



A discussion on Intelligent Automation Governance, Risk & Controls



Your Presenters



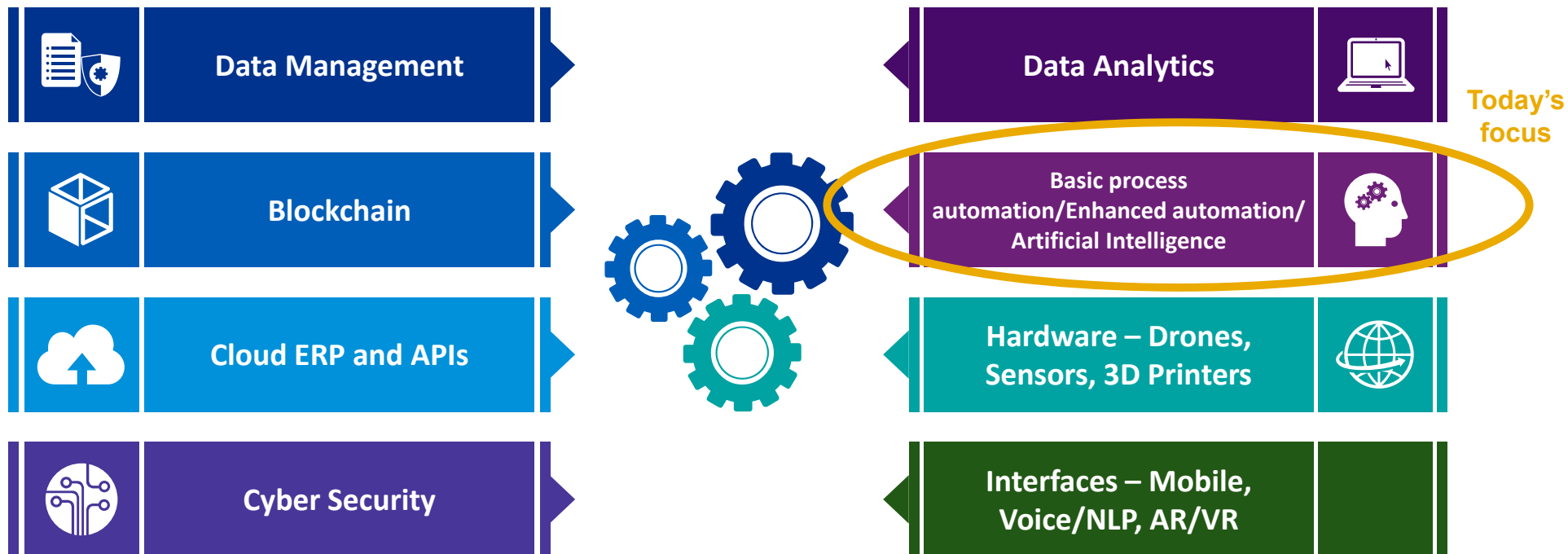
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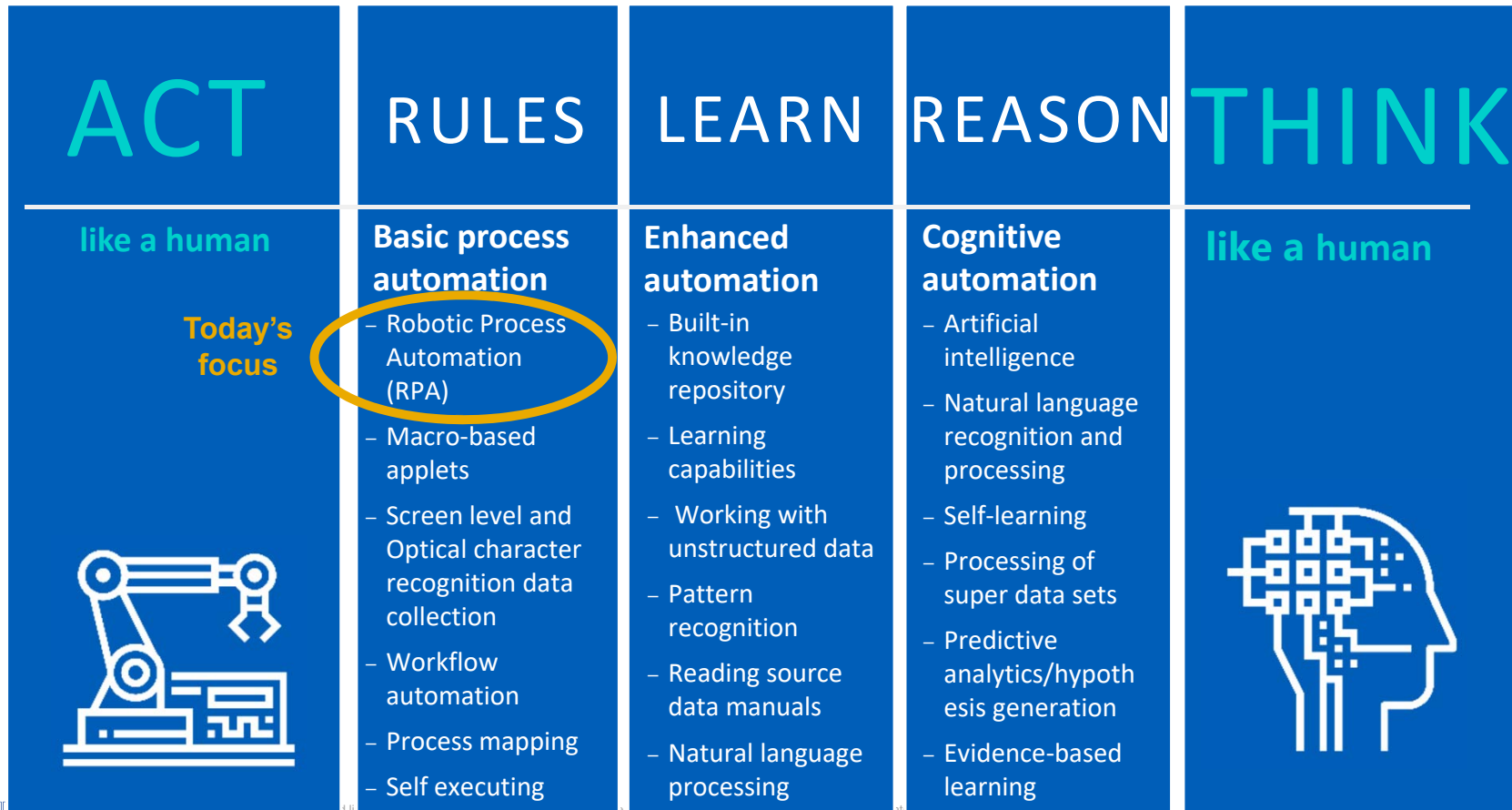
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The pace of change precludes an after-the-fact risk assessment






