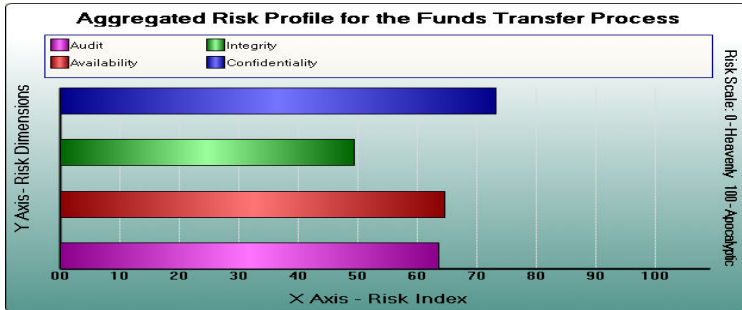
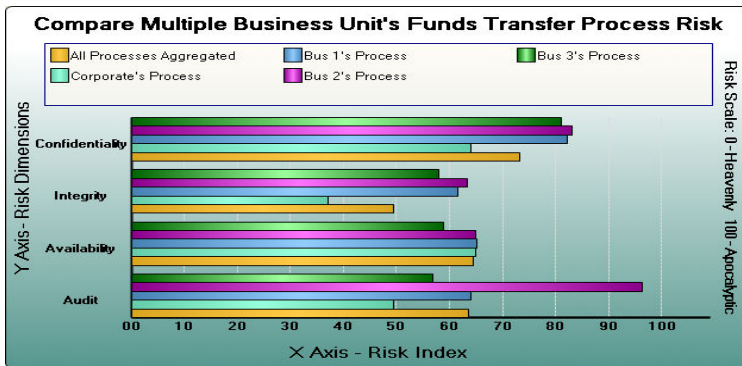


## Compare Business Units—Simulate Additional Controls

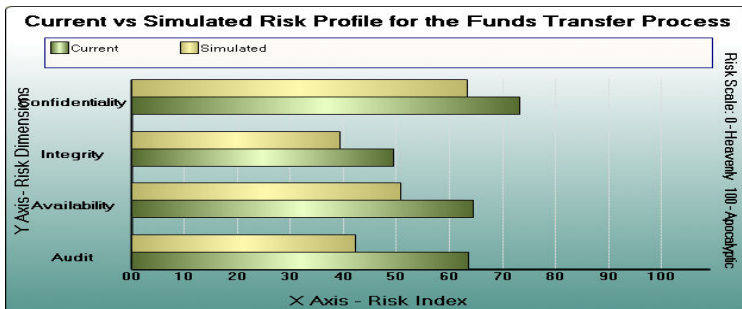
**Manage your auditors—and your managers.**



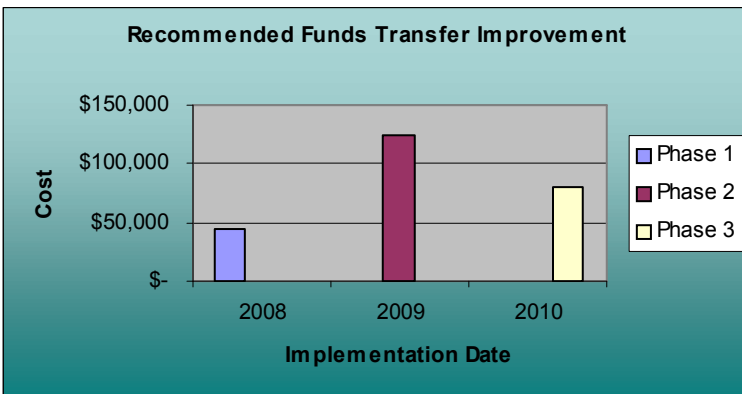
**What is the risk of our Funds Transfer Process?**  
In preparation for a GLBA audit, the client determined the risk of all hosts associated with the Funds Transfer Process in the entire corporation. TRM evaluated the processes and technical controls deployed in the environment, in addition to the hosts for each system associated with the process. The risk profile at left illustrates the risk to Funds Transfer for each of the four information risk dimensions of confidentiality, integrity, availability, and audit.



**How do our Business units compare?**  
Next, the client evaluated each of the four business units. The funds transfer process was conducted differently in each business unit in terms of host setup, technology control protections, administrative processes maintaining the technology, and support groups responsible for it. As a result, the TRM risk indices varied greatly. Management decided to address lowering the overall risk indices for funds transfer and the lack of consistency between similar systems used for the same process which presented a maintainability concern.



**What can we do?**  
The central risk office simulated applying consistent technology controls and all GLBA administrative controls to each of the business unit systems. They found the overall risk for the Funds Transfer Process dropped 10-20 points in each dimension of risk. They agreed to make this simulated scenario the corporate standard for this process.



**What were the results of the audit?**  
The new corporate standard was recommended to each business unit performing the Funds Transfer process. The simulation reduced each business unit's process risk and reduced the corporate risk indices for the process overall. Upon agreement, a project plan for a phased deployment of the simulation over 3 years, prioritized by controls that reduced risk the most, was presented to the auditors. The approval of the plan allowed the company to budget for the \$250,000 implementation costs rather than immediately spend money and time reacting to auditor findings that may or may not reduce risk.