

ACL PLATFORM

Fall '17 Release:

Engineered for better front-line decision
making with risk in mind



Risk assurance and operational governance shouldn't be managed in a spreadsheet.

A well-governed organization simply runs better. ACL's Fall '17 Release transforms governance, risk management and compliance (GRC) activities from looking back to looking forward, enabling your team to run a well-governed organization in real time.

With this release, we are equipping front-line decision makers to make better decisions with risk in mind. The ACL Platform automates mission-critical tasks based on organizational goals, and enables front line operations to manage controls and remediate issues. This means automated operational governance and real-time insight for all risk decision makers.

ACL's Fall '17 Release also introduces the world's first completely integrated GRC content and software platform. We've invested heavily in curating GRC Content & Intelligence, delivered within your daily ACL™ GRC platform workflow.

And to take data intelligence to the next level to assess more types of risk, we've added automated risk assessments, more data connectors, and more visualizations.



Stuff that will blow your mind:

- » GRC Content & Intelligence by industry or functional area
- » Dynamic risk scoring
- » Global filters on Storyboards & visualizations
- » Control performance



Stuff you'll love:

- » Frameworks assurance
- » Streamlined issue creation and management
- » Custom issues fields
- » Custom audit time budgeting and reporting
- » Professional certification for ACL GRC



Stuff to fawn over:

- » New visualization types and configurations
- » Centralized activity logging



Stuff that Analytics users will like:

- » Swarm of new data connectors
- » More visualizations
- » Easier import from Microsoft® Excel
- » Better table blending
- » Deeper R integration
- » ACL basics training

Top New Features & Offerings

GRC COMPLIANCE & CONTROLS MANAGEMENT OFFERINGS

1] Better Front-Line Governance

Collaborate in-platform with your front lines by empowering them to act proactively as your first line of defense, to multiply the value of governance and, ultimately, improve organizational performance. Also, better manage the remediation and reporting of critical risk areas with our improved issue management and custom fields.

Updates Include:

- » Control performance
- » Streamlined issue management
- » New custom issue and time budgeting fields
- » Professional training courses added in ACL Academy

2] Bridging the Gap Between Content & Controls

Simplify your assessments and engage your front lines with a series of features that empower them to assess controls, comply with requirements and ensure critical controls are actioned—driving process excellence into operational areas of the organization.

Updates include:

- » Frameworks (master process-risk-control-compliance) assurance
- » Integrated content suites

3] NEW SOLUTION OFFERINGS: Featuring embedded GRC Content & Intelligence

Announcing new full stack solutions featuring embedded GRC Content and Intelligence, such as regulatory frameworks, industry standards, templates, metrics and best practices, embedded directly into your ACL GRC workflow. New software features to fully manage lifecycle across processes, assurance projects, control or compliance assessments, and incident or issue management by industry or department.

New solutions and content for:

- » [IT Risk & Compliance](#)
- » [Financial Controls Monitoring](#)
- » [Banking & Lending](#)
- » [Government & Higher Education](#)

DATA-DRIVEN RISK, AUDIT & REMEDIATION OFFERINGS

4] Automated Risk Management

Completely automate the assessment of risks and controls through the power of data. Configure thresholds for performance or risk metrics that automatically update risk scoring at the strategic or operational level, and trigger alerts for owners to take appropriate action.

Updates include:

- » Strategic risk scoring metric drivers
- » Operational risk scoring metric drivers

5] Assessments, Review, Remediation & Reporting Workflow

If you have multiple teams, programs or regions that require different workflow steps to review and close out flagged records, you can now set that with enterprise workflow configuration.

- » Global filters on Storyboards and visualizations
- » New visualization types and configurations
- » Expansion of chart configurations
- » Enhanced remediation workflows for multi-department use
- » Centralized activity logging.

6] Analytics Performance Boosts & More Open Data

We're adding:

- » A swarm of new direct data connectors, to deeper integrate processing your tables with R
- » New commands, such as Classic Variable Sampling
- » Feature enhancements for improved data imports



PLUS New Professional Certification!

A brand-new ACL Certified Professional (ACP) program joins our industry-recognized ACL Certified Data Analyst (ACDA) program, to validate technical mastery in ACL GRC

[Learn More >>](#)

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Better Front-Line Governance

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Control Performance, Issue Management, Audit Time Budgeting

Every organization has key controls to assign to owners for oversight or assessment updates. But operational governance shouldn't be managed in a spreadsheet.

New features allow you to centrally manage all your material processes and key controls to ensure the appropriate owner is assigned control oversight. Central evidence collection reduces friction and increases efficiency in responding to internal or external audit reviews.

