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# Enabling Resilience Through Proactive Risk Mitigation

# Today's Presenters



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# Topic: Enabling Resilience Through Proactive Risk Mitigation

Managing and guiding your organization through disruption requires not only effective contingency and continuity strategies, but also that your enterprise programs are identifying risks and implementing the right internal controls to manage risk impact proactively. During this session, you will learn:

- How to leverage control frameworks to improve your internal control environment
- The importance of tying risks to fit-for-purpose controls
- How Fusion enables operational risk analysis using Risk and Control Assessments (RCSAs)
- Role of dynamic dashboards and reports to monitor your risk program continuously



# Agenda

1. Setting the Stage
2. The Proactive Lens
3. Importance of Internal Controls
4. Leveraging Control Frameworks
5. Risk and Control Assessments
6. Demonstration



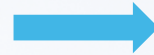
# Managing Risk in a Complex Environment

Risk Management is increasingly on the minds of Boards

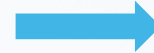
## Trends



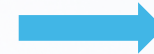
Disruptive events happening with more frequency.



Increase in organizational complexity (digital business, remote work).



Increasing competition, customer expectations, and values based decision making.



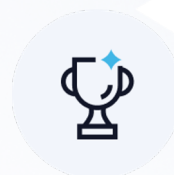
## Insights



In an AICPA survey, 2/3rds of surveyed organizations note that risk complexity and volume remain elevated.



No organization is immune to current risk environment.



The Edelman Trust barometer found most respondents bought brands, chose their workplace and made investments based on their beliefs and values.



# Global Regulatory Trends: Checking the Box is not Enough

Regulators catching up to operational risk

Direct oversight of previously unregulated entities

New requirements emerging risk areas

Require on-going monitoring

Information sharing provisions

Enforcement



# A New Model of Compliance

**Engaging the enterprise along your resilience journey**

Better engage the organization, streamline evidence gathering, and increase visibility while more efficiently identifying and remediating gaps.

