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Nissan Leverages GRC to Build Efficiencies and Automate Audit Process

CHRIS MCGEE
MANAGING DIRECTOR
KPMG LLP

ANGIE LEGGETT
MANAGER
KPMG LLP

JUDI HARTBARGER
SENIOR IS MANAGER
Nissan North America

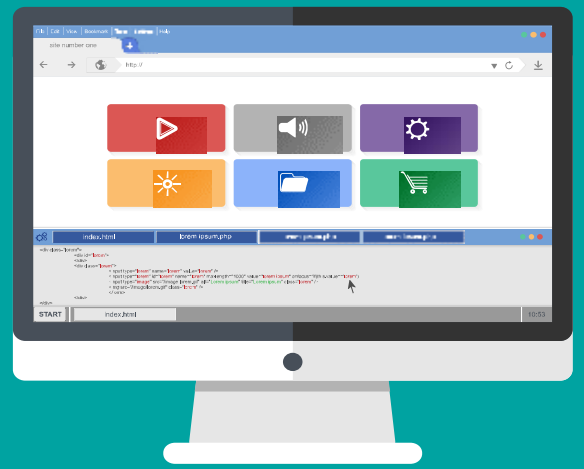
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- Governance, Risk, and Compliance

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Agenda

- Speaker Introductions and Objective
- Nissan GRC Background
- KPMG Approach
- Results
- Lessons Learned/Key Points

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Speaker Introduction



NAME: Chris McGee

TITLE: Managing Director GRC Technology

FUNCTION: Advisory

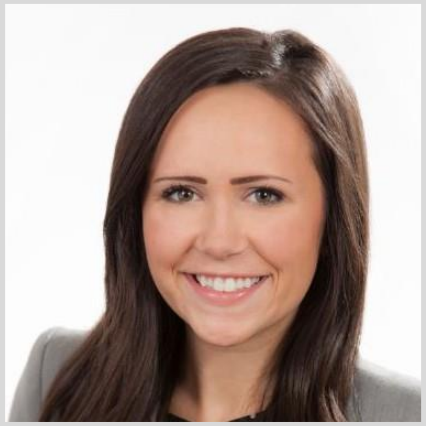
COMPANY: KPMG LLP

EXPERIENCE: 17 years in engineering, consulting and industry, 2 years in ServiceNow GRC

EXPERTISE: ServiceNow GRC, along with Internal and External Audits, IT compliance services (assessment and optimization) and IT Advisory best practices

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Speaker Introduction



NAME: Angie Leggett

TITLE: Manager GRC Technology

FUNCTION: Advisory

COMPANY: KPMG LLP

EXPERIENCE: 7 years in Audit/Advisory/GRC Services including ServiceNow GRC

EXPERTISE: ServiceNow GRC, along with Internal and External Audits, IT compliance services (assessment and optimization) and IT Advisory best practices

ACHIEVEMENTS: Automating and bringing efficiencies to the overall audit and compliance practices

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Governance & Compliance – Technology to Enable?

Governance, risk, and compliance (GRC) is the combination of people, processes, and products involved in establishing and executing business goals, while mitigating risk and proving compliance with regulations.



Opportunities to leverage technology. Only 69% of CCOs say their organization leverages technology to support its compliance initiatives, while less than half—just 47%—say they use data analytics and other technology processes to conduct root cause and trending analysis.

KPMG's 2017 CCO Survey results



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Background – Setting the Stage



The combination of a small team and a large company size led Nissan to look to a flexible technology solution with integration with the CMDB, to address key challenges in effectively and efficiently managing its IT compliance including:

Compliance Tracking

- JSOX regulations required a lot of manual effort to track with current toolsets of spreadsheets and a SharePoint repository.
- These highly manual solutions did not provide consistently monitored workflows or Audit/IS/Business interactions.

Audit Request Mgmt.

- A need for a centralized and consistent capability for the collection of audit requests for both internal and external audit.
- No consistent process for audit questions or required pre-work prior to execution of control

Reporting & Issue Escalation

- Reactive issue alert and escalation with little automation in place
- Very time consuming reporting activity requiring pulling data from different sources and manually manipulating

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Project Approach – The Approach that Drove Our Success

One Team Model

A integrated team of functional and technical specialists from KPMG and Nissan that brought the needed mix of skillsets.