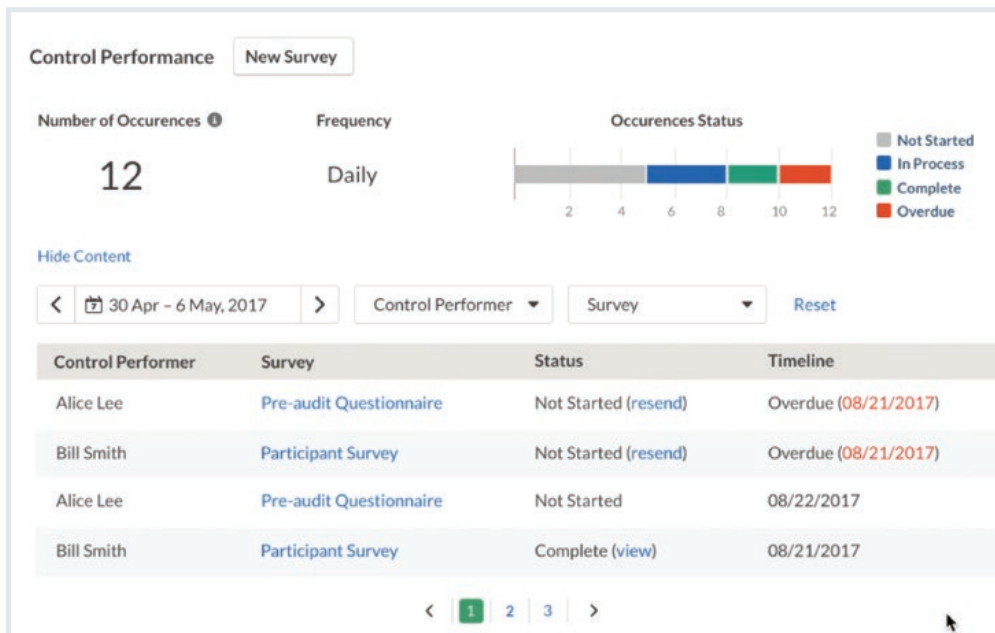


Figure 1: Ensure key controls are performing by owners; easily assign tasks for evidence collection.

COMING SOON: Control Performance

- » Assign key controls to control owners to ensure performance or evidence of its intended governance.
- » Set due date and task notifications.

Streamlined Issue Management

- » Streamlined, single-step issue capture.
- » New custom issue attribute fields, including dates.
- » Create issues anywhere in an ACL GRC project, including at the project level from the issue tab (i.e., an issue no longer needs to exist within a Fieldwork objective).

[Learn more >>](#)

NEW: Custom Issue & Time Budgeting Fields

- » Use planned and actual dates across project, objective and testing milestones.

[Learn more >>](#)

+ Professional Development in ACL Academy

- » **ACL Certified Professional (ACP) certification:** a series of technical GRC credentials that validate skills, expertise, and practical knowledge in key functional areas of ACL GRC.
- » **Control Testing course:** a technical micro-course that teaches control testing in Projects.
- » **ERM methodology course:** a conceptual course that articulates the ACL approach to enterprise risk management.

[Go to ACL Academy >>](#)

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Bridging the Gap Between Content & Controls

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Frameworks (Master Process-Risk-Control-Compliance) Assurance

Every organization has a backbone of master controls used to mitigate operational risks related to material processes. ACL's frameworks feature allows customers to document and maintain their master version of process-risk-control relationships. And as your landscape changes with changing standards and regulations, ACL's Frameworks feature dashboard now illuminates where controls under assessment might be outdated from the master version.

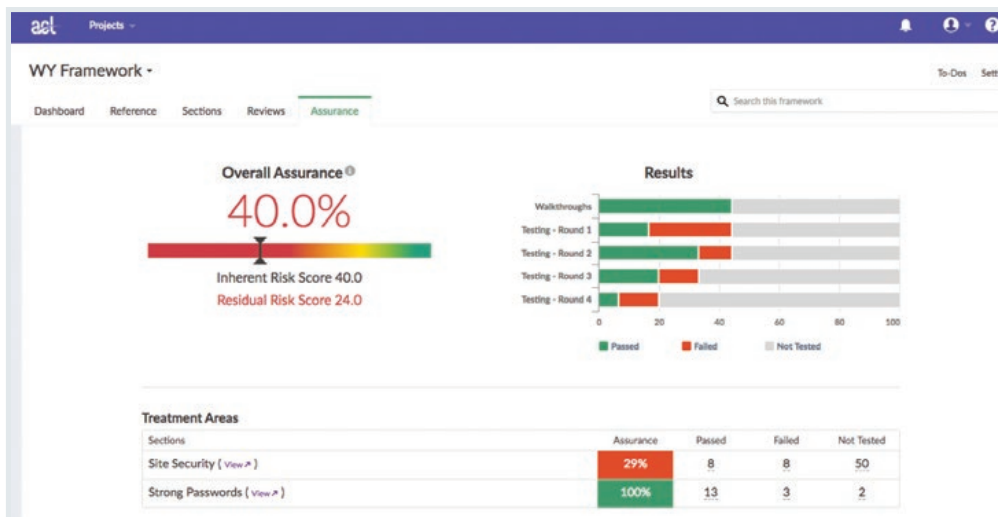


Figure 2: A dashboard to aggregate assurance and bird's-eye view tracking.

- » Frameworks is used to manage your master process-risk-control-compliance relationship, now see the overall assurance by process.
- » Document walkthrough and test plan (self-assessment) steps.
- » When standards or regulations change, update your master control in one place.
- » As GRC teams plan and execute GRC projects (audits, compliance reviews, risk assessments, examinations, etc.), material processes or key controls can be imported from the frameworks repository.
- » When the master control is updated, linked projects will be notified to assess whether the project control should be updated.
- » Frameworks dashboard will illuminate which GRC projects have un-synced or out-of-date controls from the master version.
- » Integrate requirements content from Compliance Maps to your risk-and-control framework, to get a real-time understanding of how your controls are performing as they relate to requirement content.