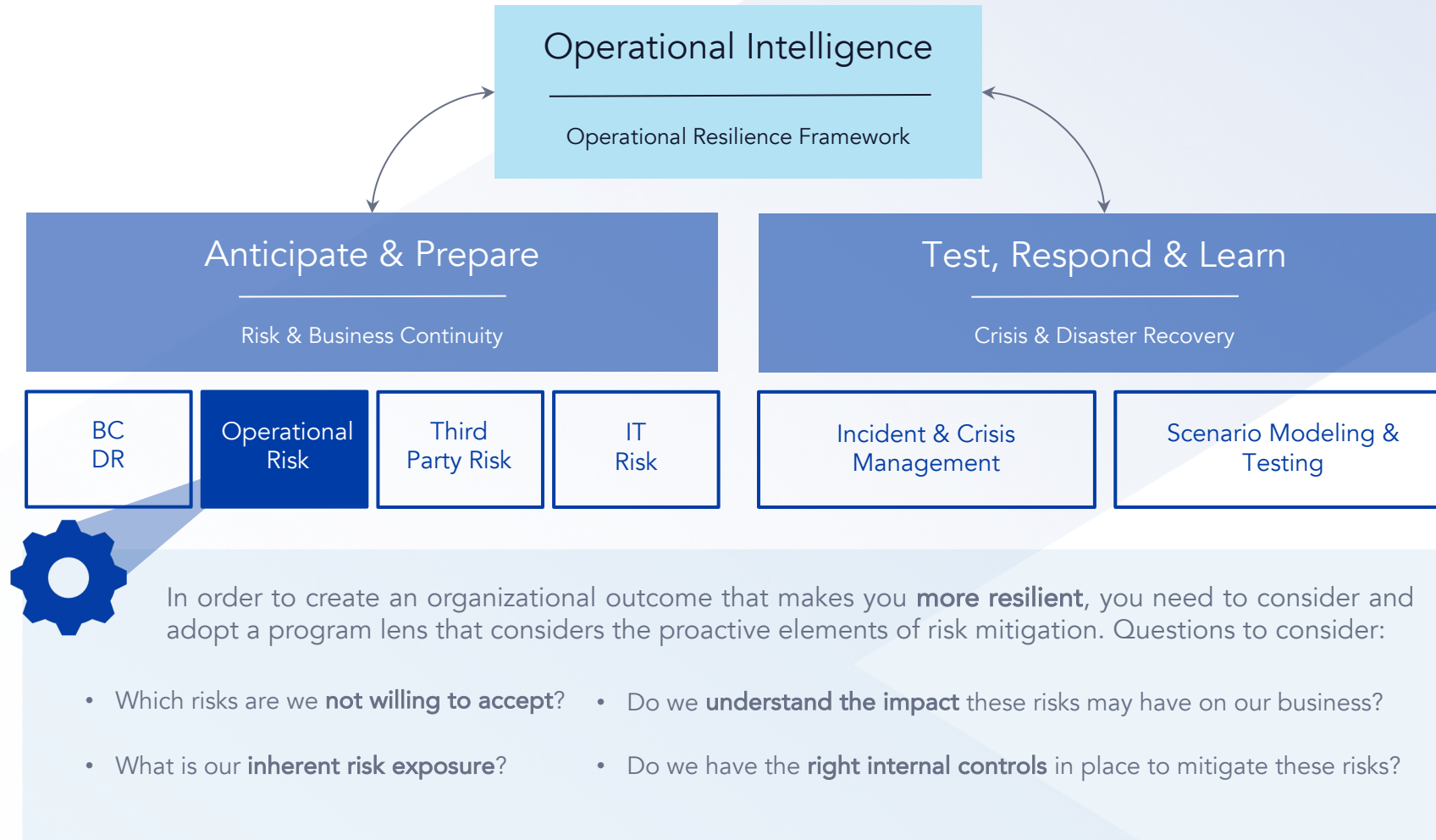
**Building a more connected view of your organization**

View your organization through a single pane of glass by connecting the dots between important business services and the activities required to deliver them, visualizing dependencies, and mapping controls to objectives.

**Demonstrating your commitment to protecting your customers**

Identify critical regulations and standards, populate control frameworks, demonstrate control efficacy while integrating with other operational insights to drive real-time compliant decisions and activity.