KPMG ServiceNow Team

KPMG GRC Functional Team

Nissan Team

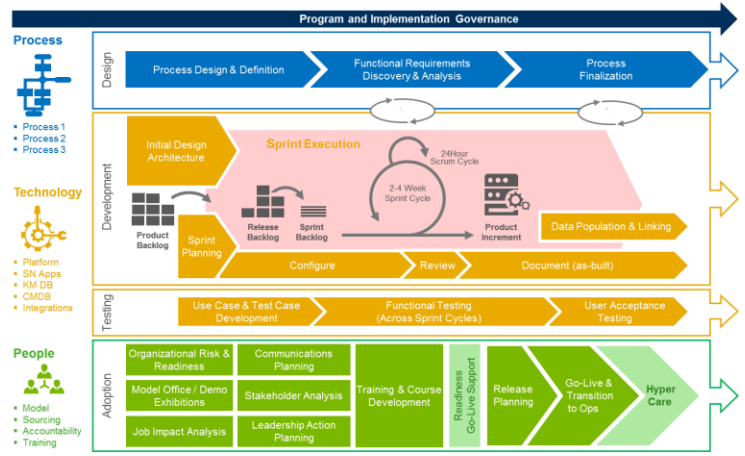
Targeted Vision Workshops

Conducted workshops for each GRC application domain to define the vision and build out the “Must” and “Should” haves needed for success in the project

- Policy and Compliance Management
- Audit Management
- Risk Management

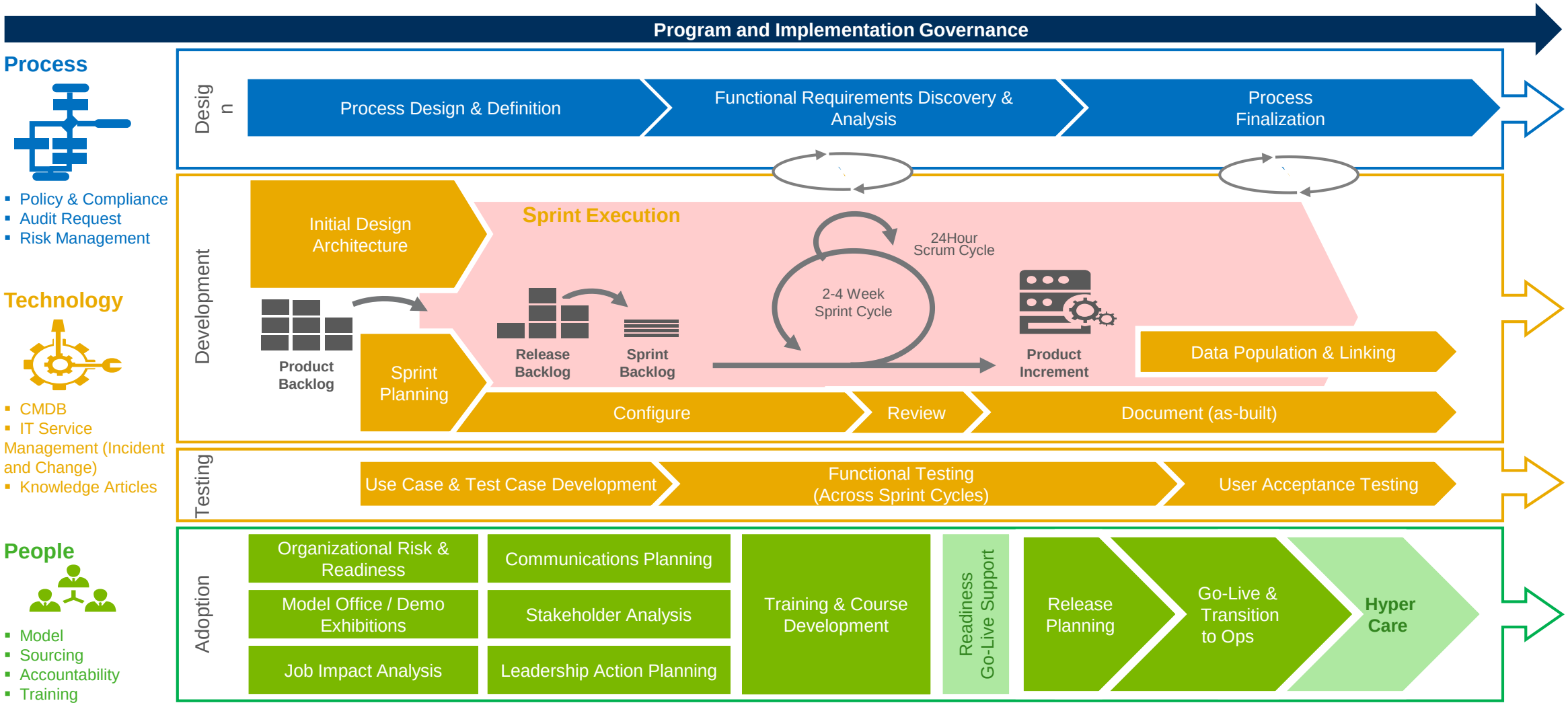
ServiceNow GRC Capability Development & Delivery

