

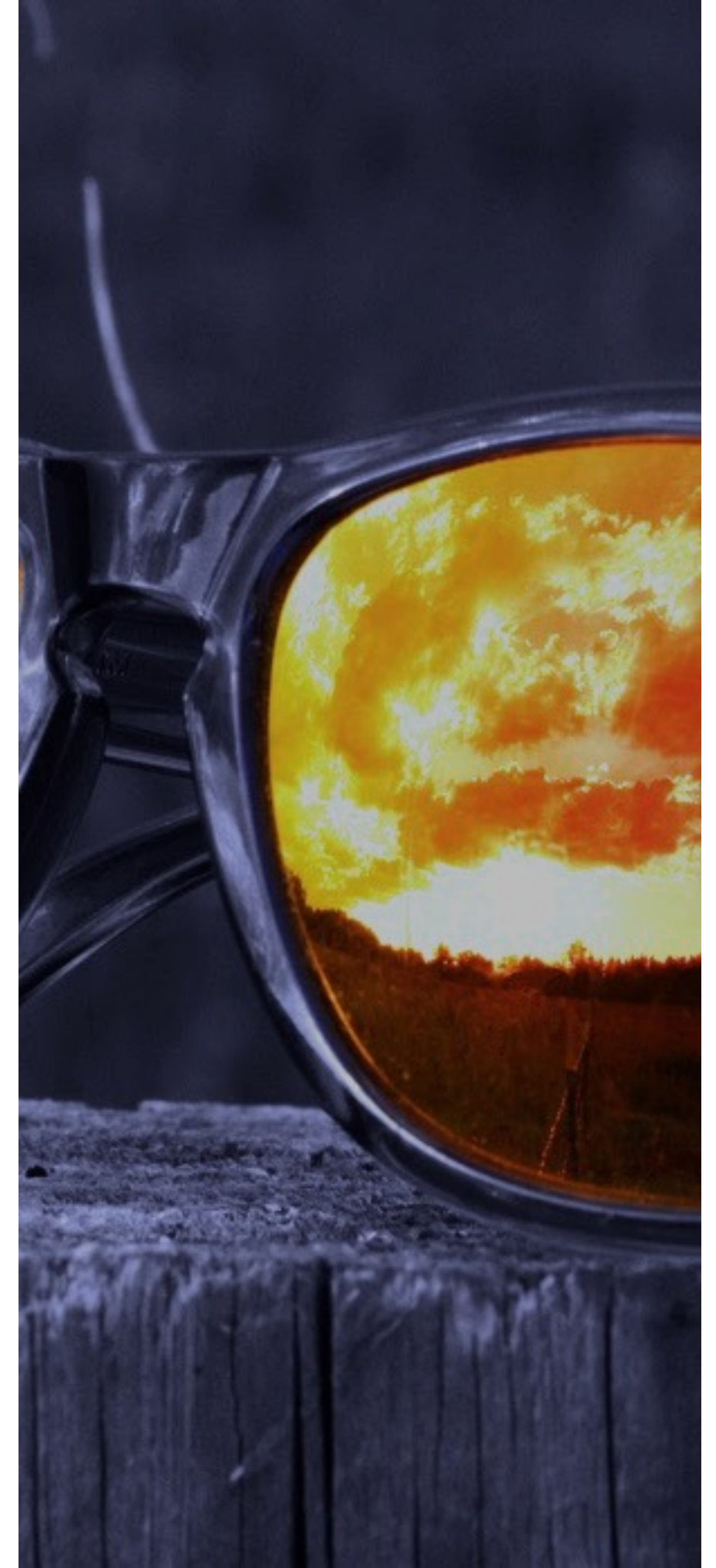
CoreStream Risk Management

2 CORESTREAM

Risk Management

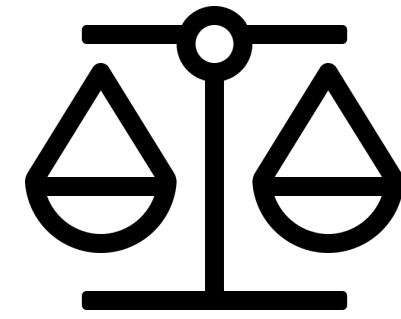
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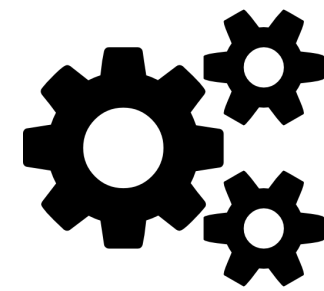


The CoreStream Platform

The power to consolidate and link all your
Governance, Risk and Compliance activity...



