

# OneTrust GRC for Finance

## Establish and Maintain Secure Operations for Enterprise Compliance and Data Protection

### Financial Institutions Face Stringent Regulations & Require Effective Risk Management

Regulatory obligations aren't new in the financial industry. However, these regulatory requirements have evolved to address increasing concerns spanning vendor relationships and executive level accountability. New laws, standards, and frameworks, such as SMCR, NY DFS 23, NYCRR 500, EBA Guidelines, GDPR, and CCPA (on top of existing expectations from OCC Bulletins, FDIC Guidance, and the NIS Directive) all require varying degrees of process mandates and recordkeeping. Financial institutions around the world are leveraging third-party relationship and risk management technology to keep their data secure, all while maintaining records to demonstrate compliance. These platforms help financial institutions implement risk-mitigation controls, assess business continuity plans, automate risk-based decision-making, streamline documentation, and manage contracts.

### OneTrust GRC is Trusted by Financial Institutions Around the World

With OneTrust GRC, institute modern day privacy and ethics best practices. Identify, track, remediate, and monitor risk across your IT infrastructure, vendor relationships and operations for a complete measure of risk across your business profile. Further, identify and categorize the types of risks that matter most to you, such as strategic, reputation, operational, transaction, credit, compliance, performance, and other risks. With support for dozens of standards, frameworks, and laws, OneTrust GRC offers tailored solutions for financial institutions seeking to solve the most pressing third-party risk and performance challenges.

#### Manage Risk Across Domains

- Privacy Management
- IT & Security Risk Management
- Vendor Risk Management
- Operational Risk Management

#### Operationalize Risk Management

- Incident Management
- Audit Management
- RPA Integration Builder
- Awareness Training

#### Enable Strategic Planning

- Enterprise Risk Management
- Policy Management
- Business Continuity
- Ethics & Accountability

## Support for Dozens of Finance Laws, Standards, and Frameworks

#### Senior Managers and Certification Regime (SM&CR)

- NY DFS 23 NYCRR 500
- OCC Bulletin 2013-29
- OCC Bulletin 2017-21
- FCA FG 16/5
- EBA Guidelines
- Directive 2014/65
- Directive 2015/2366/EU

FFIEC BCP Booklet: Appendix J

FFIEC Information Security Booklet

CFPB Compliance Bulletin and Policy Guidance; 2016-02

Federal Reserve Supervisory Letter SR 13-19

#### FDIC Outsourcing & Third-Party Providers Guidance

NAIC Insurance Data Security Model Law

SOC 1, SOC 2, SOC 3

Sarbanes-Oxley Act (SOX)

Public Company Accounting Oversight Board (PCAOB) Standards

Directive on Security of Network and Information Systems (NIS Directive)

ISO 20022

ISO 20038:2017

Gramm-Leach-Bliley Act (GLBA)

General Data Protection Regulation (GDPR)

California Consumer Protection Act (CCPA)

Markets in Financial Instruments Directive MIFID II/III

# OneTrust GRC for Finance

Establish and Maintain Secure Operations for Measured Risk Insights as well as Regulatory and Corporate Compliance

## Operate Efficiently with Risk Assessment Automation & Integrated System Oversight

- Create automation workflows for faster and systematic due diligence tailored to criticality of risks
- Map enterprise assets, processes, projects, and vendor contract terms to assess risk and performance
- Extend data collection within the line of business applications to track, and trigger action

## Measure Your Program Maturity and Execute Continuous Improvement Initiatives

- Develop a custom risk framework based on leading industry standards and your own custom controls
- Monitor strategic risk categories to gain insight across reputational, financial, geopolitical risk and more
- Leverage an interactive eLearning platform to distribute and reinforce corporate policy initiatives in everyday job tasks

## Identify and Audit Controls with Risk Management Workflows and Treatment Plans

- Test controls, or lack thereof, and flag risks using intelligent assessments with built-in automation triggers
- Monitor audit progress along a workflow, attach evidence and summarize findings for audit reports
- Utilize existing control records and processes to measure compliance and efficiency against a variety of frameworks

## Develop Contingency Plans for Business Continuity and Automate Incident Response

- Take proactive measures by configuring workflows to respond to incidents and link to risk records
- Perform BIAs to measure your critical infrastructure for both, Recovery Time Objective (RTO) and Recovery Point Objective (RPO)
- Develop and maintain a BCMP tool with relevant, live data from OneTrust GRC as well as integrated systems used in your organization

## Monitor and Maintain Ongoing Oversight of Third-Party Activities and Performance

- Access granular security profiles to view details on every vendors' individual products and services
- Oversee third-party relationships, identifying poor performance and mitigating risks as they change
- Track acquisitions, incidents, compliance, finances, controls, subcontractors, and other critical issues



START A FREE TRIAL OR REQUEST A DEMO AT [ONETRUSTGRC.COM](https://onetrustgrc.com)

**OneTrust GRC**  
INTEGRATED RISK MANAGEMENT

ATLANTA | BANGALORE | BANGKOK | HONG KONG | LONDON  
MELBOURNE | MUNICH | NEW YORK | SAN FRANCISCO | SÃO PAULO

OneTrust GRC enables risk, compliance and audit professionals to identify, measure, and remediate risk across their business to comply with internal rules and external regulations. With OneTrust GRC, companies can seamlessly integrate risk management into their day to day activities. OneTrust GRC is a part of OneTrust, the #1 most widely used privacy, security and third-party risk platform trusted by more than 5,000 customers and powered by 75 awarded patents. To learn more, visit [OneTrustGRC.com](https://onetrustgrc.com).

Copyright © 2020 OneTrust LLC. All rights reserved. Proprietary & Confidential.