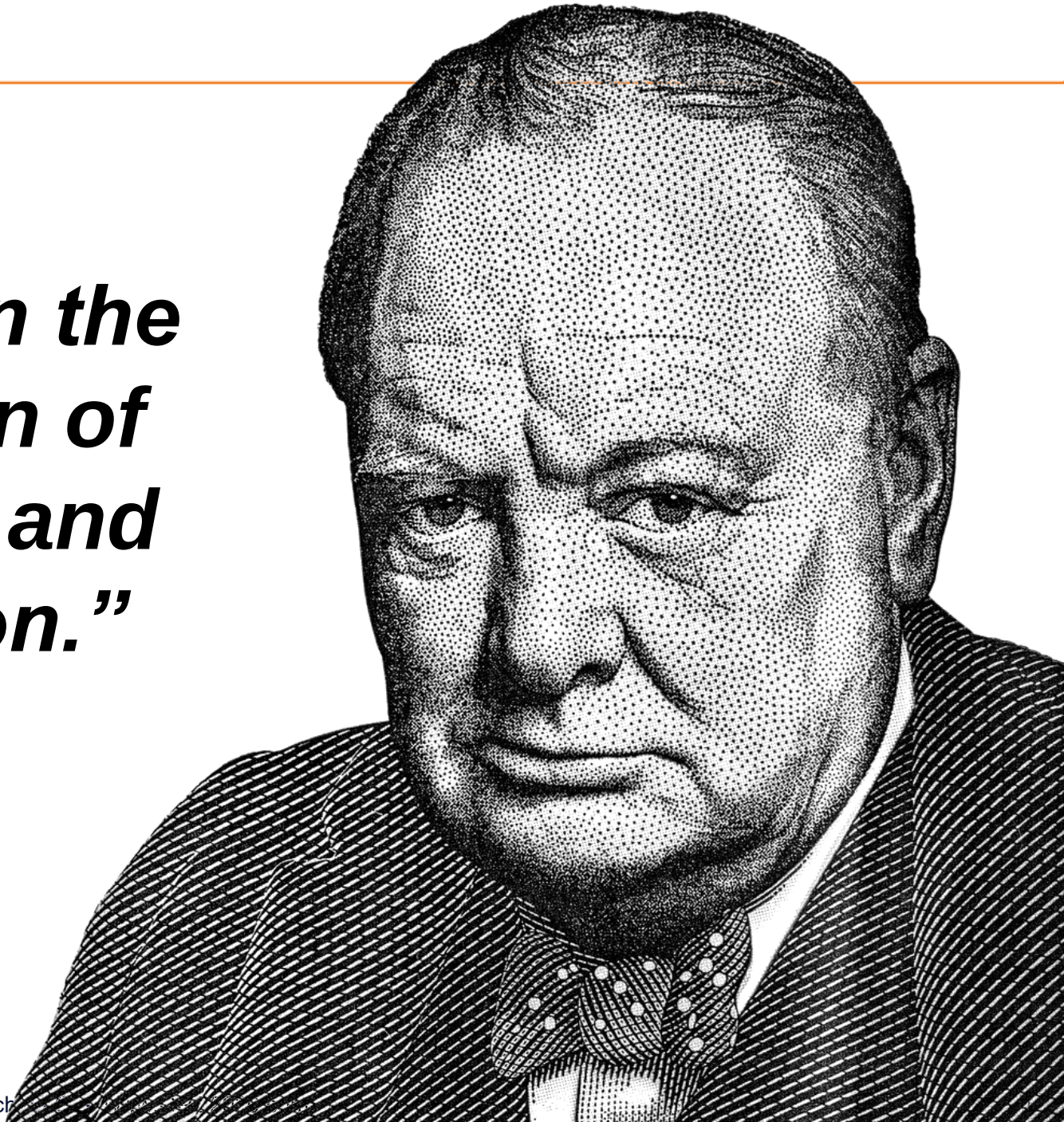
“Any intelligent fool can make things bigger, more complex and more violent. It takes a touch of genius – and a lot of courage to move in the opposite direction.”

This quote has been attributed both to Einstein and E.F. Schumacher.

Compliance Intelligence

"True genius resides in the capacity for evaluation of uncertain, hazardous, and conflicting information."