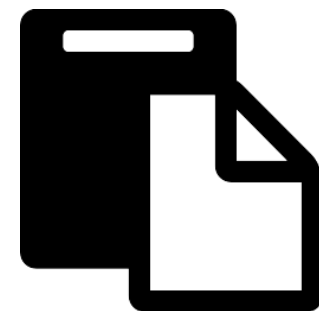
Risk
Management



Controls
Management



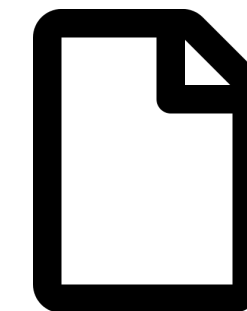
Audit Action
Management



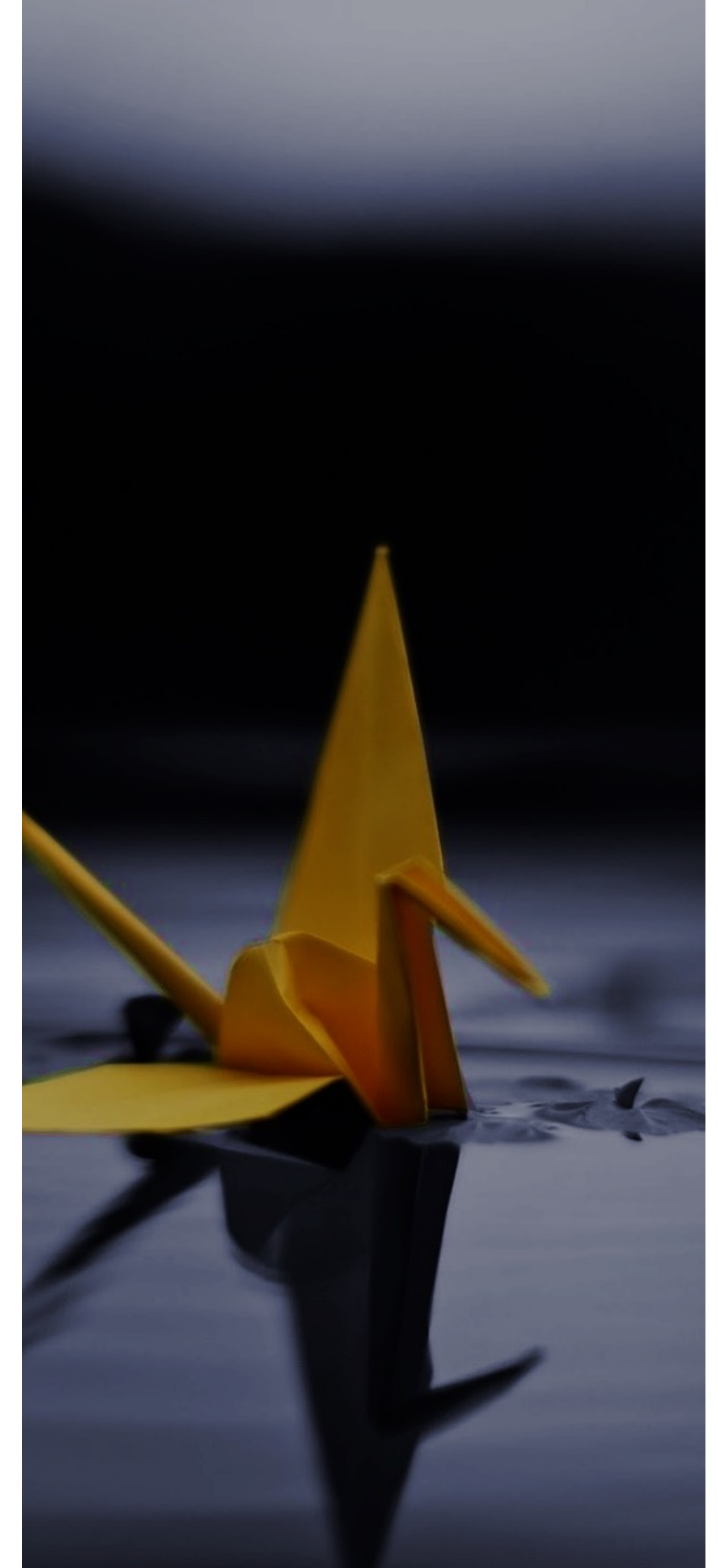
Regulation
Management



Information
Asset
Management



Policy
Management



Intuitive technology for business

1

Intuitive

We believe technology should be intuitive in order to encourage user adoption and improvement outcomes.

2

Flexible

Our platform is flexible and adaptable to ensure that we can meet our customers' unique requirements both in our initial delivery and ongoing