These eight technology classes are evolving at such a rapid rate that providers will be hard-pressed to keep up if they do not engage early to embed a governance mindset in the implementation.



Understanding the spectrum of Intelligent Automation

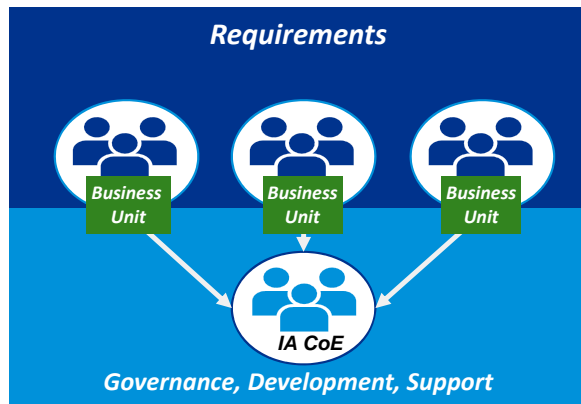


What are the enterprise benefits of Intelligent Automation?

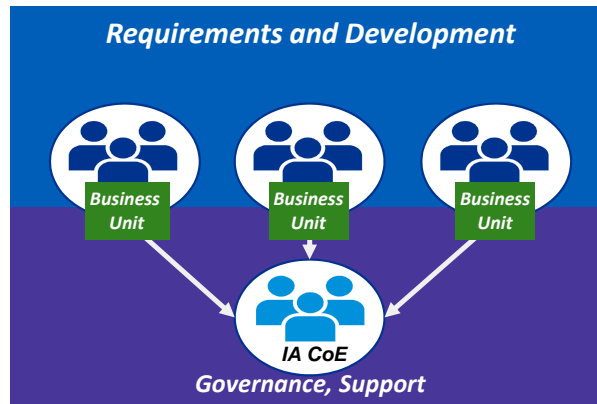
Privacy and compliance 	Quality and accuracy 	Process improvement & efficiency 	Speed 	Cost reduction 
<ul style="list-style-type: none"> — Limits human exposure to sensitive data — Reduce human error — Increase security and governance tasks 	<ul style="list-style-type: none"> — Reduce quality issues — Deploy new “no- labor” data integrity routines — Reduce the need for re-work 	<ul style="list-style-type: none"> — Leverage digitized process data to increase visibility — Enable resources to focus on higher value-added activities — Lower the cost and risk associated with employee 	<ul style="list-style-type: none"> — Performs tasks 365 days a year at 24/7 — Accelerate completion rates — Rapidly scale up or down for changes in transaction volumes 	<ul style="list-style-type: none"> — Enables opportunity to better manage labor costs — Decouples correlation between labor and revenue growth — Reduce need for seasonal labor force