An end to end development lifecycle focused on process design first and iterative configuration to drive engagement and post delivery ownership



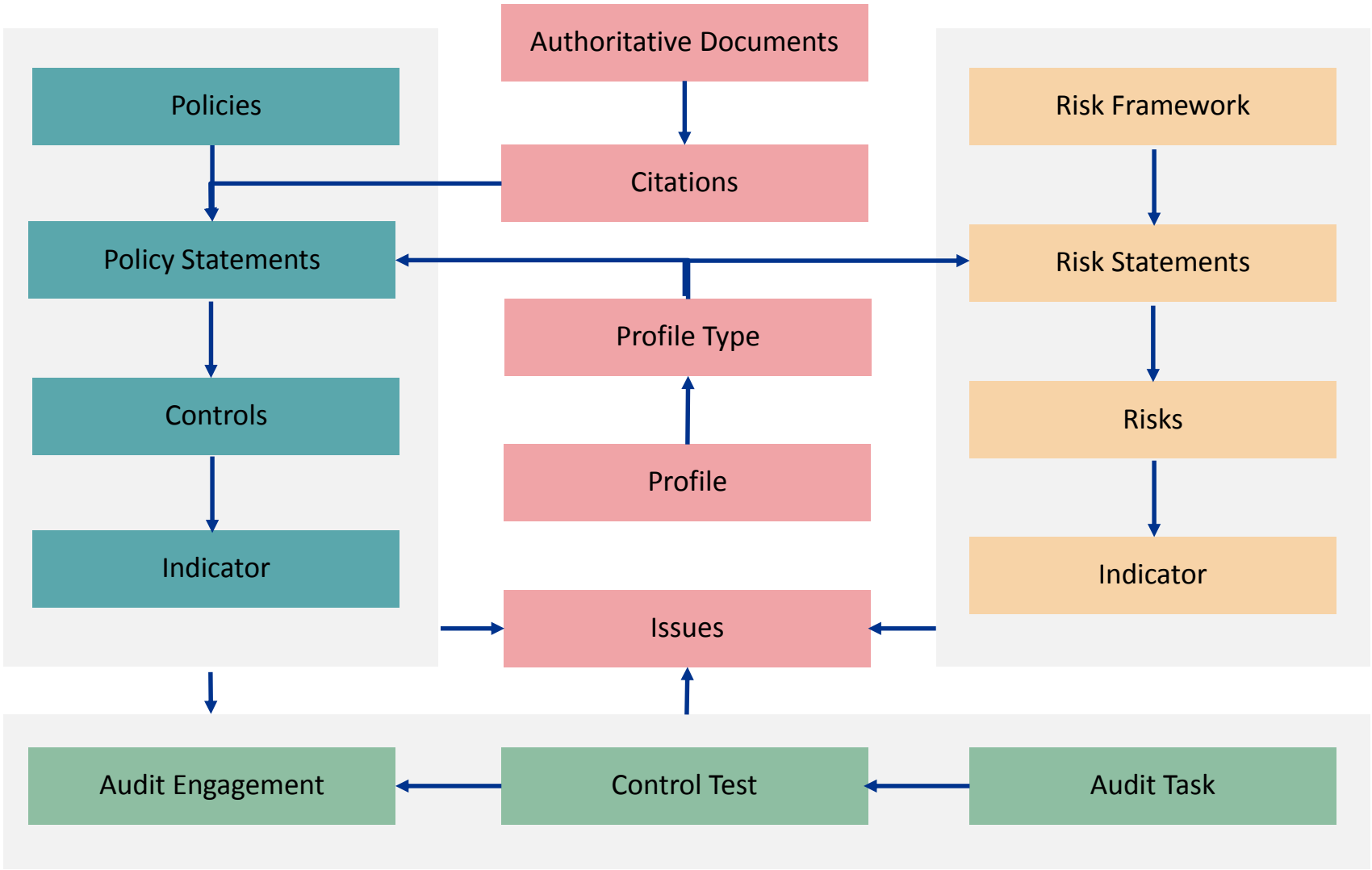
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Capability Development & Delivery



