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Overview

What is ACL™ GRC?

ACL GRC is a cloud-based governance, risk and compliance management (GRC) solution that simplifies your GRC processes with three integrated capabilities: risk management, project management and results management. ACL GRC provides teams with the ability to manage enterprise risks; plan, conduct, review and archive projects; and track status and findings automatically from fieldwork. Audit, risk and compliance teams can expect huge productivity gains, while executives and other business stakeholders gain peace of mind.

Cloud-based Solutions

What are the advantages of a cloud-based GRC solution?

The benefits of using a cloud-based solution are:

- Users can access ACL GRC from their desk, the field or even mobile devices.
- Costs are better controlled and converted from capital project to operating expense.
- Eliminates the heavy up-front technology costs that on-premise or complex systems impose.
- No hardware and software to install and maintain – your system is automatically upgraded each release.
- Zero dependence on IT with no firewall, VPN or other technical network issues.
- Quick setup of new users, easily managed directly by the audit or compliance team.

Can ACL GRC be hosted on our company servers?

ACL GRC is only available as a cloud-hosted solution at this time. No option currently exists to host within customers' own data centers.

ACL takes away the cost and complexity of buying, implementing and managing the infrastructure needed to host on-premise software. This model allows a number of advantages:

- Lower total cost of ownership
- No dependence on IT resources and no in-house IT service costs
- New features released frequently that are seamless and cost less to the customer
- Quicker innovation than with on-premise applications

Is a SSAE 16 (SOC 1) audit report available for ACL GRC?

A SSAE 16 audit report has been prepared by Ernst & Young for the current year, covering Jan. 1- Sept. 30, 2012. The report will be provided upon request.

Does ACL GRC work offline?

Currently you must have an internet connection to perform your work. An offline client is expected to be available in Fall 2013. The offline client is designed to work without an internet connection.

ACL GRC also has a free app for iOS available for download on iTunes. The app supports both project management and execution of fieldwork, including the uploading of photos/video/audio over a wireless or mobile data connection. The iPhone and iPad can provide "on-the-go" functionality in many situations where the user does not have access to an internet connection.

Where will my data be stored?

ACL GRC data is stored on servers located in the Eastern United States (for US and international customers), Ireland (for European customers) and Canada (for Canadian customers) During 2013 ACL intends to add servers located in Singapore and Brazil. Beyond that, market demand will determine what other regions will host ACL GRC data.

Can we purchase ACL GRC on its own, or are we required to have ACL™ Analytics?

Although ACL GRC can be integrated with ACL data analytics technology to enable data-driven GRC, ACL GRC is a standalone solution — the risk management and project management components do not need other ACL products for use. ACL GRC results management does require ACL Analytics 10 or ACL™ Analytics Exchange version 4.02 to process and upload analytic results.

Project Management

How does ACL GRC enhance project management?

ACL GRC removes the cumbersome and complex aspects associated with most purpose-built and generic audit, risk and compliance management software. Users can easily organize projects, notify the right people and keep audits on track. For example, ACL GRC eliminates:

- Multiple versions of project documents that clutter your email inbox and waste time.
- Copying and pasting controls, testing, findings or other information between multiple spreadsheets.
- Inconsistent quality of work and standards across different team members.
- Tracking down team members for status updates.

Also included pre-built, one-click reports covering audit, risk control matrices, walkthroughs, test plans, testing results, detailed findings and status reports — all available in Adobe® Acrobat® PDF and Microsoft Office® Excel® formats. Additionally, the reporting of overall project progress is fully automated. With the progress of all projects now viewable on one screen, it's easy to determine whether projects are on schedule.

How can project management capabilities make audit, risk and compliance fieldwork more effective?