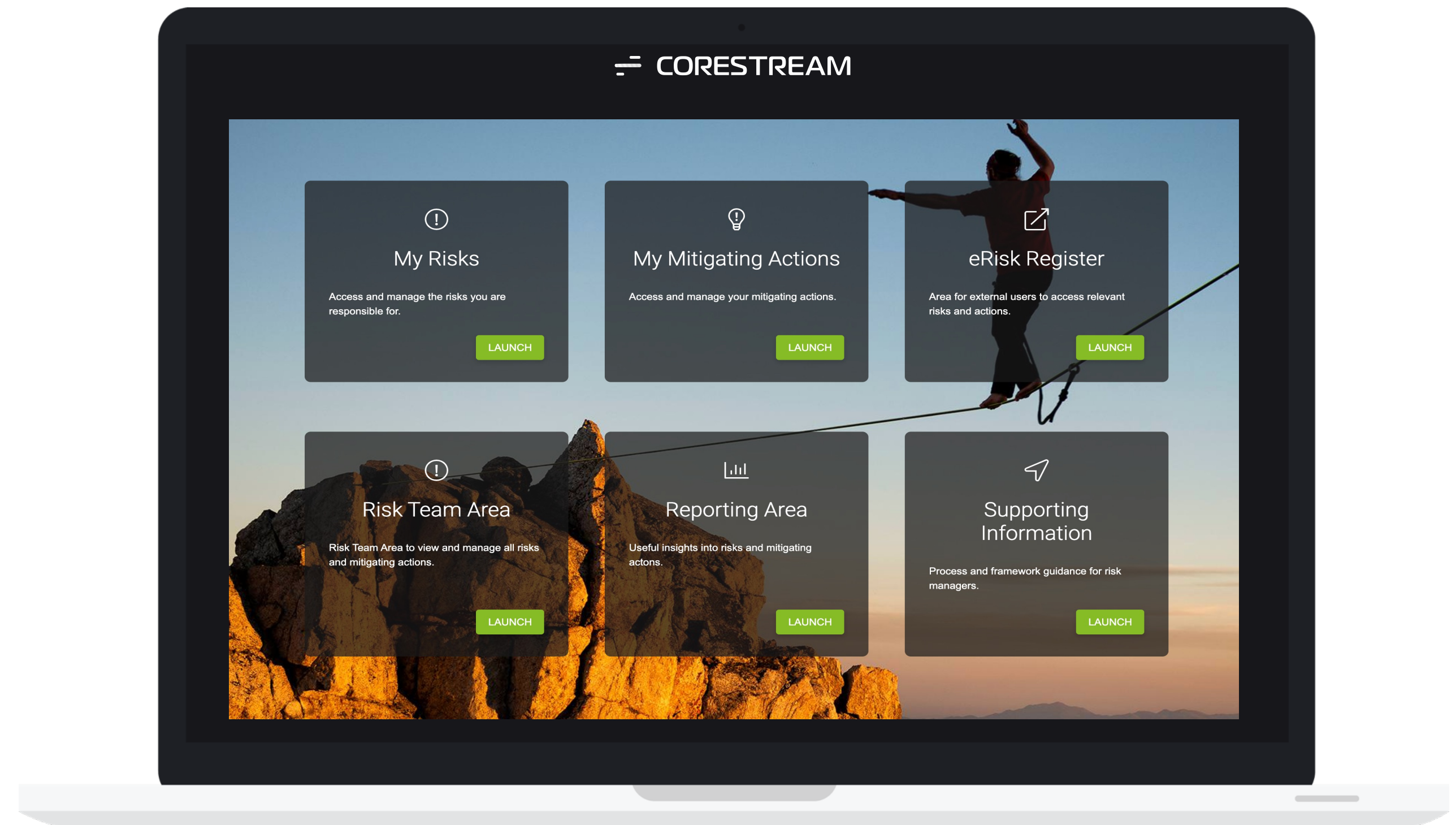
3

Quality

We have a relentless focus on quality from pre-sales through to delivery and support.

Introducing Risk Management

CoreStream provides an end to end risk management solution covering all aspects from the creation and management of risks, tracking causes, events and consequences, right through to managing the subsequent mitigating actions.



6

CORESTREAM

Risk Management

Risk Management

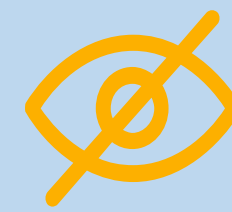
A digital solution to help you identify, assess and manage your risk..

The Challenges



Administrative burden

Maintaining the myriad of spreadsheets and coordinating manual processes for tracking the status of risks and mitigating actions.



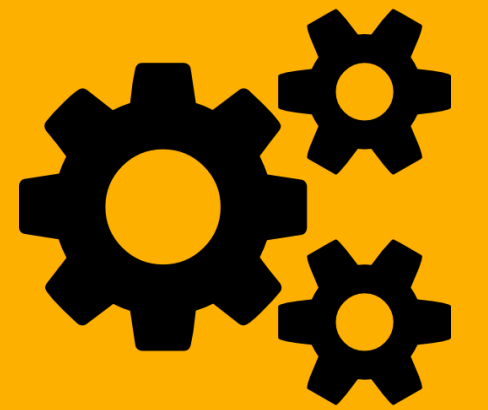
Accountability

Lack of clear ownership and accountability for risks across the organisation.