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ServiceNow GRC Structure









GRC Architecture

Policy and Compliance Application

Risk Application

Audit Application

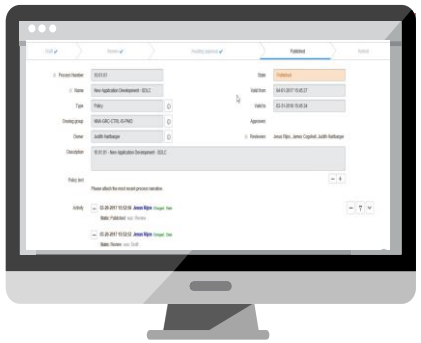
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Business Capabilities Enabled and Value Realized

PROCESS AREA	BEFORE GRC	AFTER GRC	VALUE IMPACT
Policy Management	• Manual process for updating policies	• Workflow around annual validation of policies	• Automated notification around updating policy
Control Validation	• Frequent emails to control owners of various cadence	• Automated tasks with follow-up via workflow	• Decreased time spent tracking audit requests, compliance and issues
Issue Management	• Managed in an excel and distributed via email	• Managed within a centralized repository and validation of remediation through workflow	• Increased visibility around issues and timeliness of responses through reporting and targeted notifications
Control owner responsiveness	• Constant Email follow-ups	• Automated notifications	• Decreased time spent following up with control owners

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Business Capabilities – Policy Workflow



Draft ✓ | Review ✓ | Awaiting approval ✓ | Published | Retired

* Process Number	10.01.01	State	Published
* Name	New Application Development - SDLC	Valid from	04-01-2017 15:45:27
Type	Policy	Valid to	03-31-2018 15:45:34
Owning group	NNA-GRC-CTRL-IS-PMO	Approvers	
Owner	Judith Hartbarger	* Reviewers	Jesus Rijos, James Cogshell, Judith Hartbarger
Description	10.01.01 - New Application Development - SDLC		

Policy text

Please attach the most recent process narrative.