[Learn more >>](#)

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IT Risk & Compliance Solution

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With thousands of industry standards, internal policies, or regulatory requirements, keeping on top of compliance can be daunting. Add in an increasing risk of penalties, brand damage, and the threat of being held personally liable, and it's overwhelmingly clear how important it is to maintain updated and accurate compliance records. ACL's curated content subscription integrates common frameworks and automated updates for better IT Governance around your IT risk and compliance management, making it easy for you to minimize risk exposure and collaborate with your front line.

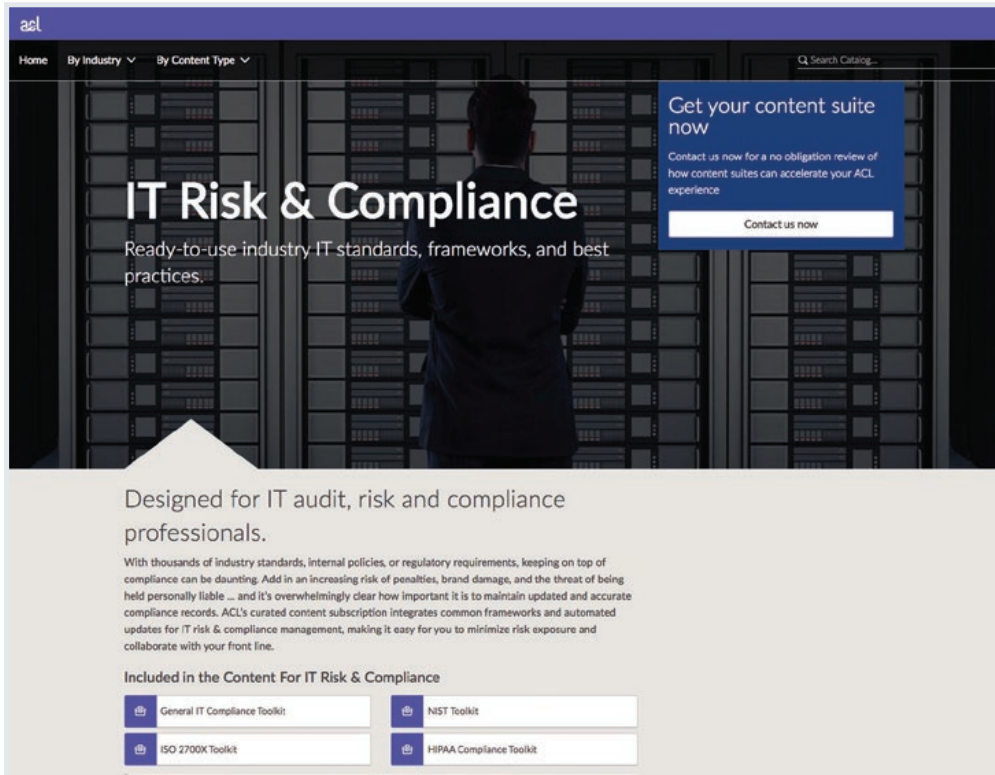


Figure 3: Don't let exploits and vulnerabilities ruin your security reputation. Manage it with industry risk frameworks.

ACL's IT Risk & Compliance solution helps you:

- » Manage IT governance.
- » Manage standards and regulations.
- » Manage control assessments and evidence.
- » Manage incident and issue lifecycle.
- » Automate control monitoring and IT analytics.

FEATURING: GRC Content & Intelligence

For the first time, organizations can embed GRC content and intelligence specific to industry or functional area—such as regulatory updates, standards, metrics and best practices—into your daily ACL GRC workflow. GRC Content & Intelligence suites are premium subscriptions.

IT Risk & Compliance content suite subscription includes:

- » General IT Compliance framework toolkit, such as EU General Data Protection Regulation, CSA Cloud Controls Matrix, etc.
- » NIST Toolkit
- » ISO 2700X Toolkit
- » HIPAA Compliance Toolkit

[Learn more >>](#)

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Financial Controls Monitoring Solution

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Our Financial Controls Monitoring solution allows you to automate assessment of risk in your critical SAP® ERP processes. The hard stuff is already done for you. We ask the questions that uncover material risk, and connect to the right data—to provide 100% coverage, serving up the oversight you need to investigate, track, trend, and report. This solution automates monitoring transactional data with minimal human intervention to ensure your ERP configuration isn't leaking. This financial controls monitoring solution can be spun up at a fraction of the cost, time, and effort of traditional ERP process controls.

