

Workshop with Client

Date: 1/1/2022

Time: 9am-10am ET

Client team: List members of the client team at the workshop

PWC team: List members of the PWC team at the workshop

Intro (5 min): Manager introduces the team, and each member shares a quick intro on their experience in the compliance/risk space and the integration with digital solutions.

Background (5 min): Manager goes over the goals of the workshop and what the team hopes to gain by the end of the session.

Questions (40 min)

Security - Managing User Access and Application Security

- How do you currently manage user access across different regions?
- How do you ensure only authorized users can access sensitive financial data?
- Have you experienced any past security breaches or unauthorized access incidents? If so, how were they addressed?
- What security tools or frameworks are currently in place to manage user authentication and access control?
- What are the biggest obstacles in ensuring compliance with access control policies?

Controls - SOX Compliance and Internal Controls Over Financial Reporting

- How do you currently ensure compliance with Sarbanes-Oxley Act (SOX) regulations?
- What are the key internal controls in place for financial reporting and system access?
- What pain points do you face during the SOX audit and compliance process?
- Have there been any compliance violations or audit findings in the past? How were they addressed?
- How do you monitor and review financial transactions to detect unauthorized activities?
- What improvements would you like to see in the compliance process to make it more efficient?

Transformation Risks - ERP Upgrade Challenges and Implementation Risks

- What are your main concerns regarding the ERP system upgrade?
- Have you faced challenges with previous system upgrades? If so, what were the key issues?
- What are the major risks you foresee that could impact the project's success (e.g., timeline, budget, functionality)?
- How will you measure the success of this ERP upgrade?
- What additional support or resources do you need to ensure a smooth transition?
- What are your expectations from the PwC team in terms of guidance and risk mitigation?