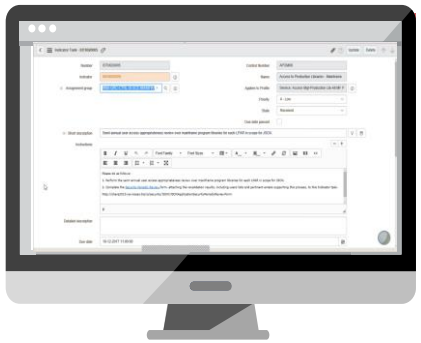
Activity

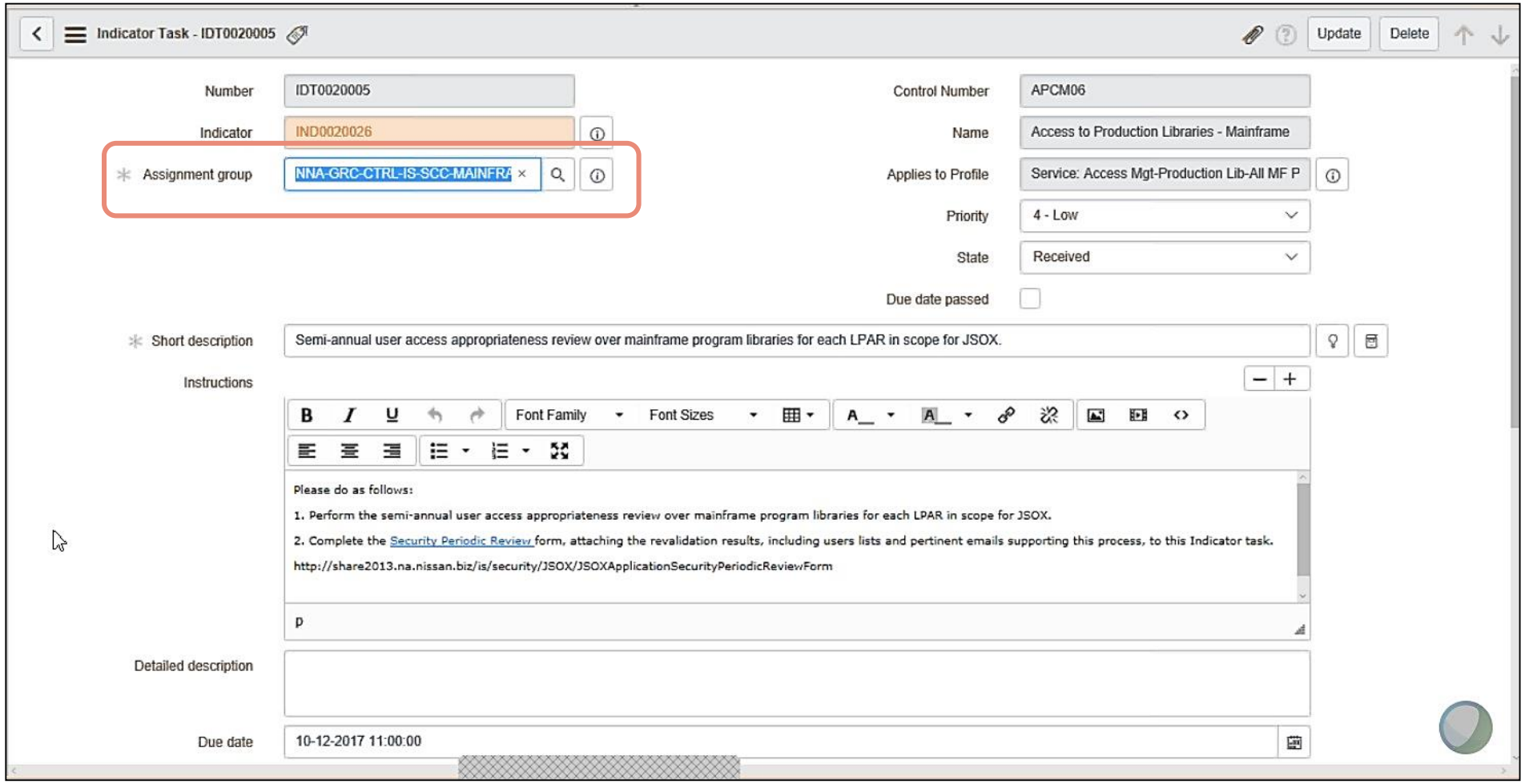
03-20-2017 15:52:56 **Jesus Rijos** Changed: State
State: Published was: Review

03-20-2017 15:52:52 **Jesus Rijos** Changed: State
State: Review was: Draft

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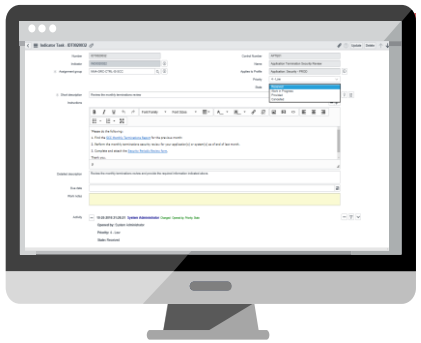
Business Capabilities – Assignment Group