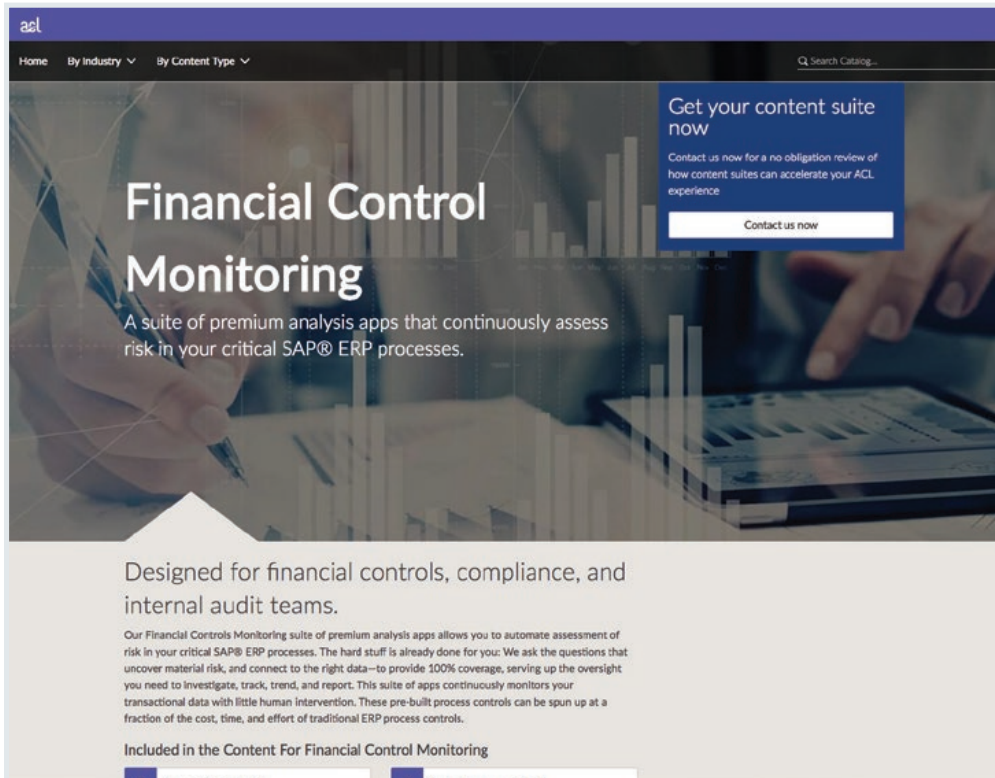


Figure 4: ERP processes have leaks. Use process controls to flag anomalies and remediate them with a collaborative workflow.

ACL's Financial Controls Monitoring solution helps you:

- » Automate monitoring of material ERP process tests.
- » Manage flagged record review & remediation lifecycle.
- » Easily collaborate with stakeholders to gather comments or evidence.
- » Create storyboards of program oversight, compliance and ROI.

FEATURING: GRC Content & Intelligence

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Financial Controls Monitoring content suite subscription includes pre-built process controls for:

- » Accounts Payable
- » Vendor Management
- » Human Resources Management
- » Stock and Inventory Management
- » Purchase Order Management
- » Salaries and Payroll
- » General Journal Analysis
- » Accounts Receivable
- » Sales Analysis
- » Fixed Asset Management
- » Cash Disbursements
- » Travel and Entertainment Expenses
- » Segregation of Duties

[Learn more >>](#)

3

Banking & Lending Solution

ACL's Banking & Lending solution helps increase the value you bring to your organization by providing a lens on emerging risk while staying on top of the latest regulatory requirements. It's a platform for you to intelligently manage and execute on your strategic

agenda. No matter if you're a bank or credit union, we've curated content toolkits to facilitate cross-collaboration between your three lines of defense. In no time, they'll be speaking one common language and using a common taxonomy.

Banks & Credit Unions
Regulations, frameworks and best practices for daily GRC workflow.

Tools designed for banks & credit unions.

ACL's content helps increase the value you bring to your organization by providing a lens on emerging risk while staying on top of the latest regulatory requirements. It's a platform for you to intelligently manage and execute on your strategic agenda. No matter if you're a bank or credit union, we've curated content toolkits to facilitate cross-collaboration between your three lines of defense. In no time, they'll be speaking one common language and using a common taxonomy.

Included in the Content For Banks & Credit Unions

- AML/ATF Compliance Toolkit
- EFT Risk Toolkit
- Banking Op Risk Toolkit
- Banking Consumer Risk Toolkit
- FDIC Compliance Toolkit
- Banking IT Risk Toolkit

Browse by toolkit
A toolkit is a curated set of tools aimed at addressing one area of risk or compliance.

Figure 5: Content designed for banks and lenders to help make better decisions with risk in mind.

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ACL's Banking & Lending solution helps you:

- » Better manage regulatory exams and outcomes.
- » Automate and integrate risk analytics.
- » Implement data-driven risk to automate your three lines of defense.
- » Ensure governance over IT risk and compliance.
- » Integrate ERM, compliance and audit management.
- » Aggregate risk reporting for management and board.

FEATURING: GRC Content & Intelligence

For the first time, organizations can embed GRC content and intelligence specific to industry or functional area—such as regulatory updates, standards, metrics and best practices—into your daily ACL GRC workflow. GRC Content & Intelligence suites are premium subscriptions.

Banking & Lending content suite subscription includes:

- » AML Toolkit
- » EFT Risk Toolkit
- » Banking Op Risk Toolkit
- » Consumer Risk Toolkit
- » FDIC Compliance Toolkit
- » Banking IT Risk Toolkit

[Learn more >>](#)

3

Government & Higher Education Solutions

As a GRC professional, you're constantly challenged to do more with less. Whether you're assuring regulatory compliance, managing your organization's evolving risk landscape or protecting against fraud, waste and abuse, ACL's Government and Higher Education solutions can help. Drawing on decades of experience working with hundreds of governments and educational institutions, ACL is positioned to help you achieve your GRC goals. The toolkits below include an integrated library of standards and regulations and resources to help make your job easier.