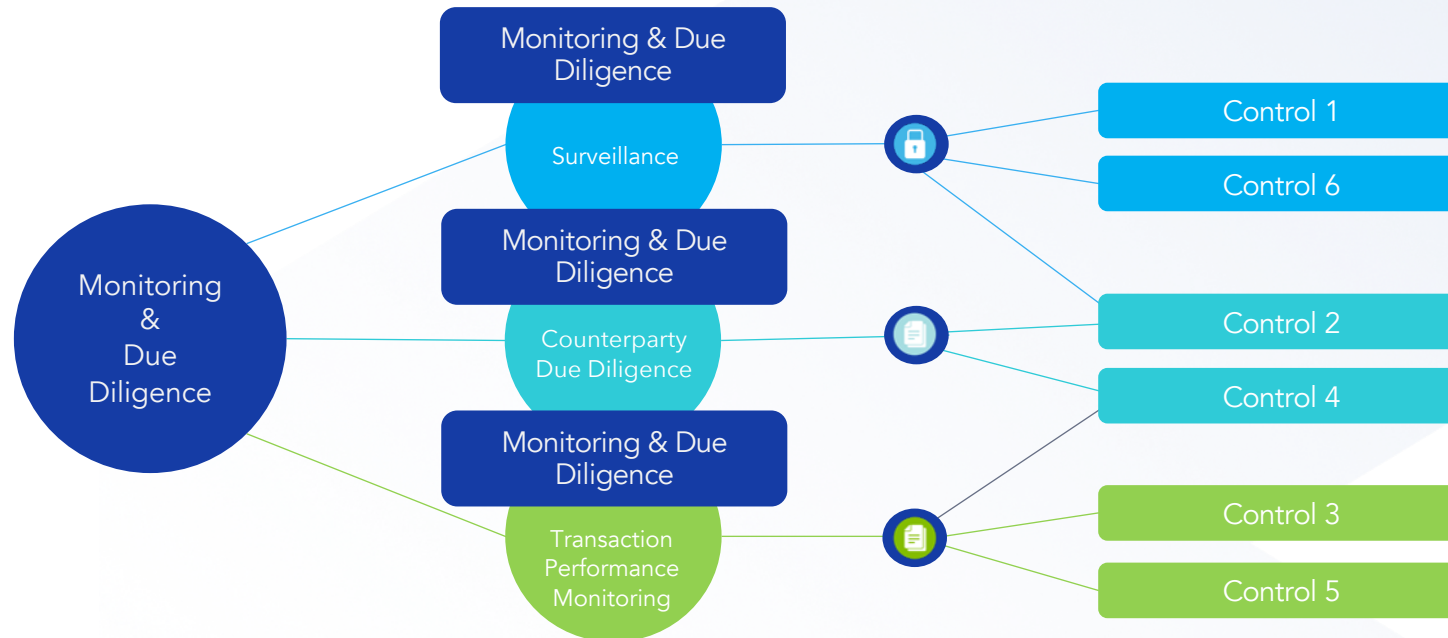
# The Proactive Lens





# The Importance of Internal Controls

Establishing a unified taxonomy for how your enterprise identifies and categorizes controls is critical to ensuring your program is operating using a common language



Controls should be designed and implemented to mitigate the **specific risks your organization is exposed to** and built to mitigate those risks to the extent that **fits your appetite for risk**.

# Leveraging Control Frameworks

Demonstrate your ability to meet obligations and objectives through effective controls

## Control Mapping

- Ensure coverage across industry mandates and minimize organizational risk exposure.
- Visualize connections between controls and unique activities within your organization that meet those requirements.

## Attestation Workflow

- Prove your organization's adherence to regulatory requirements.
- Verify your organization has effective controls in place with evidence, files, controls, tests, etc.

## Change Management

- Identify any changes to controls as a result of underlying regulations.
- Reflect those changes to controls already present in your Fusion environment, ensuring your organization is always adhering to the latest guidance.



## UCF Connector

- Feed critical data on regulations and standards into Fusion..
- Populate the control framework, control objective, and control objects associated with selected authority documents (e.g., NIST, FFIEC, FINRA, etc.) and manage changes to regulations or standards and reflect those changes in Fusion.

## Remediation & Action Plans

- Generate issues to flag non-compliance throughout your organization.
- Work through remediation plans to address and resolve non-compliance and improve regulatory posture.

## Dashboards & Reporting

- Report across policies, regulations, standards, and control frameworks and surface critical information for your stakeholders with summarized dashboard view.
- Increase visibility across processes and systems necessary to prove compliance to regulators with a connected data model.

# Risk and Control Frameworks – UCF Connector

Demonstrate control efficacy while integrating with other operational insights to drive real-time and compliant decisions and activity.

- Populate the control framework, control objective, and control objects associated with your selected authority documents (e.g. NIST, FFIEC, FINRA etc.).
- Manage changes to regulations or standards and reflect those changes in Fusion.