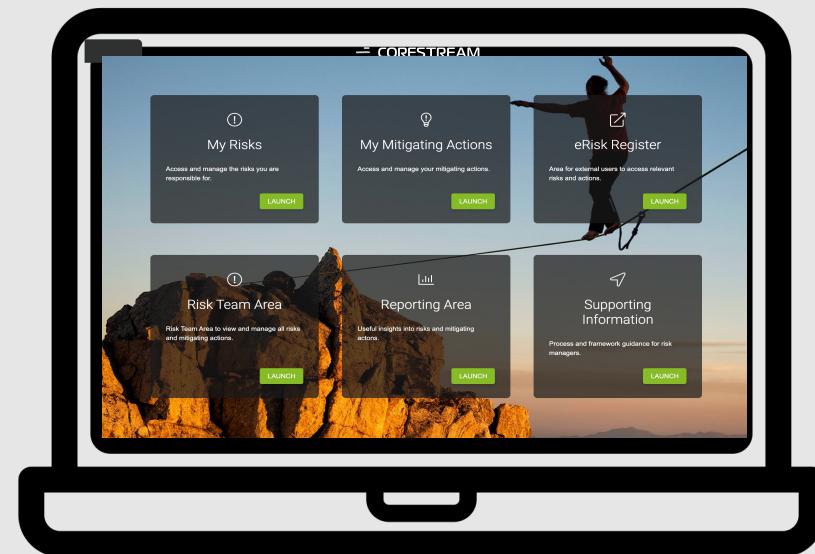


Transparency

Lack of real time reporting to provide management with insight and one version of the truth.



The Solution



Document

Seamlessly document risks and assign owners for risks, controls and mitigating actions to ensure accountability.

Monitor

Record scores for the inherent, residual and target risk and monitor your risk profile including the status of any mitigating actions.

Execute & Report

Real-time monitoring and reporting of your risks and mitigating actions, adaptable to a variety of risk frameworks and in any industry setting.

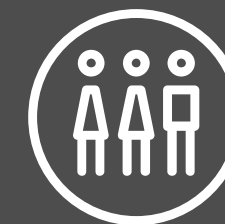
The Benefits



Reduced financial burden



Increased efficiency



Assigned accountability



Real-time reporting

Risk Management

A digital solution to help you identify, assess and manage your risk.



Digitalised risk register hierarchies



Intuitive risk monitoring and mitigating actions tracking



Link risks to a variety of other content such as controls, KPIs and Risk Incidents



Assign local ownership and accountability



Align risks to Key Performance Indicators (KPI's)



Generate Risks directly from graphical process maps



Real time dashboard for analysis and management reporting

The solution explained

CoreStream Risk Management has been designed to help alleviate the administrative burden of risk management, whilst allowing management to focus their efforts on value-add activities. It brings together your entire risk management framework and enables the seamless monitoring and execution of mitigating actions to deliver the real-time management information that organisations and stakeholders require. Specifically:

Risk Management



- Document and manage risks on a single platform, with optional process mapping views
- Map risks to causes, consequences, events, mitigating actions, controls and other key information such as KPI's.
- Record scores for the inherent, residual and target risk.
- Export risk heat maps and risk management documentation.
- Capture and link controls and incidents to risks.

Monitoring and reporting



- Review the overall status of your risk framework through real-time reporting dashboards.
- Drill down into any risks that require further attention and filter data according to various criteria.
- View your risks in an interactive heat map.
- Review the status of any mitigating actions.

Action Tracking



- Assign mitigating actions to relevant stakeholders and track the completion of any actions.
- Automated email notifications to owners and approvers, to notify them when an action is due or overdue.
- Real-time reporting on the completion of actions and success rates.

Underpinned by a class-leading technology platform



- Intuitive user interfaces with a clean design and contextual help features to minimise training requirements.
- Real-time dashboards with drill down reporting and flexible filtering options.
- Single Sign On and Active Directory integration to ease the process of gaining access and preserve your control of permissions