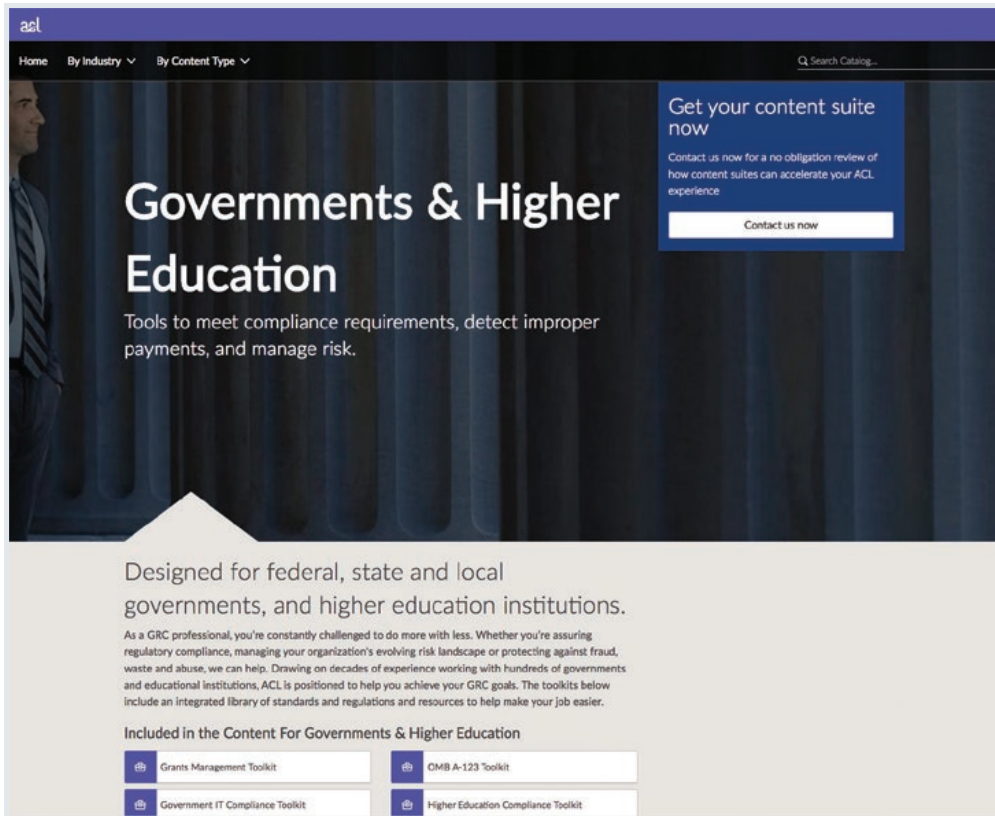


Figure 6: Content designed for government and higher education GRC professionals.

ACL's Government Solution helps you manage:

- » Program oversight
- » Automated control monitoring
- » Workpapers and analytics
- » Improper payments
- » Grants management
- » Contract oversight
- » Fraud investigations
- » Tax compliance
- » Enterprise risk
- » Whistleblower hotlines

ACL's Higher Education Solution helps you manage:

- » Workpapers and analytics
- » Regulatory and policy compliance
- » Continuous controls monitoring
- » Procurement oversight
- » Enterprise risk
- » Whistleblower hotlines

FEATURING: GRC Content & Intelligence

For the first time, organizations can embed GRC content and intelligence specific to industry or functional area—such as regulatory updates, standards, metrics and best practices—into your daily ACL GRC workflow. GRC Content & Intelligence suites are add-on premium subscriptions.

Government & Higher Education content suite subscription includes:

- » Grants Management Toolkit
- » OMB 123 Toolkit
- » Public Sector IT Compliance Toolkit
- » Higher Education Compliance Toolkit
- » Medicare/Medicaid Improper Payments Toolkit
- » SNAP Improper Payments Toolkit
- » Unemployment Insurance Improper Payment Toolkit
- » Rental Housing Improper Payments Toolkit

[Learn more >>](#)

4

Automated Risk Management

Strategic Risk Scoring Metric Drivers

You execute recurring strategic risk assessments, scored by subjective human interpretation. But what happens when your performance data changes? Who is informed, how are risks to achieving objectives impacted?

ACL has the answer with metric-driven automated assessment drivers, which dynamically update your strategic risks based on your criteria.



- » Associate a defined strategic risk to a metric (e.g., KPI, KRI, KCI) on each risk, including value, trend lines and defined thresholds—and drill down from the metric to records.
- » Set a notification trigger on a metric threshold to notify the right people to act when a threshold is reaching intolerable levels.
- » Map the criteria which will trigger a dynamic change to the strategic risk factor, such as impact, likelihood, velocity, etc.

Learn more »

Figure 7: Automate strategic risk scoring updates based on metrics triggered by any data change.

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Automated Risk Management

Operational Risk Scoring & Control Assessment Metric Drivers

If you use a risk-based, data-driven approach to scoping operational or process level risk, you can now automate your assessments by linking metrics.