Example governance and delivery model options deployed by management

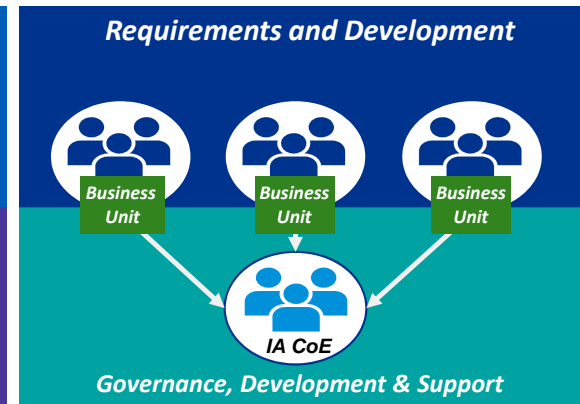
Centralized model



Federated model



Blended model



Considerations

- + Accelerated early adoption
- + Automation decisions aligned with strategy, vision and mission
- + Consolidated reporting, analytics and ROI
- + Shorter training cycle
- Slow identification of opportunities
- Slow decision making
- Bottlenecks in prioritization of opportunities

- + Faster identification of opportunities
- + Faster bot build, test and deployment
- + High functional (business) expertise to aid understanding of “As-is” and “To-be” processes
- Potentially disjointed governance
- Automation decisions may not always align to strategy, vision and mission
- Less holistic reporting and analytics
- Higher cost of operations
- Longer training and development cycles

- + Faster identification of opportunities and decision making
- + Accelerated early IA adoption
- + Faster bot build, test and deployment
- + High functional expertise to aid understanding of “As-is” and “To-be” processes
- + Reporting initiated at functional level and aggregated at the enterprise level
- Reporting structure for developers requires strong leadership and incentives
- Challenging governance and communication

Key success factors for delivery of RPA programs



Invest in new skills & ways of working

Build new skills and capabilities such as solution architects, data scientists and technology vendor managers. Reskilling and human augmentation is key.



Ensure clear sponsorship & accountability

Ensure that clear leadership is in place. Senior leadership commitment and sponsorship engrained in culture and organization to actively orchestrate change.



Pilot & then scale

Test out tools and solutions prior to roll-out with a focus on self-funding through tangible benefits. Avoid getting stuck in Proofs of Concept.



Create a Center of Excellence (COE)

Progressively build out a COE along with clear governance and roles across the business units, functions and IT and enabling processes and tools.



Think end-to-end

Develop a portfolio of applications across end-to-end processes inclusive of a range of Intelligent Automation classes and other applications.



Reconfigure your operating model

Examine all aspects of your operating model inclusive of your outsourcing contracts and service locations.



Rethink data

Examine your data management strategy not only for basic automation, but to pave the way for more cognitive solutions.



Actively orchestrate change

Deploy a full range of change leadership strategies and actions with a particular focus on wide spread participation for basic automation.

Example automation capability framework for the delivery of RPA

The framework defines the processes/functions required for a sustainable automation capability at an enterprise level



RPA delivery should also consider organizational and people impacts

Organizations must proactively address the impacts to their people and the overall organization in order to minimize business disruption and expedite the timing of benefits realization.



Unique characteristics of intelligent automation implementations

Speed of Implementation

Demands a Higher Purpose Conversation

Constant Change

Scale is not the issue, controlled and governed scale is

Risk in Strategy

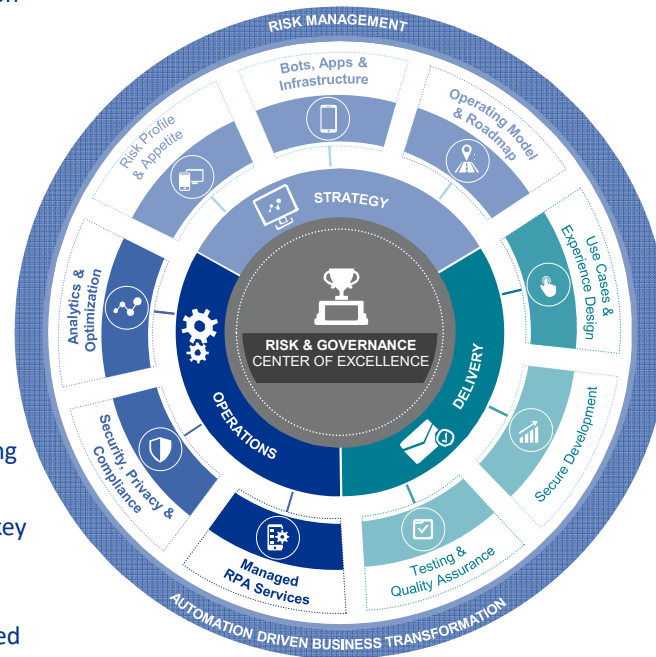
- Understand risk profile and tolerance based on organizational, functional, industry, and regulatory landscape and compliance requirements
- Evaluate overall solution, use cases, and roadmap strategy for alignment with risk profile/tolerance

