|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | |
| Meeting Agenda and Minutes | | | | | | | | | |
| **Meeting Title** | | Archer Requirements Workshop | | | | | **Time** | 02:00 to 04:00 PM | |
| **Date** | | 07/08/14 | | | | | **Place** |  | |
|  | |  | | | | |  |  | |
| **Attendee List:**   1. John Munn 2. Justin McKinney 3. Trent wall 4. Carolyn Pakes 5. Darla Grey | | | | | | | | | | |
|  | | | | | | | | | | |
| **#** | **Agenda Item** | | **Presenter or Moderator** | **Time Allotted** | **Discussion Points** | | | | | |
| 1 | To understand the Enterprise Management Hierarchy | | Manmohan Singh | 120 Mins | * Carolyn briefed about the intent of the session to audience that we are capturing SOX Compliance & IT Risk in phase 1 & the focus is to replace CMT tool. From 2015, the control self-assessment will be conducted on Archer. * Manmohan gave an overview of the Archer Enterprise GRC platform .The intent of the workshop is to define the accurate organization hierarchy within enterprise management of Archer as it lays foundation for other solution on GRC platform. Also , various workshops which were conducted with Internal Audit , IT Risk , Financial Controllers & Enterprise Risk Team to understand the enterprise hierarchy, & it was agreed that TCEH as the Company (Level 1) * The hierarchy that was defined was :  |  |  | | --- | --- | | Company | TCEH | | Division | 4Change Energy, TXUE, EFH,LUMP, LUME, Comanche Peak Nuclear Power Plant(CPNPP),GCS | | Business Units ( Under TXU Energy ) | LCI Sales , Residential sales, Small Medium Sales, Finance , IT, Marketing, Legal/Regulatory, Revenue Operations, LBO , HR, Performance Excellence, CCO |  * For Business Units, Finance & IT , it’s under the purview of SOX Compliance , Marketing & Revenue Operations under the PUC ( Public Utility Commission of Texas) , IT & CCO is under PCI Compliance umbrella. Lastly for Revenue Operations , it’s under ERCOT (Electric Reliability Council of Texas), * .It was mentioned that there 3 Compliance groups in TXU   + TXU Financial/ Accounting/ Sales/ Marketing   + TXU Operations Compliance   + TXU IT Operational Compliance   The SOX reporting is done at all levels & it all rolls up to TXU.   * Within CMT, the operational Controls are assessed. The PUC requirements are documented from legal & adherence to control is currently reactive, adhoc. Some of the controls are on Spreadsheets & Lotus Notes databases. They update the Spreadsheet in every quarter where green means revised & Blue means it’s a new additional Controls to the spreadsheet. * All the operational Controls are maintained in the CMT. The total number of controls is 171, out of which it has 2 SOX primary & 2 Regular SOX controls. Also RFI & Questionnaire are leveraged in CMT. PCI / NACHA/ SOX controls for TXU are currently present in CMT; however which is centrally managed by EFH Team. Within Controls in SAP GRC are not mapped to controls in CMT * Also , in the scope of Risk Assessments , for both IT & Business are at corporate level & not conducted for TXU * With regard to Policy Management, policy emerging at corporate level is coming from EFH (Brian Wenning Team). They manage the policies which are operational in Nature the policies are shared on the SharePoint; they are in PDF & same structure as EFH Policy format. | | | | | |
|  | Agreed on Points | | |  | | | | |  | |
| 1 | It was agreed to leverage the Out of the Box Functionality in Enterprise Management & to have common platform in defining the organization hierarchy | | | | | | | | | |
| 2 | For Compliance Management, PCI ,NACHA & SOX is currently performed centrally by EFH team & their no additional testing activities are performed in TXU | | | | | | | | | |
| 3 | PUC Compliance is currently reactive & adhoc process, which can be automated by Archer Platform | | | | | | | | | |
| 4 | For the Management of operational policies of TXU , Policy Management Module in Archer to be leveraged | | | | | | | | | |
| # | Action Items | | | | | Assigned To | | | Due Date | |
| 1 | To Share the organization Hierarchy data post the meeting with the Financial controllers | | | | | Pallavi Kaul | | | July 15th 2014 | |