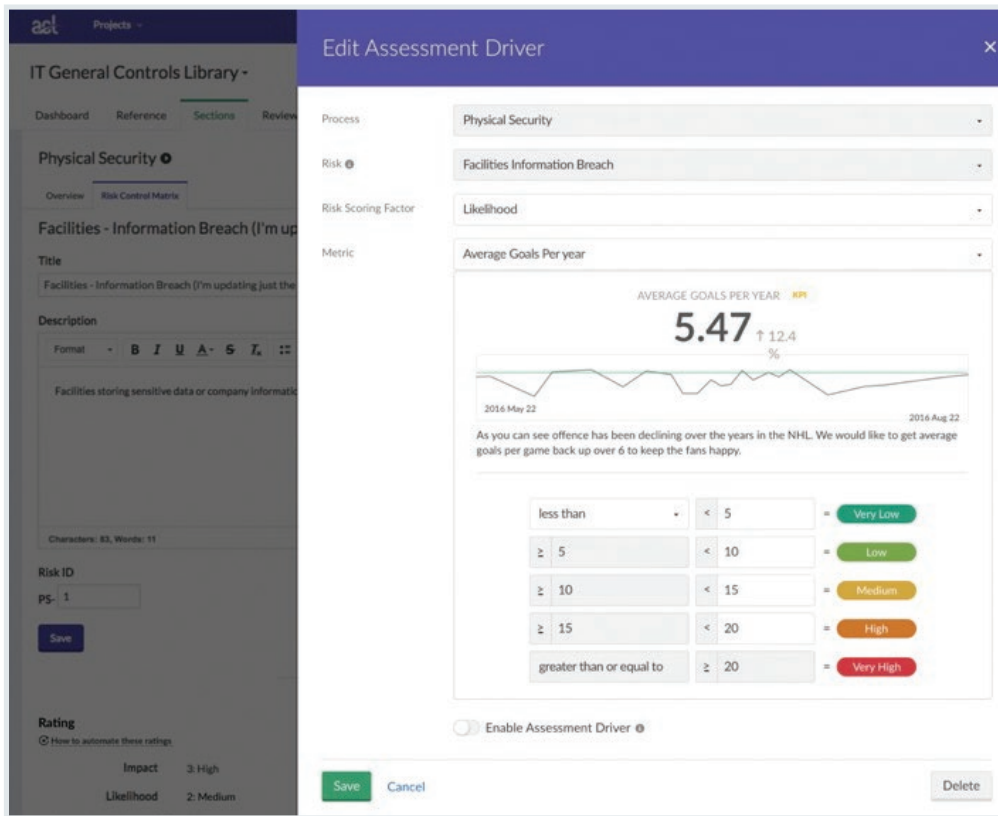


Figure 8: Dynamic risk scoring at the operational level based on metrics you define.

- » Associate a defined operational risk or control to a metric (e.g., KPI, KRI, KCI) on each risk, including value, trend line and defined thresholds—and drill down from the metric to records.
- » Set a notification trigger on a metric threshold to notify the right people to act when a threshold is reaching intolerable levels.
- » From your operational risk in Projects, map the criteria threshold you want to trigger a dynamic change to the risk factor, such as impact or likelihood.
- » From your operational control in Projects, map the KCI threshold you want to trigger a dynamic change to the control in a walkthrough or testing round to a pass or fail in design or control effectiveness.

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Assessments, Review, Remediation & Reporting Workflow

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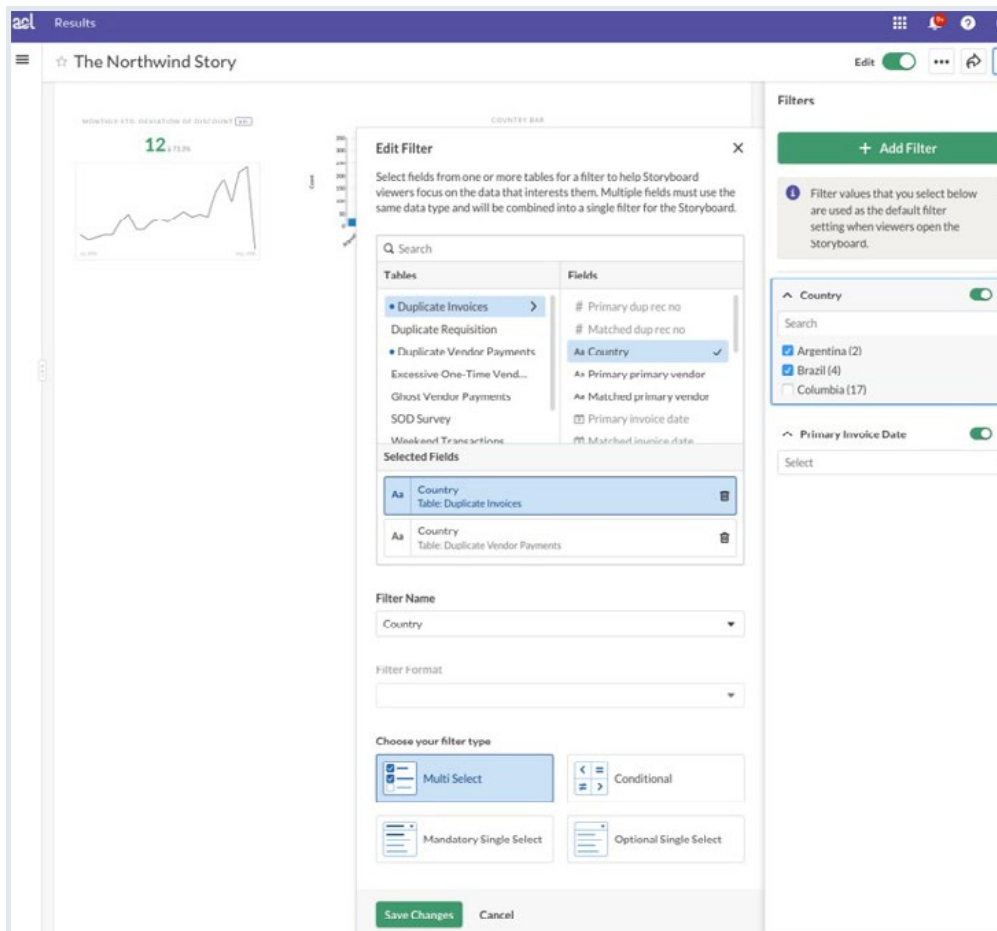
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Seriously Improved Program Oversight

From managing your GRC programs with automated analytics, to reviewing individual flagged records, to efficient workflow and collaboration with your stakeholders, ACL's Fall '17 Release packs a big punch of ease and productivity.