Winston Churchill



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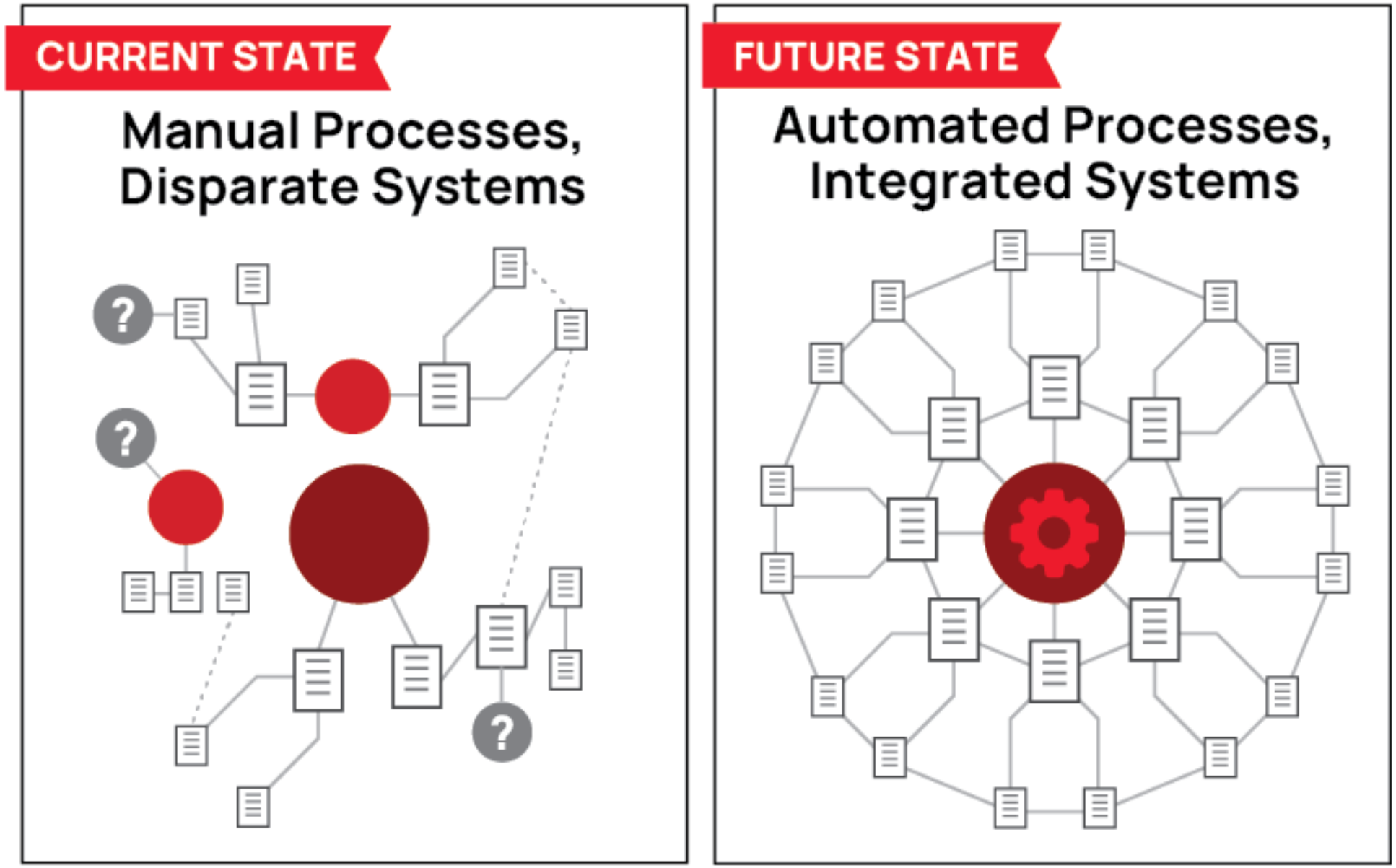
Compliance Technology Providing 360° Visibility


CURRENT STATE
Manual Processes, Disparate Systems
?
?
?
FUTURE STATE
Automated Processes, Integrated Systems

Building Your Business Case for Compliance Management Solutions

Efficiency

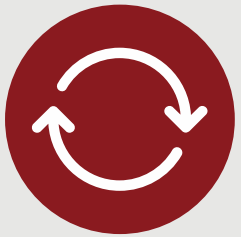
The right compliance management solution will reduce time and costs by automating processes and minimizing manual efforts.

