

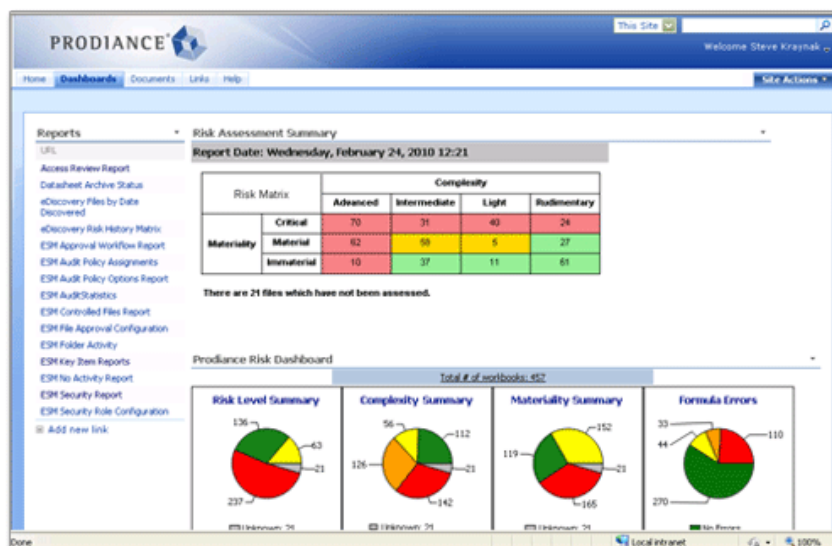
Audit & Control Manager

Automating the Spreadsheet and EUC Management Lifecycle

Key Features & Benefits

- Provides sustainable audit and control over mission critical spreadsheets and Access databases in an integrated platform.
- Automates all key spreadsheet controls recommended by auditors: version control, access control, cell level auditing, change control, data integrity, documentation, segregation of duties, and reporting.
- Powerful rules engine to drive risk assessment, alerts, policy checks, and preventative controls.
- Supports Microsoft Office Excel and Access 2007, 2010 and all prior versions.
- Comprehensive workflow and tight integration with Microsoft Office SharePoint Services and SharePoint Server 2007.
- Increases transparency and data integrity over end-user computing applications.
- Drives proven ROI through improved compliance, effective risk mitigation, fraud prevention, improved audit efficiency, and process improvement.
- Enterprise class scalability to support both departmental installations and global enterprises spanning thousands of users and EUCs.

Organizations using uncontrolled spreadsheets, Access databases, and other end-user computing (EUC) applications in critical business processes are exposed to significant operational risk and non-compliance with regulatory mandates (including SOX 404, NAIC Model Audit Rule, OCC, FSA, Solvency II, Basel II, and MiFID). Mission critical spreadsheets include those used in financial reporting, management reporting, closing the books, account reconciliations, revenue recognition, consolidation, tax cycle, risk and uncertainty analysis, cash flow analysis, actuarial processes, underwriting, trading operations and many others. Leading tax and audit firms recommend that organizations who rely heavily on mission critical spreadsheets and EUCs should establish effective internal controls to help mitigate the risk of errors, improve compliance and transparency, improve data integrity, increase audit efficiency, prevent fraud, and drive process improvements.



Prodiance Audit & Control Manager (ACM) is an enterprise risk management application for automating internal controls over mission critical spreadsheets, Access databases and EUCs. Prodiance ESM helps automate the EUC control environment through pervasive monitoring of changes, exception reporting and preventative controls. Prodiance ACM automates key controls including: cell level auditing, version control, change control, security, data integrity, segregation of duties, and reporting.

Non-invasive for End Users

Prodiance ACM is entirely web based, and requires no software or add-ins on user desktops for pervasive monitoring, exception reporting and lock down of EUCs. Prodiance ACM incorporates a web based architecture built with the latest enabling technologies available from Microsoft. There is absolutely no impact spreadsheet and EUC performance, and no change impact to existing business processes. This increases end user adoption, and minimizes training efforts. The system is IT friendly and designed with enterprise class scalability, from departmental installations to global deployments.

Satisfies Auditor Guidance

Prodiance ACM was designed in close partnership with leading tax and audit firms to satisfy mandates for SOX 404, the NAIC Model Audit Rule, OCC, FSA, Solvency II, Basel II, and MiFID. As such, the application supports all recommended controls including change control, access control, version control, input control, analytics, back-up and archival, documentation, security and data integrity, and segregation of duties. The result is that your mission critical spreadsheets, Access databases and EUCs are managed with the highest level of integrity and trust throughout their lifecycle.

How it Works

Prodiance ACM remotely monitors changes to spreadsheets, Access databases and EUCs, providing a comprehensive, cell level audit trail. These files can be located on corporate file shares or in a document repository (e.g. SharePoint). A cell level audit trail of changes is captured in a relational database, providing a basis for change control, versioning,

policy checks, and workflow. As spreadsheets and other EUCs are updated by end users, Prodiance ACM re-evaluates risk per corporate policies and proactively alerts spreadsheet and EUC owners when errors, high risk and policy violations are introduced. Prodiance ACM also incorporates enterprise class workflow management to automate review and approval processes such as change requests, EUC certification or periodic attestations to satisfy corporate governance mandates.

3 Levels of Control

Prodiance ACM is the only solution that delivers 3 levels of audit and control, including:

- Pervasive monitoring of all changes at the cell level,
- Exception based reporting (e.g. changes requiring approval, suspicious or unauthorized changes), and
- Preventative controls to prevent users from making changes that do not meet corporate policies.

Dashboards & Management Reporting

Prodiance ACM incorporates a web based portal with a robust reporting framework to help organizations track the control status of critical spreadsheets and EUCs from end to end. An extensive library of reports is provided along with graphical dashboards with drill down capability. Users and managers can view the status of critical EUCs at the enterprise level, and quickly drill down into cell level details.

Prodiance ACM Delivers Proven ROI

By deploying Prodiance ACM, organizations can establish effective and sustainable controls over mission critical spreadsheets, Access databases and other EUCs. Business benefits include shortening review and approval cycles, improving compliance, improving data integrity, effectively mitigating operational risk, reducing material errors, improving audit efficiency, reducing audit fees, and preventing fraud.

For more information on Prodiance ACM or to schedule a personalized demonstration, contact Prodiance or visit us online today!



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