Storyboard & visualization improvements:

Storyboard & visualization: Global filters have arrived!

» Want to use one set of data to create visualizations and build storyboards, but create different views based on data? Global filters are the answer.

New visualization chart types

» New graphs help you visualize, quantify, or qualify risk from your data analytics or survey programs. Including: 100% stacked bar/column and standard area charts.

Expansion of chart configurations

» For building visualizations, we now have better ways to configure things like heatmap colors, configurations of summary tables, and much more.

[Learn more »](#)

Record review & remediation enhancements include:

» Centralized activity logging.

» Do you need to review what changed, who changed it and when? Refer to an improved central activity log for all change information in Results.

Figure 9: A picture is worth a thousand tests. Global Filters allow you to zoom in on common data fields, such as country, business unit, location, etc.

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Analytics Performance Boosts & More Open Data

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Performance Enhancements

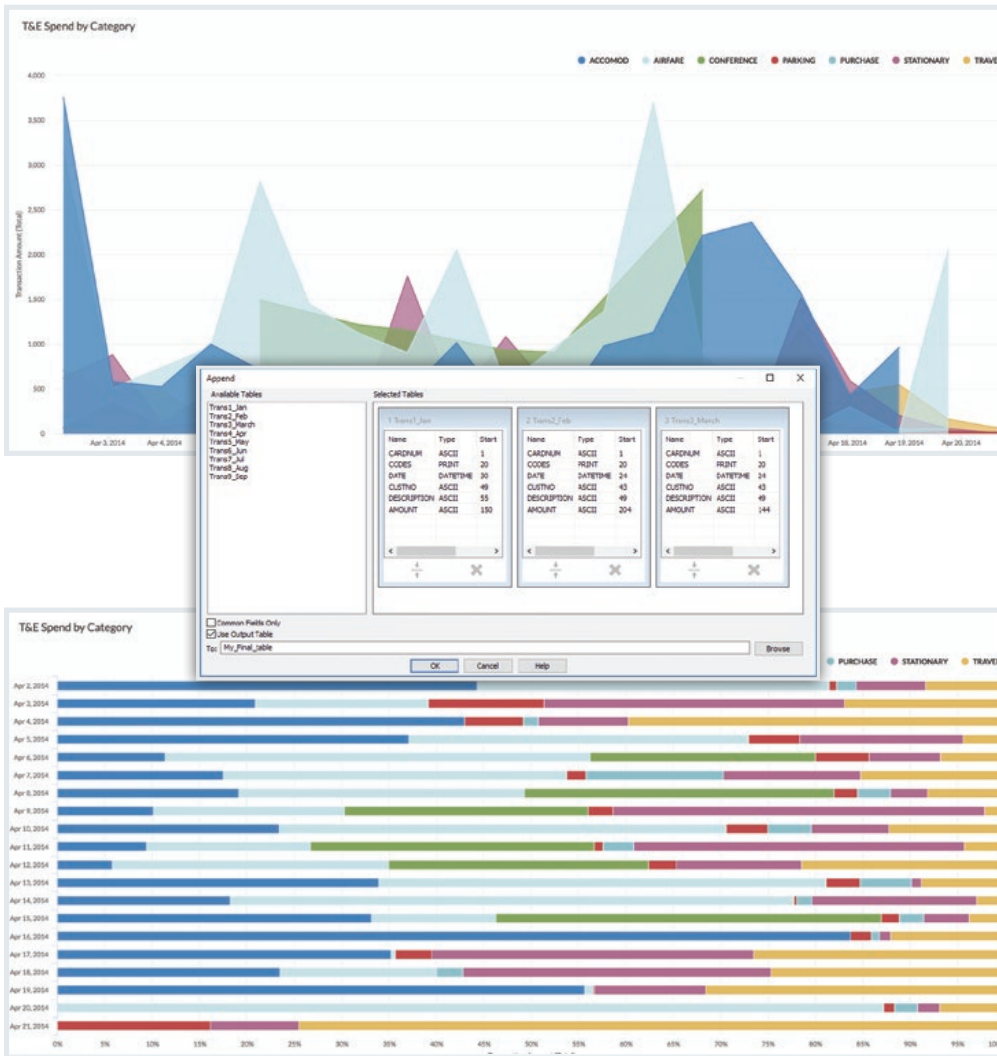


Figure 10: More ways to easily access and blend more data, and more ways to visualize risk.

ACL Analytics 13 & ACL GRC Analytics Exchange 13

- » Import multi-worksheets from Microsoft® Excel.
- » Deeper integration with a new RCommand to analyze entire columns or tables.
- » The APPEND command you want for auto-harmonization of blending tables.
- » New ACL data connectors to easily and natively connect to new sources, including MySQL, Microsoft® Active Directory, Microsoft® Exchange, email, ServiceNow and Twitter.
- » New classical variable sampling commands to support audits or attribute testing.
- » New visualization graphs.
- » More versions of Python are supported.

