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| Controls Design Document  Enterprise Governance - Citi |
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**Revision History**

| **Version No.** | **Author / Modifier** | **Published Date** | **Approved By** | **Description of changes** |
| --- | --- | --- | --- | --- |
| 1.0 | Suresh M | 01-Mar-2018 | - | Initial release |

# Purpose

The purpose of this document is to describe the design of the controls institutionalized for ensuring that the risk information elements reported at Enterprise Governance meetings are correct.

# Risk that the examined control relates to:

Enterprise Governance Maker/Checker process: Lack of documentation around maker/checker process for data presented in governance forums may lead to inconsistences in the report

# Key control description mitigating risk:

Control 1: Maker – to follow the documented process of collecting the data pertaining to the risk information items

Control 2: Checker – to validate the data/information produced by Maker against the source and confirm

# Control Details:

|  |  |  |  |
| --- | --- | --- | --- |
| Attributes | Control 1 | Control 2 | Evidence / Supporting Documents |
| What is the control | Data creation  Ensure that the documented process of collecting the data and generating the metrics is adhered to | Data verification  Ensure that the data is validated against the source |  |
| Who executes the control? | Maker | Checker |
| When? | When the Governance reports are prepared for the Steering Committee | When the maker sends a mail with the data pertaining to the risk element |  |
| How (sustainable?) | Makers are trained on the process and have clear understanding of the expectations  Process is documented to ensure compliance  Adherence is tested as part of RCSA | Checkers are trained on the process and have clear understanding of the expectations  Process is documented to ensure compliance  Adherence is tested as part of RCSA |  |
| Evidenced? | Evidenced by reviewing the maker’s mail to checker for validating the metrics | Evidenced by reviewing the checker’s mails to maker confirming/suggesting changes to reported data |  |

# Key control operations details:

|  |  |  |  |
| --- | --- | --- | --- |
| Supplier Entity | Control operational since (dd/mm/yyyy) | Account specific Control Owners (include name, designation and team name) | Systems/ Infrastructure used for enabling control operations |
| Virtusa | 01-Feb-2018 | As per the attached process sheet | RCSA Process |

# Key control - Reporting to Citi stakeholders:

1. Enterprise level Governance report shared with specified Citi Stakeholders
2. RCSA Results provided on a quarterly basis

# Key control Reference to OPD:

Sales & Account Management Handbook v3.0