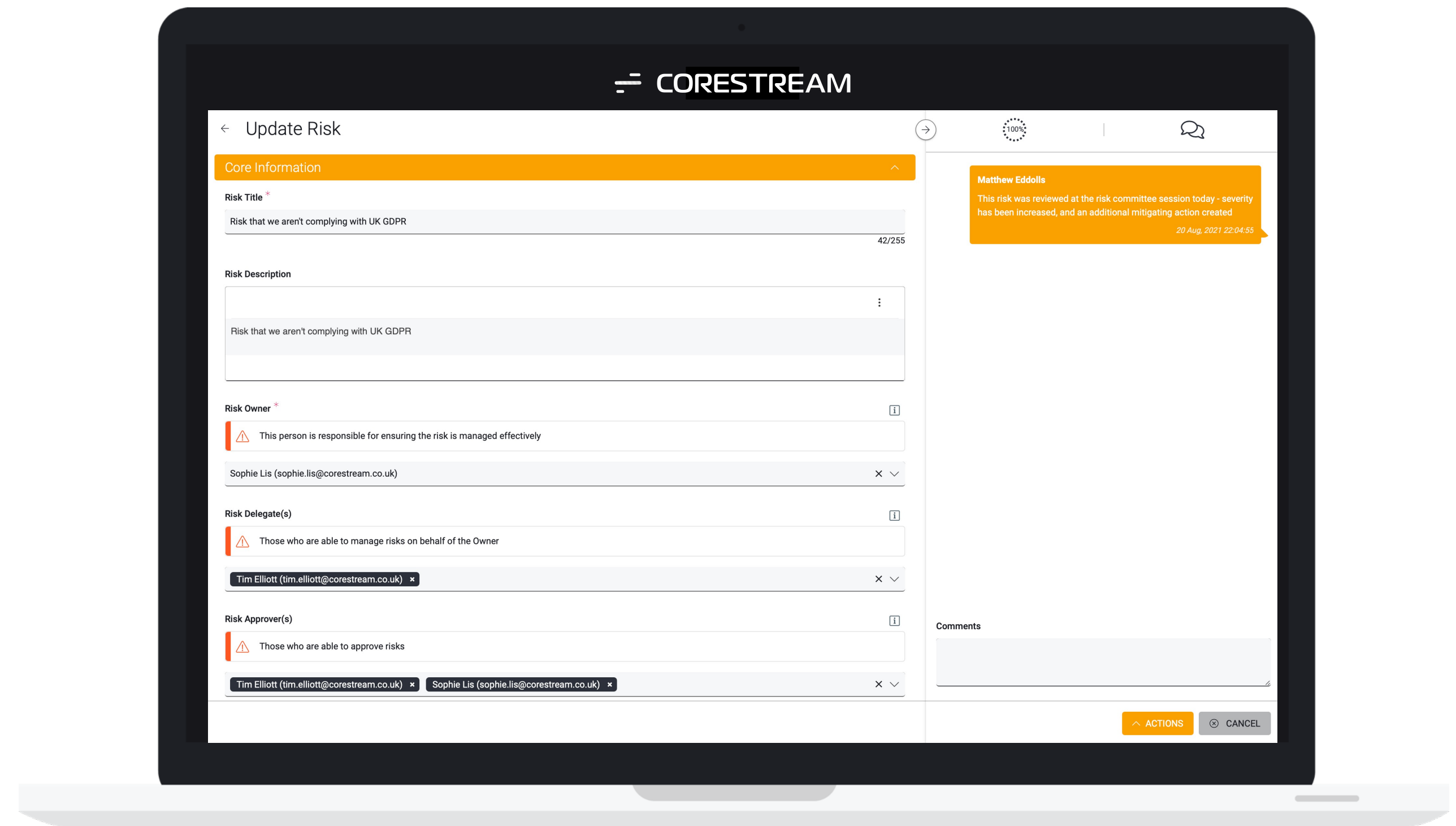


CORESTREAM

Risk Management

Sample Screenshots: Configurable Risk Capture Forms.

Intelligent forms guide users through the process of defining their risk, with contextual help banners, risk text tooltips, and show / hide logic to ensure that only relevant questions are ever shown



Sample Screenshots: Risk Register Grids

Risk Registers contain Excel-style filtering, powerful global search capabilities. Colour coded columns and tabbed viewing ensure important information is brought to the fore. All linked content is accessible directly from the register.