GRC activities are document and administration heavy; ACL GRC lightens the load. Here's how it helps:

- Provides a standardized workflow; ensuring consistency across the team.
- It's central so it saves time. No more emailing documents to team members and managers — the source is in one easy-to-find place for everyone to access.
- It eliminates manual reporting. Automatically rolls up time tracked, status and findings.
- Manages request lists. Track all requested items and send reminders via email to clients or business owners.
- Manages team collaboration. Review notes and comments between staff and reviewer, or between team members when multiple staff are assigned to work the same section or objective.

Is there a centralized location to store project content (e.g., a library) and create new projects?

Yes, a Library is included. Audit, risk and compliance programs that have been previously defined can be reused across any project in the system. You can clone an entire GRC project and modify any of its risks and controls, and you can clone an objective (section) within a project or between projects.

Does ACL GRC have the ability to provide access to external auditors (e.g., SOX 404 tests)?

Yes, ACL GRC has an out of the box role for external auditors. Their access is assigned by project in read-only format. Findings or issues have a published and unpublished state. The external auditor will only see published findings, which allows them to sign off completed work in an objective. In-progress work findings can be in an unpublished state, and therefore not visible until completed.

Does ACL have a process for importing legacy project data from other vendor's solutions?

Migration of data is available as an additional service. Due to the wide variety of formats and customized audit systems among our customers, each migration must be looked at individually. Usually a combination of automated import scripts and some manual entry is required to complete the migration.

Many customers prefer to do some of the migration manually, as it provides a training platform to onboard their team, as well as an opportunity to perform business process optimization. Often GRC teams follow the same programs for years without changes, and a new look at cost/value benefit can provide much needed efficiency gains.

How is the audit trail maintained?

Each project captures all system activity and is viewable on the project dashboard. The activity log is viewable in Excel when you backup and download your project.

Is there a place for review and sign-off on project work and findings?

Yes, there are two project types; each type has its own structure, milestones and workflow. Each milestone within each project type has a review and sign-off function. Sign-offs and reviews are tracked in a number of places within the system and iOS app, including the project dashboard, a project status screen, and status tracking across all projects. Sign-off and reviews can be performed at the section [objective] level, or the control level.

What is time tracking?

ACL GRC enables team members to track their time within a project, and that time is used at the system level for Status Tracking across all projects, to report on work progress as well as time against the budgeted project schedule. Time tracking does not currently track time for non-project activities, but that is planned in the future.

Is email notification (i.e., prompts or reminders to respond) a user-defined option?

Daily reminders are not part of the current system capability. Outstanding request items can be sent reminders.

Does the project include all project activities, including steps identified for pre-fieldwork and post-fieldwork?

For each project you create, the system provides the underlying structure but the customer creates the project content. Each project consists of sections that represent objectives, process areas or other relevant work packages. Each section is comprised of risks, and procedures (steps) or controls that are defined by you. For instance, in a Risk Control Matrix, you load your risks and controls, and those are replicated and synched in system-generated test plans.

If you use an ACL project template, both the risks and steps (procedures) are loaded for you, and you are free to modify as needed to suit your program. You can remove or add any content.

Once you have created an project section, it can be cloned within the current project or to other projects.

Once you have completed an project, you can archive it and clone the entire project for re-use (Rollforward), or you can build templates to use as a starting point for a project.

Can ACL GRC be used concurrently by multiple users?

Yes, multiple users can be adding or editing content within the same project. The application warns if two users are working in the same edit area at the same time.

Are custom fields available?

For Advantage customers, ACL is able to setup custom "project types" which allow the customer to define much of their own terminology and field options, and also based on that custom audit type any related pick list only field values on the respective finding detail screen.

Are there options for customized reporting?

Customer have several options for customized reporting. The Advantage plan has a sophisticated project issues and findings report that can be customized. Additional custom reporting is available to Advantage plan customers as a consulting service from ACL. Customers may use this service to prepare organization-specific project reports, dashboard reports, etc. It's worth noting that the high levels of company-specific customization available in other software can lead to very difficult upgrade paths for future versions, inconsistent software performance and stability issues. ACL GRC avoids these problems by implementing smart, flexible GRC community-based conventions, rather than requiring or encouraging extensive customization.

