



controls) (Internal

(MANUAL & REPETITIVE) (INTERNAL CONTROLS)
(ASSURANCE)

SOX, ITGC, ICFR OMB A-123 (assurance) (internal controls) , legacy
(workload) (control) (automation) (Risk assurance) 가 , (assurance) 가
, C-suite ()

ControlsBond

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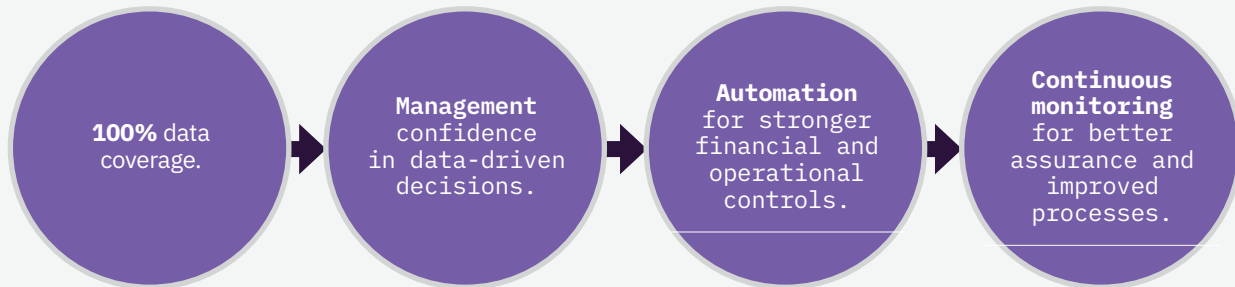
- (non - key controls) (regulations) 가 - □ (Pre-built)
- (single platform) (issues) (controls) □ (remediation tasks) (Compliance issues), (certification status)

" consistency) (controls) (reliability) (

- Jason A. Gross, CPA, CIA, CFE, CISA, ACDA

Vice President, Controls Management, Siemens Financial Services, Inc.

가 (CONTROL PROFESSIONALS) CONTROLSBOND (RESULTS)



Search Controls		Control design	Control operation	Status	Frequency	Owner	Process	Project
<input type="text" value="Search Control ID or Description"/>		<input type="button" value="All statuses"/>	<input type="button" value="All statuses"/>	<input type="button" value="Key Control"/>	<input type="button" value="All frequencies"/>	<input type="button" value="All owners"/>	<input type="button" value="All processes"/>	<input type="button" value="All project"/>
Control ID	Description	Control design	Control operation	Status	Frequency	Owner	Process	
5314-05431	Policies on Corporate Governance - Management Responsibilities Control tasks	✓	✓	Key Control	Bi-Weekly	Kris McKinnon	Corporate Office / Governance Control	
5314-05431	Policies on Corporate Governance - Management Responsibilities Control tasks	✓	✓ ✓ ... ⚙	Key Control	Bi-Weekly	Kris McKinnon	Corporate Office / Governance Control	15
EC1-002	Install Security Card scanning terminals on every site entry points. Control tasks	✓	✓	Key Control	Monthly	Kris McKinnon	Site Security	99+
EC1-002	Install Security Card scanning terminals on every site entry points.	✓	✓	Key Control	Monthly	Kris McKinnon	Site Security	
AS-002	Ensure Strong Passwords are generated automatically	Key Control	Daily	Cory McBain	Strong Passwords	
AS-002	Ensure Strong Passwords are generated automatically	Key Control	Daily	Cory McBain	Strong Passwords	

Figure 1: Mission Control

(CONTROLS TESTING & OVERSIGHT)

- 1 (Dashboard view), (control status)
- 2 (controls) (process owners) (identify & remediate)
- 3 SAP, Concur, Salesforce (automate control) 가 가 testing)

(RISK & CONTROL)

- 1 Excel 가 (built-in) SOX COSO (risk & control) SOX ITGC
- 2 (low-risk) - (non-key controls)
- 3 (regulations) (controls)

(REPORTING & CERTIFICATION)

- 1 (Entity), (control status) (issues), PMO
- 2 SOX 302 CFO (cross-functional leaders) 가 (sub-certified) CEO
- 3 (Real-time) (assurance report card)