The screenshot displays the CORESTREAM Risk Register Grid interface. The table below represents the data shown in the grid:

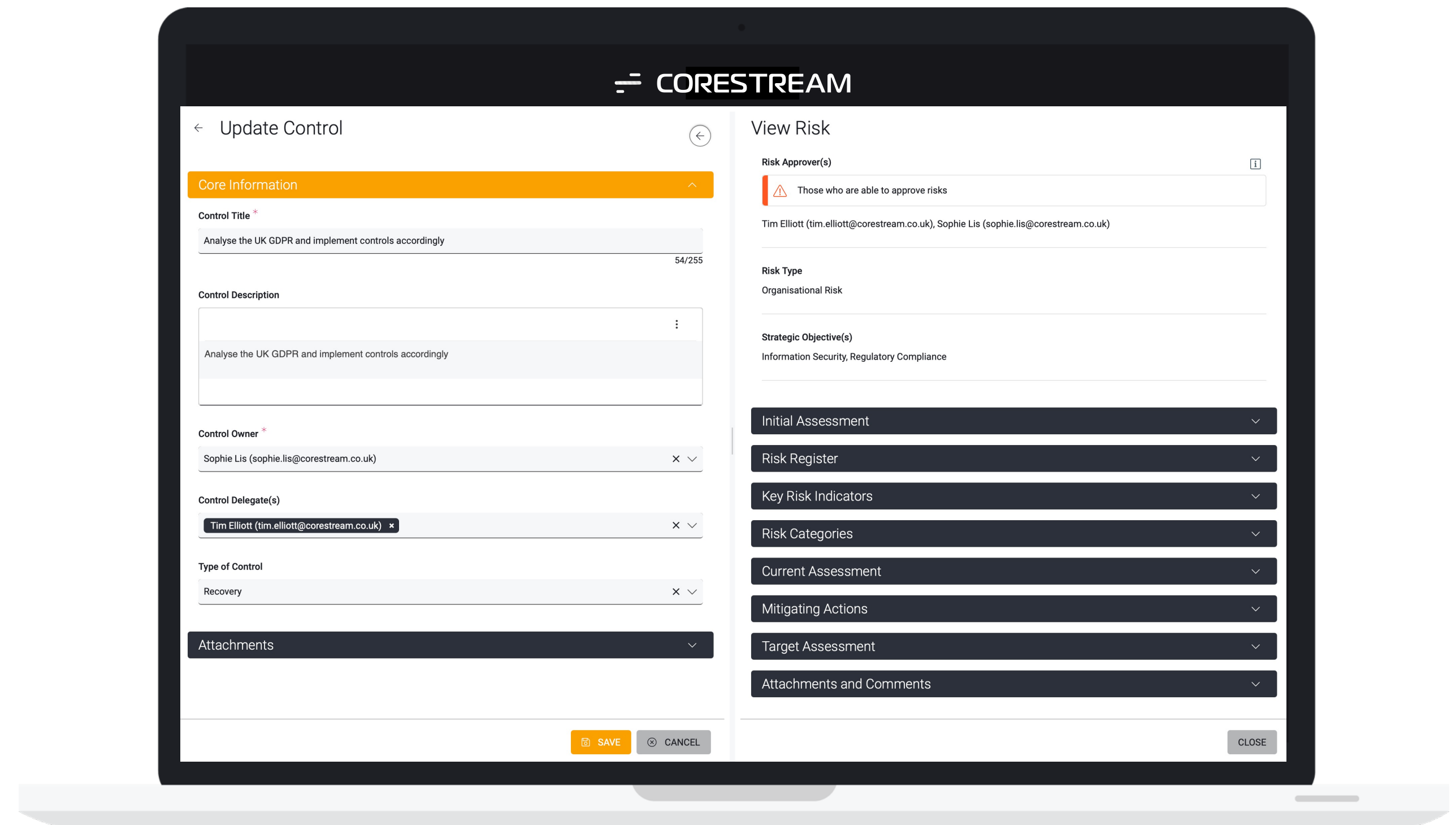
MINIMUM APPETITE	MAXIMUM APPETITE	CONTROLS	RISK SCORE	APPETITE	CURRENT RAG	ACTIONS	TARGET MITIGATION DATE	LAST UPDATED
0	0	1	6	Not Defined	Green	1	08 Jul, 2021	14 Jul, 2021 0
0	0	0	6	Not Defined	Green	1		14 Jul, 2021 1
0	0	1	9	Not Defined	Amber	1		14 Jul, 2021 1
0	0	1	6	Above Appetite	Green	1	23 Jul, 2021	20 Aug, 2021 2
		0	0	Not Defined		2		14 Jul, 2021 1
1	4	1	5	Inside Threshold	Green			14 Jul, 2021 1
1	4	1	9	Inside Threshold	Amber			14 Jul, 2021 1