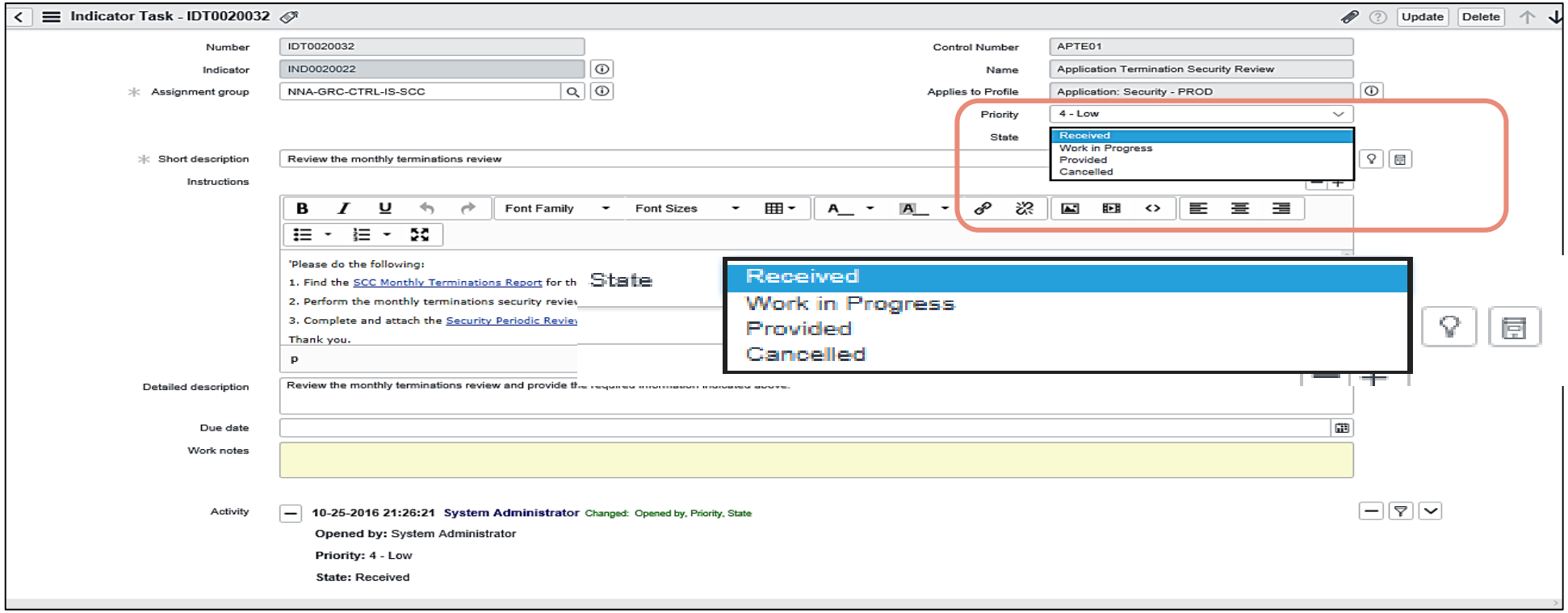




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Business Capabilities – Indicator Workflow