Is the content of the Risk Control Matrix (RCM) "locked" within an project?

When a project is active (open), any administrator/manager/auditor role can manage content (add/edit/delete). However, once an RCM is signed off by the preparer, it will be locked down and only authorized users (the administrator, manager or reviewer) can unlock it to make changes. Once a project is archived, the entire project is set to read-only status and cannot be edited, however system administrators have the ability to unlock projects, make changes and then re-archive.

When tasks are assigned and notified by email, is the response captured in ACL GRC or will it be received externally in the email?

When tasks are assigned to users within the application (for example tasks like Request items or To dos, which act as review notes or comments) the application will both email the user, as well as place the task in the system so it can be viewed by the requestor and the requestee.

Do you have to reattach a document after having made changes to the document?

Yes, currently attached files are stored on the server only. If you need to update the file, you need to download it, make changes and then re-upload.

Can you print from ACL GRC?

For many teams, traditional workpapers refers to the actual Microsoft Office® or other utility documents where your project work is executed and captured such as with Microsoft Office® Excel or Word®. ACL GRC provides system fields for you to execute and capture this work. Capturing as much content as possible within the system, rather than in attached documents is key to unlocking the productivity and efficiency gains possible with ACL GRC. Provided there is appropriate content in the system, your "workpapers" can be printed using the various system generated reports in Adobe PDF or Excel format and will not require further editing. Additionally, any of your attached files that are used as supporting documentation or evidence (which may also be referred to as workpapers by some project teams) can be downloaded and printed from ACL GRC.

Risk Management

How does ACL GRC help the risk assessment and management process?

ACL GRC provides a single, clear view of enterprise risks and mitigation activities, enabling leaders and risk managers to categorize and track risks by critical characteristics, organizational structure and mitigation approach. The system supports COSO, ISO 31000 and most risk assessment frameworks and can fit well with existing risk assessment processes. Strong and visual integration between the enterprise risk profile, audit and risk mitigation projects, project findings, test results and remediation activities provide the ability to quantify risk exposures, make informed decisions and "close the loop" to take action on issues.

Can ACL GRC fit in with our existing risk assessment methodology?

ACL GRC is designed to support most enterprise risk management (ERM) methodologies. Examples include the COSO and ISO 31000 frameworks, as well as in-house frameworks created in response to enterprise risk management initiatives.

Can I use ACL GRC to define our annual risk assessment and audit plan?

Yes. ACL GRC is designed to enable both continuous and cyclical risk management and mitigation planning cycles. For example, it's possible to:

- identify mitigation activities for all auditable risks
- associate the mitigation activities with planned projects
- and schedule and execute the project work over an annual cycle.

ACL GRC aggregates the current status of all project findings and issues relating to the achievement of business objectives. This enables both continuous and cyclical re-prioritization of mitigation activities and audit planning in response to changing business conditions.

Results Management

How does ACL GRC help our risk mitigation and remediation process?

ACL GRC helps teams to work with business stakeholders to "close the loop" between enterprise-level risks, mitigation plans and detailed data-driven compliance and control testing. ACL GRC provides timely review and remediation of test results and control exceptions via intuitive process stages, timelines and email notifications. Teams can work in ad-hoc analysis and continuous monitoring modes to:

- Dig deeper into results – with easy-to-use filtering and sorting.
- Gain informed insight – seamless integration of testing results with risk management and results management.
- See all the critical information needed for effective follow-up and resolution in a central and secure place.
- Keep up to date – track individual and team remediation activity and status at-a-glance.

Do I need ACL Analytics or ACL Analytics Exchange to use ACL GRC?

Results management in the cloud can be used by any licensed user with access to the application. To process and upload analytic results from local data sources, ACL GRC does require ACL Analytics 10 (AN) or ACL Analytics Exchange version 4.02 (AX). AN and AX are licensed separately from ACL GRC. Supported ACL AN or AX customers should upgrade to AN or AX 4.02 to obtain ACL GRC upload capabilities.