The dropdown menu for the 'Actions' column of the fourth row shows the following details:

ID	Title	Owner	Status
5	Demo MA 123	Alka Kumar (Alka Kumar...)	Overdue
6	Demo MA 456	Alka Kumar (Alka Kumar...)	Overdue

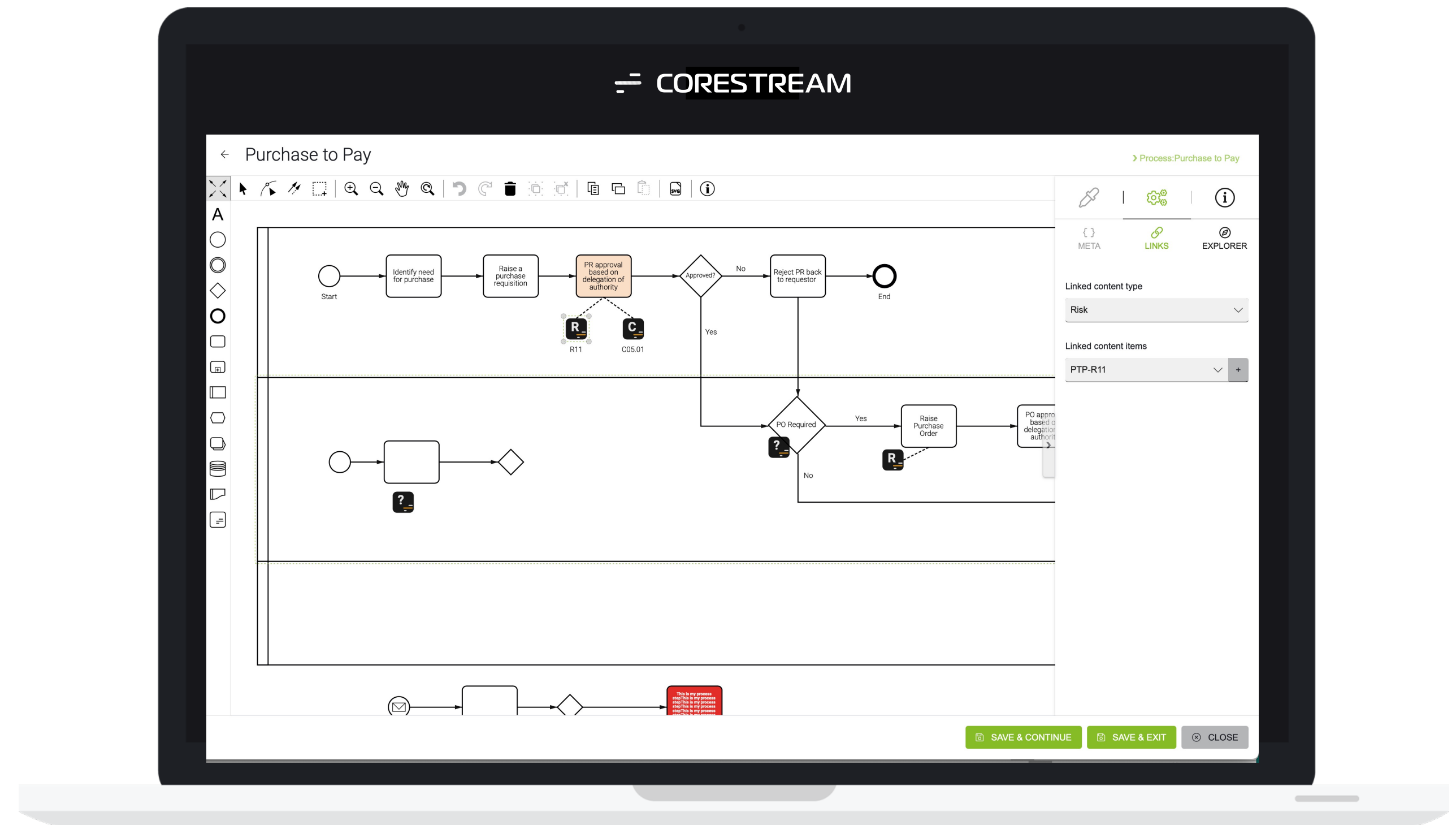
Sample Screenshots: Split Screen Mode

Split screen mode is a User Interface feature that allows users to update content whilst referring to related content on the same page. In this screenshot, the user is updating a control whilst viewing the risk record.



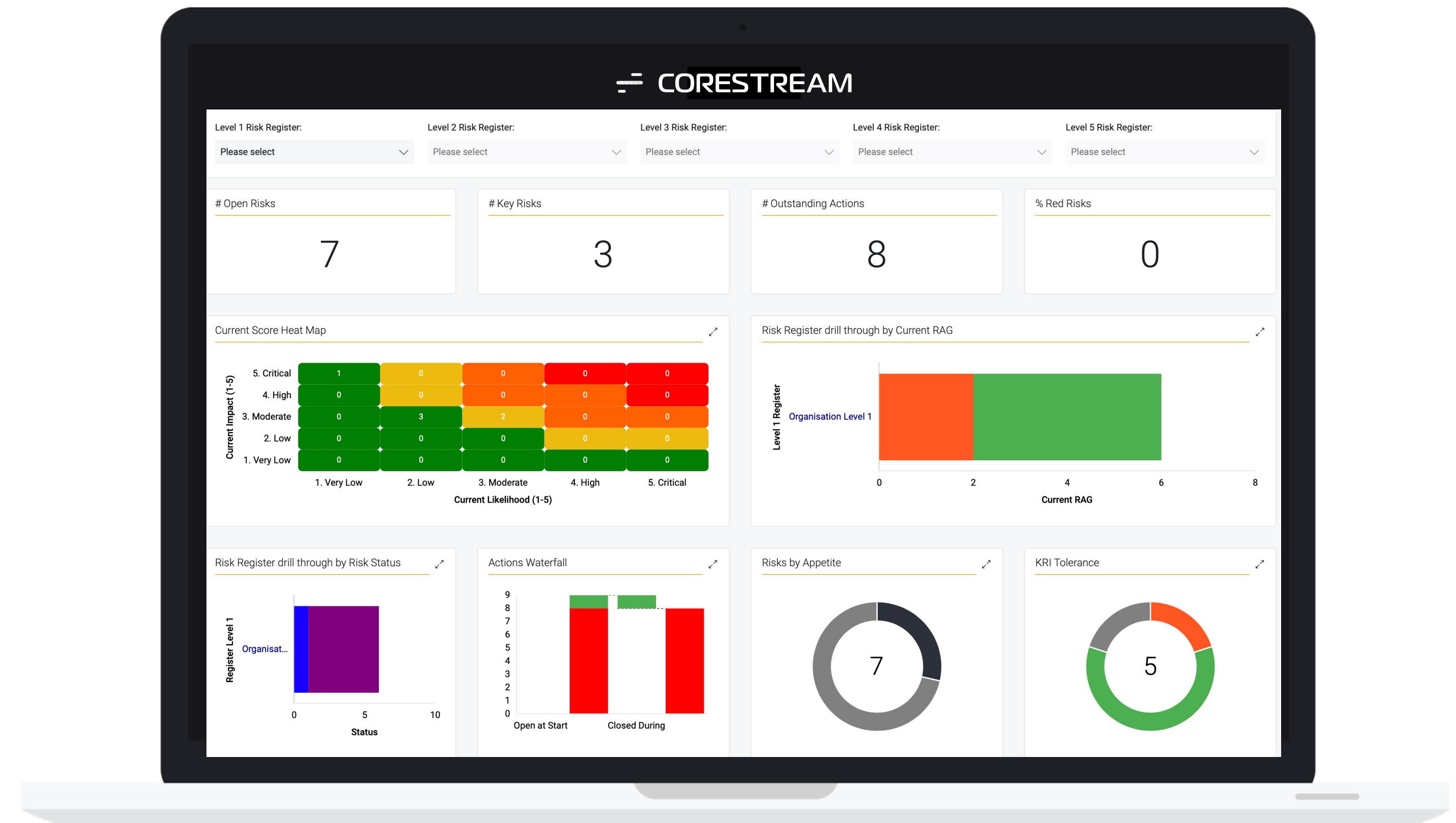
Sample Screenshots: Process Mapping

An optional feature of the Risk Management module is a graphical process mapping tool. This feature allows Risks and Controls to be overlaid on a graphical representation of your operational processes to help ensure that Risk identification is methodically executed.