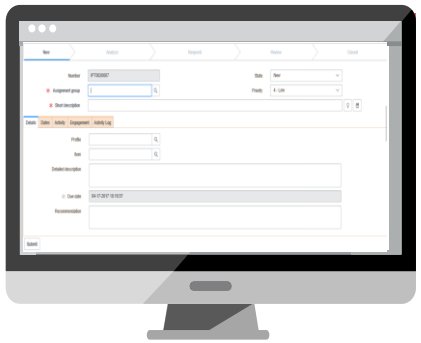


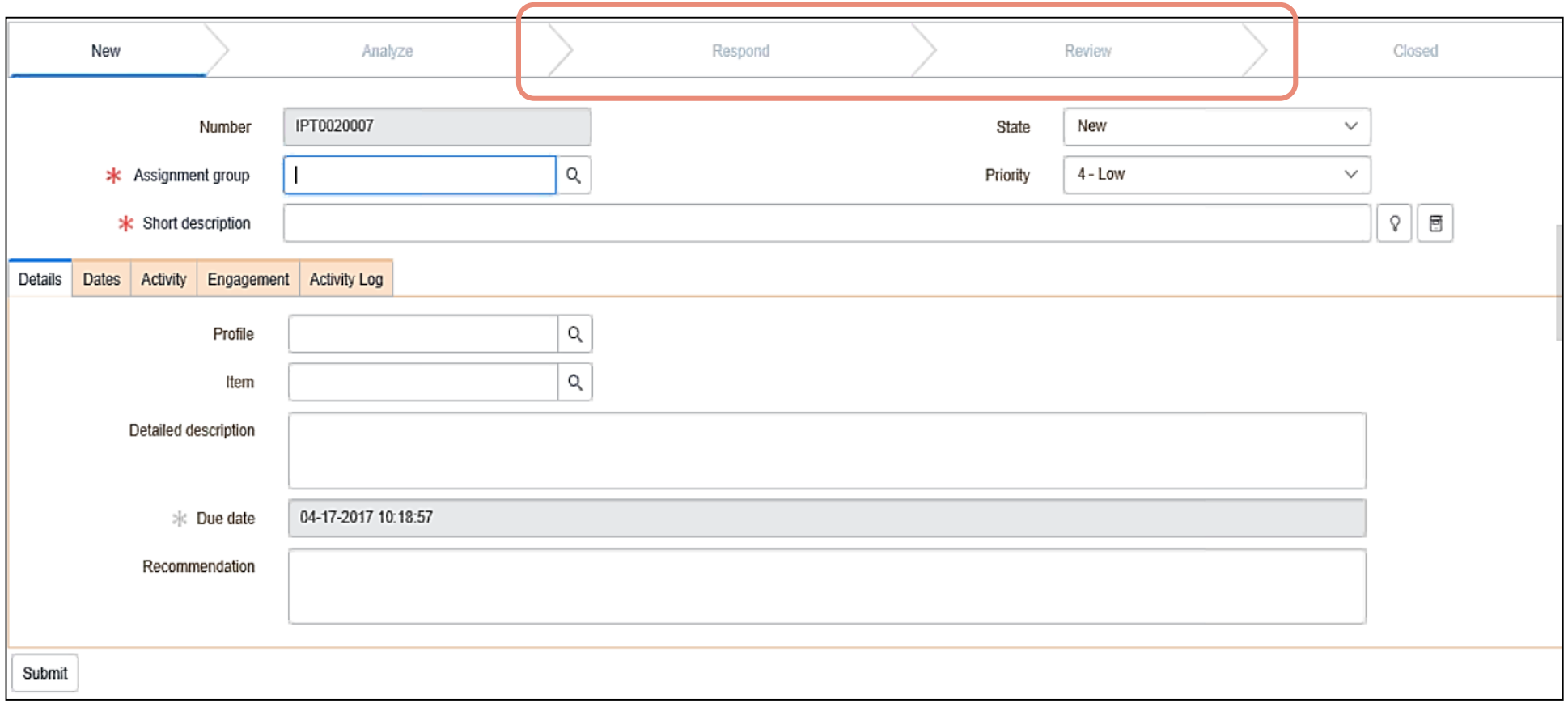


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Business Capabilities – Audit Request Workflow

Audit Management





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Business Capabilities Enabled and Value Realized



