

“Our unique end-to-end service delivery model provides our clients with continuity of service and single point accountability for delivering results”

Mitchell Morley, Director

#### Risk Management

- ERM Quick Start
- Risk Management Health Check
- Risk Assist
- Risk Enhance
- Major Project Risk Management
- Workplace Health & Safety
- Risk Management Training

#### Business Continuity Management

- Business Continuity NOW!
- Business Continuity Health Check
- Business Continuity Exercising
- Business Continuity Awareness Training

#### Internal Audit & Assurance

- Internal Audit
- Strategic Internal Audit Planning
- Process Mapping
- Probity Support
- Governance Health Check
- Fundamentals of Governance Training

#### Fraud & Corruption Prevention

- Fraud Wise
- Fraud & Corruption Health Check
- Conduct Investigations
- Forensic Accounting
- Fraud & Corruption Awareness Training

#### Training

- Risk Appetite in Practice
- Fundamentals of Governance
- APRA Prudential Framework
- Access to Information/GIPA
- Privacy Management
- Creative Thinking
- Ethical Behaviour (Code of Conduct)

#### GuardianERM.net

- Risk Management
- Audit
- Incident Management
- Compliance
- Business Continuity
- Workplace Health & Safety



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## GuardianERM.net

When business managers and the risk management, compliance and audit functions operate in their own silos, executive management and boards are prevented from understanding how well risks are being managed. This silo approach to managing risk can be expensive, inefficient, ineffective and result in risk blindness.

What if you could take the risk, compliance and audit activities, identify common integration points and provide a platform for them all to work together?

GuardianERM.net is designed to integrate, automate and streamline important management activities that support sound corporate governance into one, easy-to-use, web-based system.

### Modules & Features

**Risk Management:** GuardianERM.net empowers risk managers and every business manager across all business units to identify, record, assess, quantify, control, manage and monitor their risks. Whether it is a strategic, tactical, financial, environmental, regulatory, project, WHS or operational risk, GuardianERM.net helps ensure consistent application and delivery of risk management information and processes across the entire organisation.

**Business Continuity Management:** Some risks could impact the long-term survival of an organisation. GuardianERM.net allows business managers to document their business continuity risks and response strategies on a risk-by-risk basis. This feature is perfect for crisis management, business continuity and disaster recovery.

**Compliance Management:** Non-compliance with legal requirements is a major risk. GuardianERM.net allows organisations to set-up a range of compliance programs, notes and reminders to support compliance with various regulatory requirements.

Through GuardianERM.net, InConsult is changing the way organisations approach Enterprise-wide Risk Management (ERM), breaking down the silos and closing the gap between the 'theory' and 'practice' of risk management, business continuity, audit, compliance, issues management and incident management.

GuardianERM.net has a number of integrated modules and features that work together to align key activities, allow collaboration of key groups and improve the transparency of risk management information across the entire organisation – no matter how large or small.

**Audit & Assurance:** GuardianERM.net has a comprehensive audit module that enables true risk-based auditing. After business managers have identified their risks and controls, auditors can use this information to develop audit programs to test the existence and effectiveness of controls.

**Incident & Issue Management:** Incidents are lead indicators to potentially larger risks. GuardianERM.net allows business managers to record all issues and actual incidents, conduct a root cause analysis, develop treatment plans and link incidents to areas to improve the quality of future risk assessments.

**Reporting & Analysis:** Information is always at your fingertips. From interactive multidimensional risk heat maps to risk profiles. GuardianERM.net has over 40 standard reports and the ability for users to write their own reports.

#### Other Features:

- Configure Guardian to your organisational needs;
- Attach, view and share documents;
- Set up automatic email alerts and reminders to help get things done.

### Who will use GuardianERM.net?

**Board & Executive Management:** Real-time access to tangible risk, control, audit, compliance and incident data to support sound corporate governance. Supports periodic attestations from the Board and senior management to stakeholders and regulators. Proactive monitoring of 'top 10' risks, strategic risks and/or emerging risks.

**Risk Owners:** Business managers, risk owners and risk champions can update, edit and view their risk profiles, complete self-assessments and control checklists and records incidents & issues.

**Risk Managers:** Plan, track and monitor the progress of a range of risk management initiatives – management plan, projects, infrastructure, events etc. Profile risks by area or risk category, conduct likelihood and impact analysis and monitor residual risk to ensure it remains within risk appetite.

**Auditors:** Perform risk-based internal audit tests, compliance audits and control questionnaires. Work papers to test controls also allow sample testing. All work papers and audit reports are retained in GuardianERM.net.

**Insurance Specialists:** Review insurable risks, record incidents and report on insurance controls.

**Actuaries:** Review the organisations risks, controls, and incidents to help assess the risk management framework as part of the Financial Condition Report.