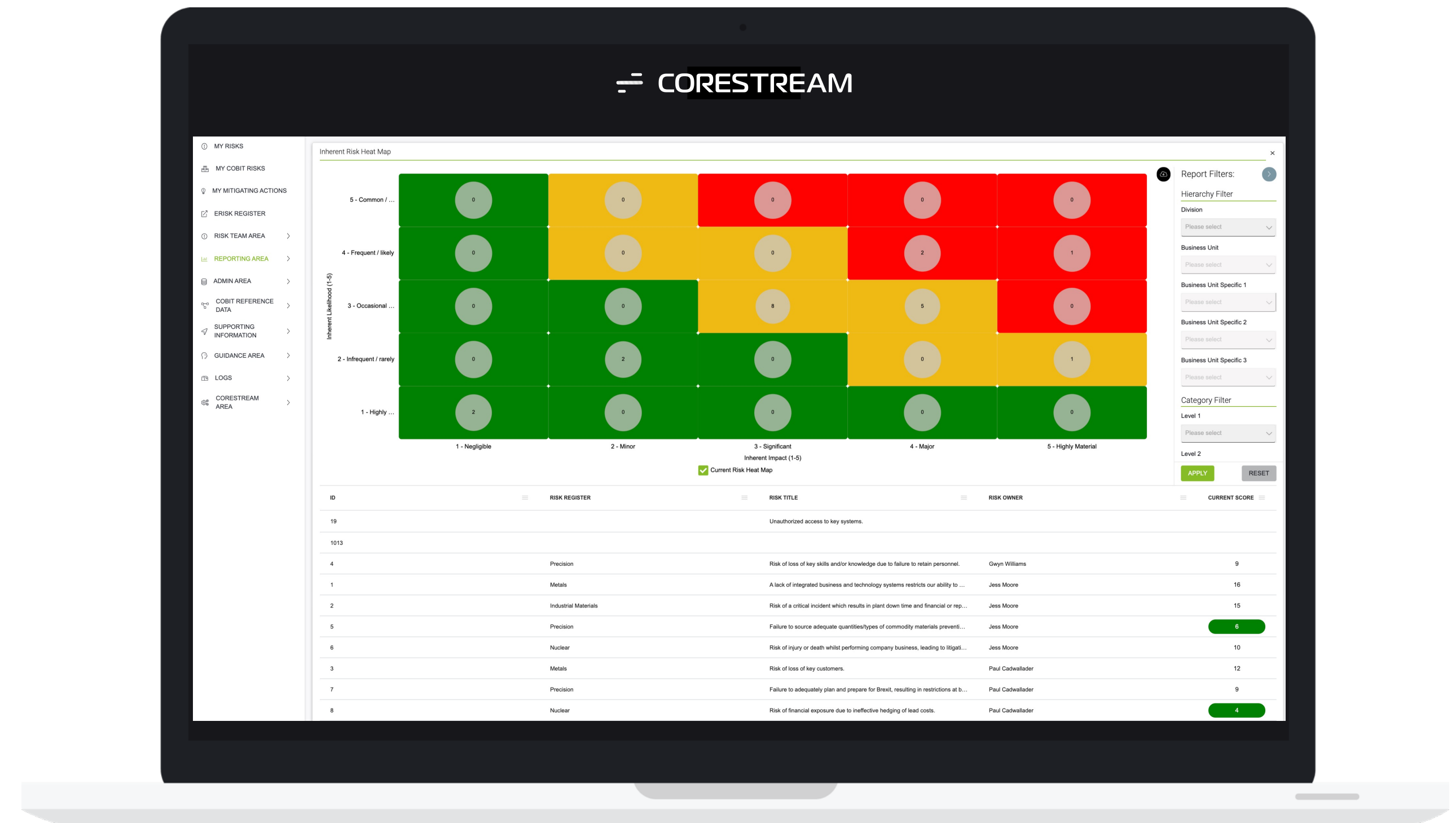
Sample Screenshots: Dashboard Reporting

Interactive reporting dashboards based on real time data provide insights to the end-to-end risk management and action tracking process.



Sample Screenshots: Risk Heat Map

Central to the Risk Management solution is an interactive Heat Map. From here users can drill down into risks and filter by a variety of metrics, as well as export all relevant data.



Data Security

CoreStream recognises the importance of data security and is proactive in managing technical and user-based risks...

- All services are fully UK hosted on private cloud infrastructure
- Datacenters conform to Tier 3 TIA standards for redundancy and resilience.
- ISO27001 accreditation for technology development and hosting security.
- All staff CRB checked. Relevant operations staff have UK Government Security Clearance (SC)



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