Plus

- » Introducing ACL Basics. This new video micro course (1.5 hours) covers starter aspects of using ACL, getting data in and performing basic tests.

[Start course now >>](#)

NOTE:
PRODUCT
NAME CHANGE:

VERSION 13

We are syncing our desktop and server analytics products to one version so AX administrators can easily pair desktop and server versions.

ACL Analytics Exchange has been renamed to **ACL GRC Analytics Exchange**, to better reflect its position as a module within the ACL GRC platform.



What do I get with my ACL Subscription?

Training, best practices and productivity boosters built in.

Productivity Ecosystem



Academy

24/7 online, interactive, comprehensive training.

Upskill your team with self-paced lessons and flash demonstrations to learn new ways to apply ACL software.

Earn up to 30+ CPE credits.



Inspirations

100s of testing ideas built from decades of experience.

Categorized by process area and industry, finding inspiration for where to apply data analytics is easy.



ScriptHub

Pre-built analytic scripts to plug into your projects.

Apply advanced data analytic techniques without reinventing the wheel.



Help Docs

Next generation how-to documentation.

Documentation for your Grampa's generation sucked. We take "how-to" seriously and hired awesome writers to help you stay up to speed, 21st century style.



Peer Community

Connect with 1000s of passionate ACLers & gurus in ACL Community.

Share best practices, discuss strategies, swap techniques and exchange experiences with other ACL users. Find information fast and contribute answers to help your peers and earn points!

Other Subscription Benefits

- » Support Center, 24X5, M-F
- » Searchable online knowledge base
- » Up-to-date software releases
- » ACL Community access for unlimited staff
- » Product collaboration
- » AuditNet® Premium subscription (valued at US\$140/user)

Optional Tools & Apps



ACL Results Lite

A free trial version of ACL GRC Results, to centrally, securely and swiftly interact with stakeholders, collect evidence and surveys, visualize results, and assign flagged records for review and remediation.

[Learn more »](#)

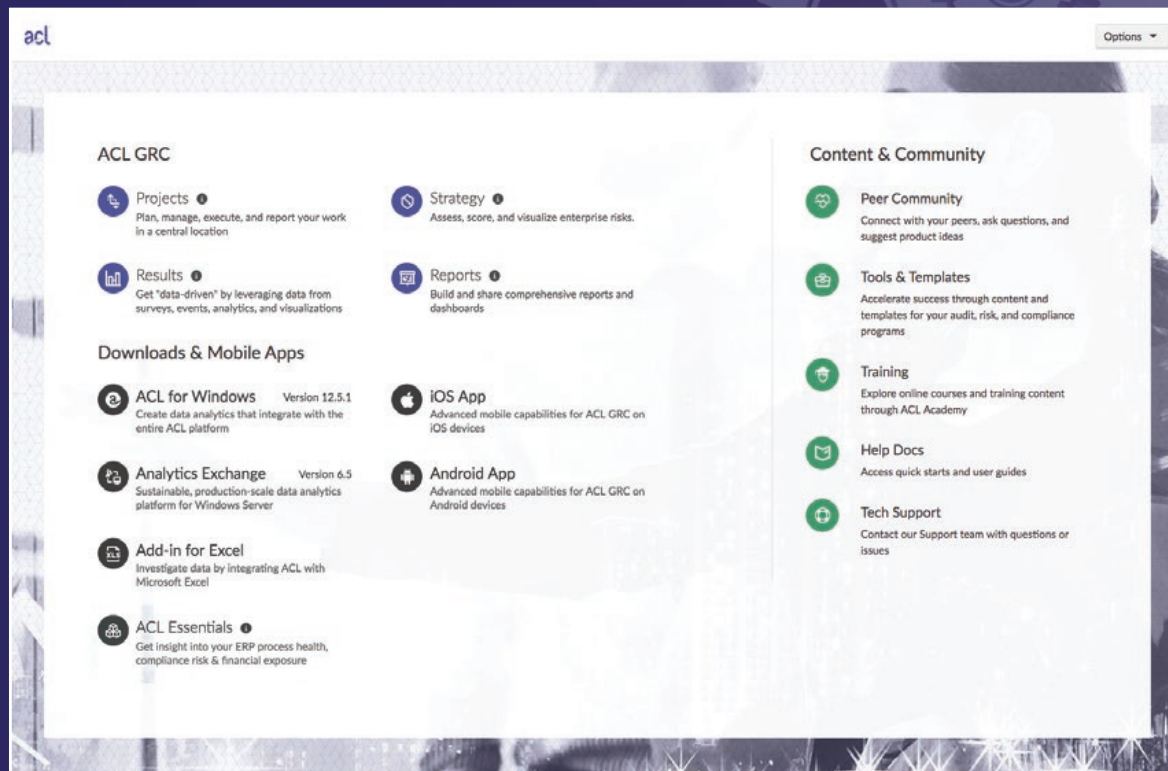


ACL Add-in for Excel

A free tool that takes Microsoft® Excel to the next level with profiling and read-only protection, from the company that brought you the industry standard for financial controls analytics.

[Download Add-in for Excel »](#)

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- » Access your ACL products & upgrade to the latest version
- » Learn & earn CPEs in ACL Academy
- » Get analytic ideas in ACL Inspirations
- » Grab scripts from ACL ScriptHub
- » Find a User Group in your area
- » Join ACL Community!

[Log in to ACL Launchpad >>](#)