**Quality Managers:** Monitor and audit quality control standards and maintain a comprehensive risk register.

**IT Specialists:** Evaluate IT specific risks and controls. Document and manage IT related disaster recovery and continuity plans.

**Project Managers:** Evaluate and track project management specific risks to reduce the threat of leakage, cost overruns and delays. Record project related incidents and issues.

### Delivery Options

**Web-based:** GuardianERM.net is available on demand on the cloud. All you need is a web browser on your computer or device and you are ready to start using GuardianERM.net.

Users logon to GuardianERM.net via a web browser to access GuardianERM.net database via a Secure SSL access.



Web-based delivery benefits include:

- No additional hardware to purchase;
- No additional hardware to maintain;
- No additional software to buy or upgrade;
- Change user licensing;
- No hidden cost.

**Licensing:** Licenses for users and modules can be purchased individually or as a complete package. Whether you are a large government department or corporation, or a small to medium enterprise, GuardianERM.net can be deployed to suit all manner of sizes and budgets.

**Self-Hosted:** GuardianERM.net can also be hosted by your organisation.



## Security & Disaster Recovery

We understand that data security and access is imperative. Whilst all web-based systems have inherent risks, InConsult has developed a range of control and recovery measures to ensure confidentiality, integrity and availability of information.

**Data Centre:** The GuardianERM.net production servers are managed within the Fujitsu Data Centre in Sydney. This world-class data centre features:

- Data lines that are amongst the fastest in Australia;
- Redundant internet connections with automatic failover;
- A fully-integrated building management system for smoke, fire and water detection, plus electrical/air conditioning performance;
- Separate transformers and mains switchboards;
- Backup generators;
- UPS systems with battery backup;
- Multiple power management modules;
- High-capacity diesel fuel tanks;
- Multiple air-conditioning units;
- InConsult has written contracts in place with our IT service providers covering security, support levels and guaranteed availability of 99.9% up time.

**Physical Security:** Our data centre utilises a range of security controls. Physical access is controlled by proximity card reader, with established procedures to prevent unauthorised entry. Complete internal and external CCTV coverage 24x7 and guards are on duty at all times.

**Application Security:** All user logins are encrypted (user name and password). GuardianERM.net uses a public SSL certificate that is trusted by Microsoft Internet Explorer.

**Backup:** Images of the servers are performed daily at the data centre. In addition, all databases are backed up remotely and stored offsite.

A backup server is maintained at InConsult's office in Sydney and the system can be restored within 24 hours in case of a catastrophic failure at the data centre.

**Disaster Recovery:** InConsult has a business continuity plan that covers all services including the GuardianERM.net system. The plan is reviewed annually and updated as required.

Component tests of the various disruption scenarios are tested periodically.

InConsult also obtains written assurances from our IT service providers.

To date, there has been no loss of data, no security breaches and no service interruptions reported.

**Application Change Management:** Access to GuardianERM.net is restricted to the InConsult development team for updates, enhancements and maintenance.

Release notes are communicated to all user representatives prior to and after the release of a new version.

*"Guardian has been instrumental in embedding an integrated risk management and compliance framework. Guardian was very easy to implement with little training required. The service and support by InConsult is outstanding." – Annemie Pelletier, Risk & Compliance Manager, Enstar*

## Key Benefits

GuardianERM.net helps improve the organisations risk management framework and risk management culture.

**Real-Time Visibility:** Executive management and boards can see the current state of risk management, audit, compliance and incident management activities.

**Breakdown Silos:** Enhance collaboration between business managers, risk, audit and compliance teams.

**Improve Efficiency:** Shift focus away from time consuming, low value and mundane administrative tasks (such as maintaining spreadsheets, templates and reports) to risk analysis and assurance.

**Enhance Accountability:** GuardianERM.net keeps track and audit trails of all key user activities.

**Alignment with Best Practice:** GuardianERM.net helps support best practice standards such as AS/NZS ISO 31000, COSO and various audit methodologies.

**Scalable:** From starting your risk management journey to more advanced organisations, GuardianERM.net supports organisations at different stages of risk management maturity.

**User Friendly:** Users will find GuardianERM.net easy to learn and simple to use. It has, user-friendly features such as colour coded text and context sensitive help to enhance the user experience.



## The InConsult Difference

GuardianERM.net is designed, developed and delivered by InConsult...not a 'software house'.

InConsult has extensive and practical hands-on experience in risk management, business continuity, audit, compliance and incident management in addition to well-developed software systems development capabilities.

We are repeatedly told that what sets us apart is our quick response to our customers' needs. We go the extra mile to ensure success in everything we do.

## Would you like a demo?

Email us at [info@inconsult.com.au](mailto:info@inconsult.com.au) or contact us on 02 9241 1344 for more information or to book a demonstration.