Risks	Undefined ownership of program	Oversight of risk mitigation	Lack of cohesive program oversight
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Risk in Operations

- Establish key risk indicators (KRIS) for on-going operation of the program
- Manage changes and monitor for impact to key controls and compliance
- Perform continuous monitoring of risk and controls and optimize based on insights gained

Risks	Lack of automated alerting tools	Lack of templates and enablers	Ensuring bot does what is intended
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Risk in Delivery

- Enable risk management in the delivery of solutions through deployment of training, toolkits, and templates to effectively identify, evaluate, and mitigate risk.
- Identify and integrate risk and controls early in the solution development lifecycle.
- Develop and test/QA bots to ensure controls are designed effectively and operate as intended

Varying skill levels of developers	Segregation of Duties conflicts	Design and enforcement of bot ID accountability	Risks
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Center of Excellence / Governance Construct

- Develop and deploy RPA policies, procedures, and guidelines
- Provide risk oversight and direction on risk identification, evaluation, mitigation, and, in some cases, risk acceptance.
- Monitor KRIs and audit reports for all high-impact risks

Lack of policies and procedures	No defined KRIs and KPIs	Monitoring of effectiveness not performed	Risks
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Common bot-specific risks associated with RPA

Governance and strategy	Design	Configure and test	Deploy	Operate and optimize
<ul style="list-style-type: none"> — Incorrect process identified for automation — Inadequate bot oversight and governance setup — Insufficient staff skills and capabilities — RPA negatively impacting existing employees — Incorrect 3rd party selection — Non-compliance with regulatory requirements 	<ul style="list-style-type: none"> — Incorrect assignment of privileges to bot — Ineffective technology architecture — Inaccurate translation of requirements — Bot specific procedures not defined — Incorrect privacy risk and impact assessment — Lack of review of underlying logic/algorithm — Lack of automated alerting for errors or transactions dropped 	<ul style="list-style-type: none"> — Insufficient testing of bot — Testing of bots directly against production application — Lack of anomaly scenarios to test error resolution — Inadequate encryption mechanism — Insufficient load/regression testing — Lack of segregation between Dev, QA and production — New vulnerabilities might not be detected 	<ul style="list-style-type: none"> — Inadequate bot ownership — Inappropriate bot access permissions — Unauthorized deployment to prod — Bot developer having access to deploy into prod — Error due to incorrect integration with end application — Inadequate business segregation of duties — Inadequate system capability and load balancing — Not enough training for end users 	<ul style="list-style-type: none"> — Inadequate activity monitoring — Over-reliance on tool — Changes to source application breaks bot processing — Logging and monitoring not enabled — Inadequate incident management — Inadequate technology resilience planning

Fireside Chat



Guest speaker:
Greg Page, VP Audit & Compliance
– Tribune Publishing



What's next? Key Takeaways

- **Consider where your organization is today on your automation journey and your risk appetite**
- **Consider the program, process, and platform related risk and governance considerations**
- **Ask yourself how the unique risks associated with automation are being addressed through policies, procedures, controls and establishment of new processes**
- **Evaluate where the automation journey is headed in the next year, how the organization is considering adding enhanced automation in the future and how to balance the risk versus benefits while scaling**



Appendix



Additional governance considerations and tips for success

Involve IT Early and Integrate Stakeholders

- Early engagement of IT facilitates the integration of these solutions within existing technology estate, include complex security protocols
- Bridge gap between stakeholder teams via daily calls and touchpoints

Develop Roadmap Consistent to Vision

- Develop a consistent approach that enables everyone to understand the vision and roadmap
- Ensure that RPA is a strategic objective on IT's roadmap

Understand Stakeholder Concerns

- Understand, document and remediate stakeholder concerns and hesitations to project success
- Provide guided demo of automation to receive automation to receive stakeholder information in real time

Prioritize Technology Setup

- Initiate IT activities such as licensing, infrastructure provisioning and security/access management as early as possible into the plan
- Develop an IT readiness checklist to identify key technology requirements for success

Focus on Wider Operating Model

- Think upfront about the right operating model required to maintain the robotics estate according to business needs of flexibility, responsiveness and scalability