Trials, Licensing & Plans

Is there an evaluation period?

Yes, you can evaluate the system for 30 days. Please contact your ACL account manager or ACL partner to setup an evaluation. If you are a larger team, perform more complex projects or have global operations you will benefit from arranging a live demo or one-to-one walkthrough tailored to your specific circumstances.

Is ACL GRC sold on a per license (per user) basis?

Yes, there are two plans available. Each plan has per-user pricing based on need for read/write access to risk management, project management and results management.

ACL GRC also includes roles designed for clients (process owners or auditees), executives and external reviewers. These roles are included at no charge for all plans. Both the Client and Executive role can upload attachments for requested items; the Executive role can provide remediation or corrective plans and documents for findings (issues) and the external reviewer role receives read-only access to the project data only.

Data, Storage & Retention

How far back can you access past projects?

You own your data, and therefore you determine its life span. Customers have the ability to delete their data at any time. ACL GRC allows you to set the span that your archived projects are retained (e.g., seven years) and the

system will delete all projects once they expire past your defined span. If you never delete your data, or never set a retention period, then your data is stored permanently in our system as long as you maintain your subscription. Once you terminate your subscription, we retain your data for at least 30 days, and may delete it at any point thereafter. You have the ability to perform a backup of each project, which we recommend at the completion of the project and prior to archiving it. The backup will provide a compressed zip file of all your attached files and all the system generated reports, which contains almost all of your project data. Most reports are available in both Adobe PDF and Excel formats.

Where do file attachments reside (e.g., in the cloud or user's local infrastructure)?

The file attachments reside in data storage within the hosted cloud infrastructure, but independent of the database. You can download or extract all attached files for a single project by performing the backup function, which will store a compressed zip file of all files on your network drive.

What data retention controls are in place?

The ACL GRC data retention controls are set by you. You decide on the period for the retention of your data and you have the ability to permanently delete your data at the appropriate times. ACL GRC, however, keeps archived client engagements permanently throughout the term of your subscription if you have not deleted your data. Some plans may include a feature to allow customers to configure a time period after which archived information is automatically deleted.

How can I extract my data?

ACL GRC offers a number of ways to extract your data. One way is at the micro-project level, where various system reports can be downloaded in Microsoft Excel format. A second way is at the project level, and Managers or Administrators can extract a single compressed zip file that contains all system reports, all attachments in their native format, and an activity log for the project. Lastly, ACL GRC offers an API capability, that will allow IT resources from your organization to programmatically extract all your ACL GRC system data into data storage of your choice.

System Roles & Permissions

What out-of-the-box roles are available?

ACL GRC includes a number of roles, which are specific to the functional area of the application. Risk management has a single role intended for audit/compliance/risk professionals and business leaders that need read/write access to risk information. Project management has six out-of-the-box roles, three of which are designed for audit/compliance/risk professionals that need read/write access to various projects, at the leader, manager and staff level. The other three roles are aimed outside of the project team. Two are aimed at the business, an executive role and a client (auditee or process owner) role, one is an external reviewer role. Results management has two roles, one role intended for system managers, and one role intended for system users.

Security

Where will my data be stored?

ACL GRC uses data centers operated by reputable third parties. Data centers in the United States and Europe are operated by Amazon Web Services ("Amazon") through its Amazon EC2 computing platform and the Amazon S3 storage service. Please visit the Amazon website for more information about Amazon security practices.

Data is physically stored in databases on Amazon EBS storage blocks attached to dedicated Amazon EC2 server instances. These are replicated across Amazon's data centers within a given availability zone in real time. Documents and files uploaded to the system are stored in dedicated Amazon production storage using Amazon S3 storage service. In-transit data is encrypted using 128 bit SSL encryption technology.