The screenshot displays the 'Common Controls Hub' interface. At the top, there's a navigation bar with 'COMMON CONTROLS', 'BUILDS', 'COMPARE' (active), and 'TRACKING'. Below this, a 'COMPARE' section is active, showing a comparison between 'List A' and 'List B'. The interface includes a sidebar with navigation icons (home, list, eye, gear) and a 'powered by UCF' logo. The main content area shows two columns for 'List A' and 'List B', each with a search bar and a 'Show Selected Documents as a List' toggle. Below these are lists of authority documents categorized by geography (Africa, Asia, Australia-Oceania, Europe, International, Middle East, North America, South America) with counts. A central 'Controls' section shows a comparison of 'Mandated' and 'Implied' controls, with a 'Controls 0 Total' summary. A 'Compare Spreadsheet Archive' button is visible. The bottom of the interface features a 'Fusion Risk' section with a 'SAVE LIST' button.

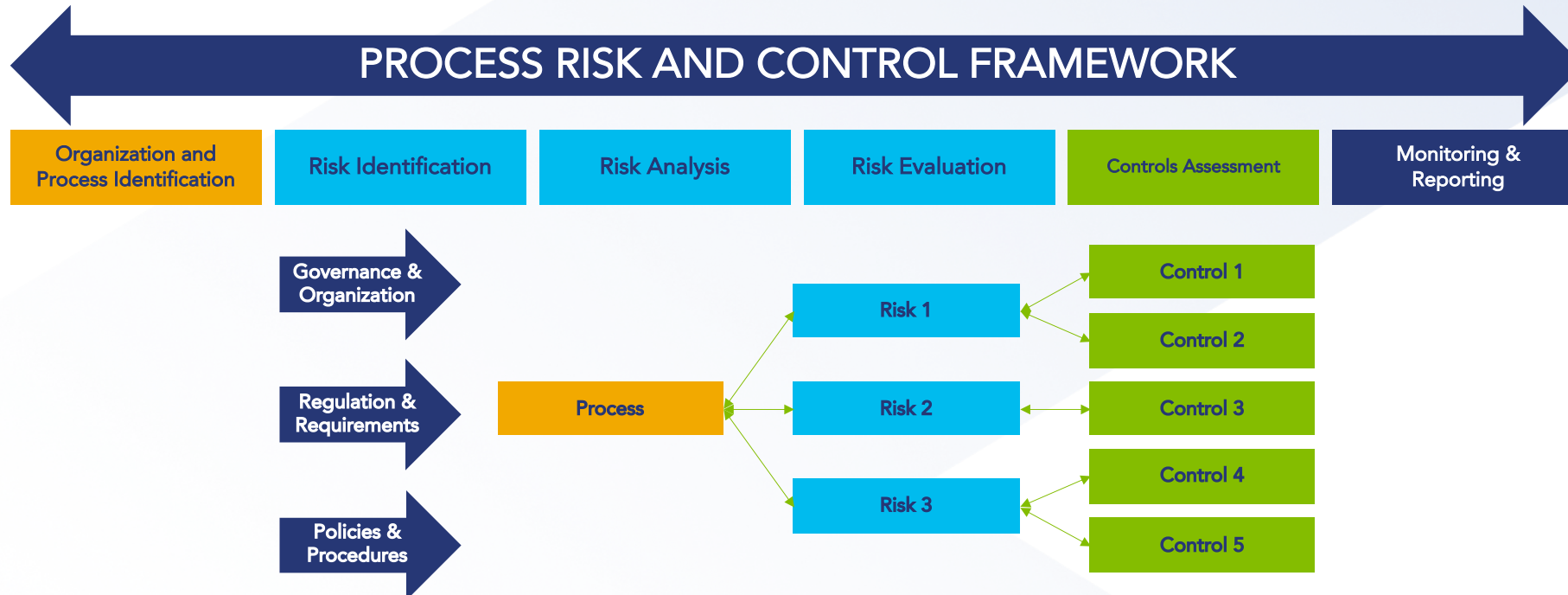


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# Risk and Control Self-Assessments (RCSAs)

*By establishing a repeatable assessment conduit, your organization can effectively classify processes, applications, vendors, or other entities and identify, evaluate, analyze and respond to risk.*





# Demonstration

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# Q&A



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# Thank You

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