Effectiveness

It will improve oversight and accountability, ensuring fewer compliance gaps and better adherence to regulatory requirements.

Resilience

A robust solution will help identify and mitigate compliance risks, protecting the organization from regulatory breaches and penalties.



Agility

It will enable the organization to adapt quickly to evolving regulations, risks, and internal changes, ensuring ongoing compliance in dynamic environments.

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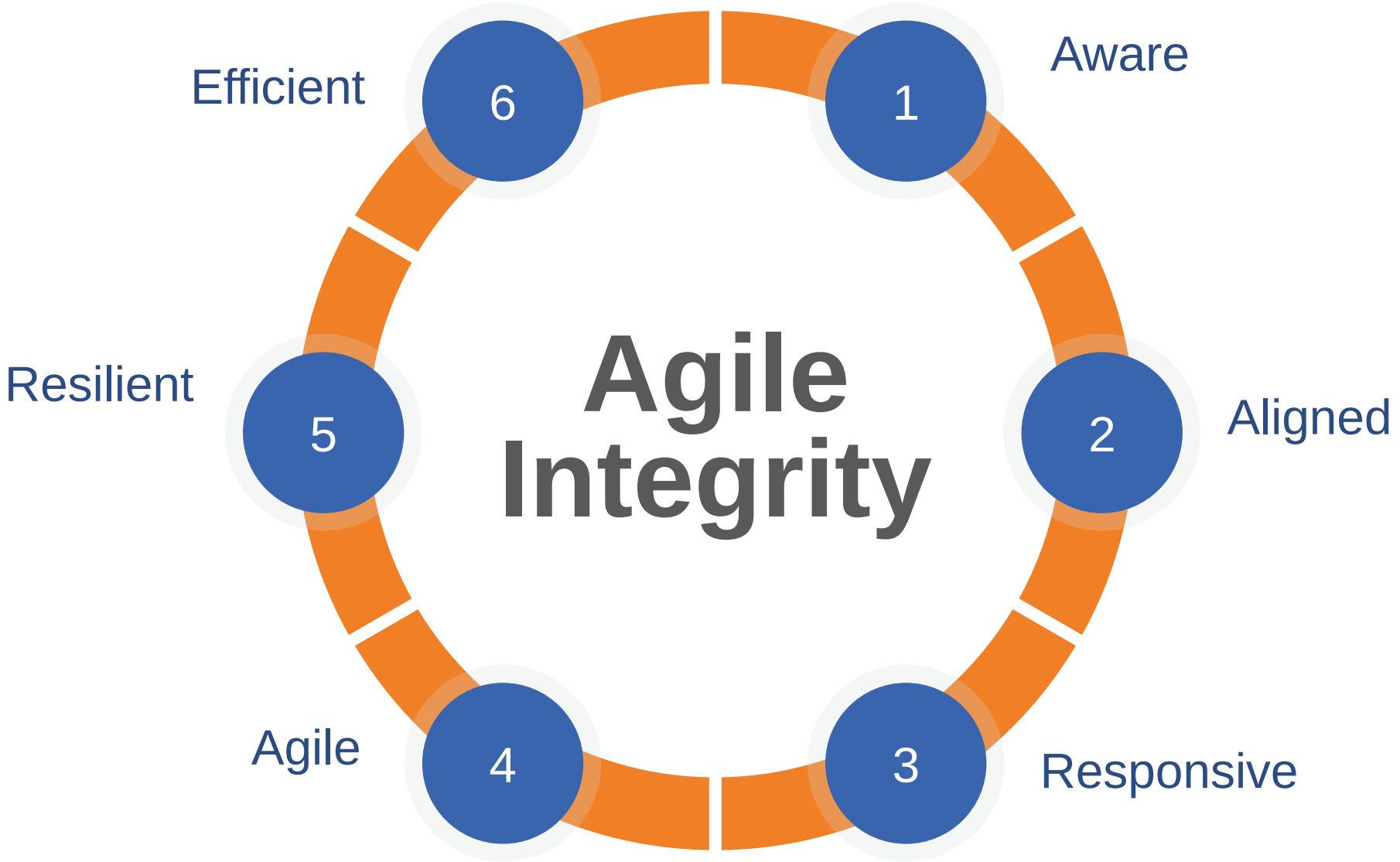
Benefits of 360° Contextual Awareness of Compliance



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