In Canada, data is physically stored on dedicated servers located in an SSAE 16 certified facility in Canada. Data is backed-up to separate storage units within the same facility.

What type of security and controls are in place for the data centers?

The data centers provide both physical security and logical security controls, and are compliant with various certifications and third-party attestations, including: SSAE 16 (previously SAS 70 Type II); PCI DSS Level 1; ISO 27001; and FISMA.

The facilities and equipment at the data centers are physically protected by access controls, video surveillance, intrusion detection systems and environmental safeguards. In addition, the servers within the data centers are virtualized so no one inside the data center can specifically identify ACL servers.

What type of security and controls does ACL have in place for ACL GRC?

The ACL GRC control environment is built around the Cloud Control Matrix published by the Cloud Security Alliance. The Cloud Control Matrix is designed to provide fundamental security principles for cloud vendors and customers. Its foundations rest on its customized relationship to other industry-accepted security standards, regulations, and controls frameworks such as the ISO 27001/27002, ISACA COBIT, PCI, NIST, Jericho Forum and NERC CIP. The ACL GRC control environment is audited by a SSAE 16 report.

ACL directly controls the security of the virtual machines hosted at the data centers, and only ACL system administrators have access to the operating systems and databases on those virtual servers. In addition, ACL GRC has built-in controls to detect unauthorized access, as well as monitoring capability to audit and review individuals' access to the system. An independent security assessment provider, currently McAfee, scans ACL GRC systems and certifies its security on a daily basis.

All equipment at the data centers is fully redundant. Amazon data is replicated in real-time to geographically separated, redundant data centers through the Amazon EC2 virtualized system infrastructure and the Amazon S3 storage pool. In addition to this real-time redundancy, ACL backs up all audit data, including field data and attached documents that are stored in your account within ACL GRC.

To provide further assurance, ACL maintains a failover relationship with an entirely separate hosting provider, in the unlikely event of a failure of the above redundancy and backup systems. This would enable ACL to have the entire system migrated over in a reasonable time period.

Who will have ownership of my data?

You will continue to retain all rights over your data and ACL will not use or access your data except to resolve technical support issues, or as legally required.

Technical Requirements

What web browsers are supported?

ACL GRC supports Chrome™, Mozilla Firefox®, Internet Explorer® 9 and 10, Internet Explorer 8 and Safari®.

Internet Explorer 7 is not supported. For customers on Windows® XP using Internet Explorer 7, you must upgrade to Internet Explorer 8 or install Chrome or Firefox. For customers on Internet Explorer 8 or Internet Explorer 9/10, you must turn off compatibility mode when using ACL GRC, which is a simple toggle on your browser to turn on or off.

Are there any components/installations required to use ACL GRC?

Yes, ACL GRC uses the Adobe® Flash® component to attach documents or files. Most modern web browsers have Flash installed, however some don't and you will be required to install it if you want to attach files. You can use the following link to determine if your browser has Adobe Flash installed.

<http://helpx.adobe.com/flash-player/kb/find-version-flash-player.html>

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about our products and services?**

**Call 1-888-669-4225 to speak with
a representative**

Talk to your ACL partner

**Visit our website at acl.com
Email us at info@acl.com**

Are there any size limitations to individual files (supporting documents, audio, video and photos) uploaded?

ACL GRC has a 1GB file size limitation for a single file. Most browsers require that filenames contain no special characters or spaces, so ACL GRC will use underscores to replace illegal characters when you upload your files.

Is there a spell check functionality built in?

Spell check is a function that is provided by your web browser. Most web browsers have this built in, including Chrome, Firefox and Internet Explorer 9 and 10. If you use Internet Explorer 8, however, you can get a third party plug-in for free but you will need to install it as it is not included in the browser out of the box.

Do the notifications sent from your system require any Microsoft Outlook® configuration or integration?

Email notifications are sent directly from the system – no additional email configuration is required by the customer. All email notifications will arrive in your regular Outlook mailbox.

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