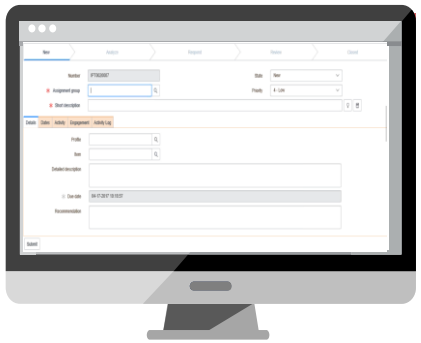
Audit Management

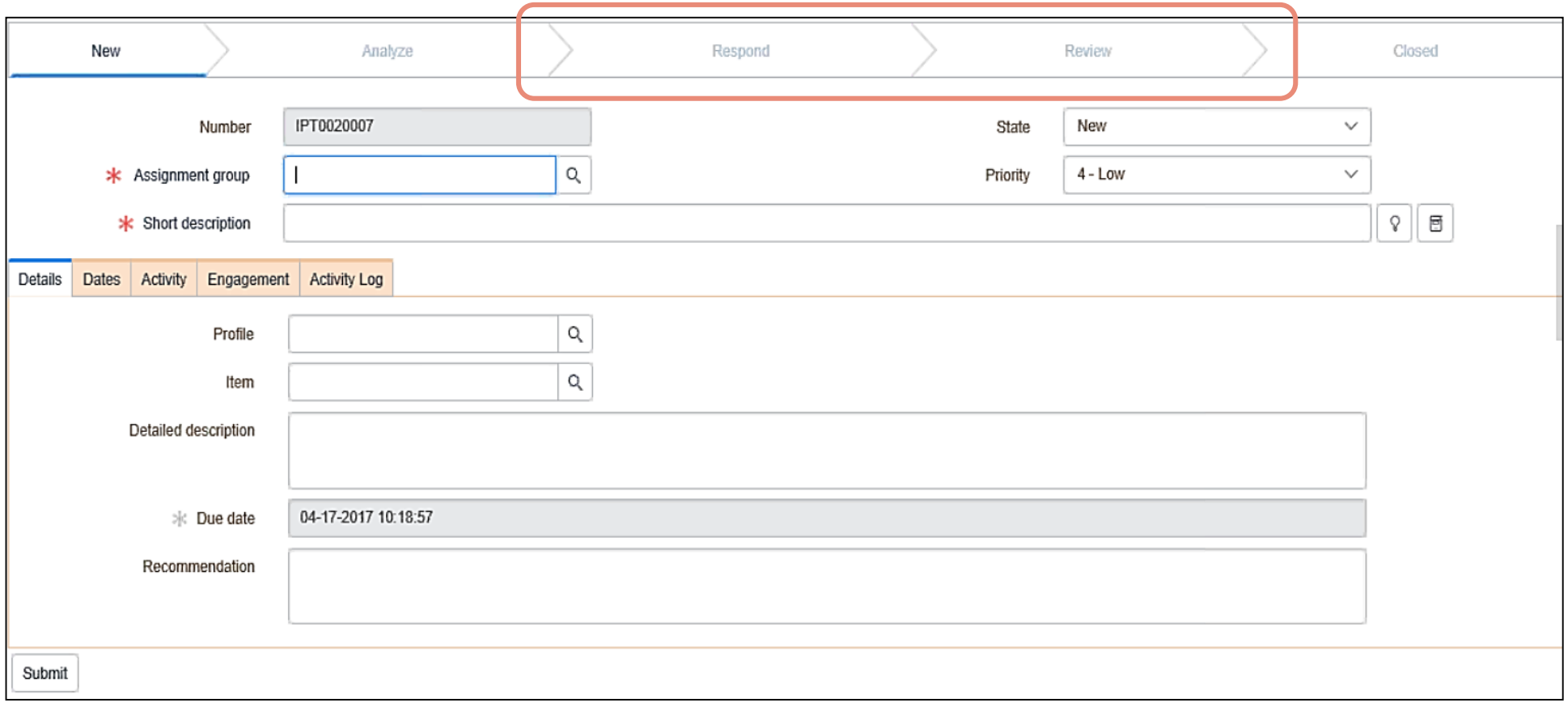
PROCESS AREA	BEFORE GRC	AFTER GRC	VALUE IMPACT
Audit History	• SharePoint for compliance	• Centralized Repository	• Evidence is all accessible with reporting on audit trends
Audit Requests	• Manual process for obtaining	• Automatically receives results of compliance testing	• Decreased time spent requesting evidence and testing results
Infrastructure Meta Data	• Manual Spreadsheets	• CMDB	• One source of truth which can be leveraged across the organization
Reporting	• Manual trackers and dashboards	• Real-time Performance Analytics Dashboards	• Increased visibility to overall compliance

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Business Capabilities – Audit Request Workflow

Audit Management





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Top Takeaways

1

Bring a holistic team that includes both functional and technical skillsets

2

Define a vision and drive process standardization first and then automate

3

Have a “lean” mentality to focus on enabling capabilities and not boiling the ocean

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Thank You

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Chris Mcgee
Managing Director
KPMG LLP

Angie Leggett
Manager
KPMG LLP

Judi Hartbarger
Senior IS Manager
Nissan North America

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