

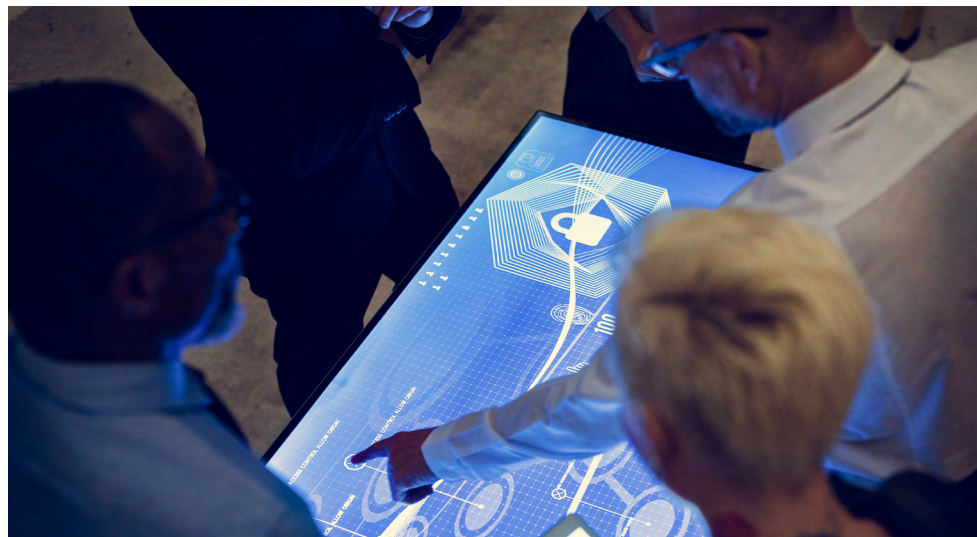


# The Low-Code Audit, Risk, Compliance & Quality Management Software

Unmatched Capabilities on a Powerful Platform  
with On-Premise and Cloud-based deployment options



# 01. Auditrunner The Architecture



01

Auditrunner is designed to provide a secure, user-friendly, comprehensive low-code software platform that encompasses all facets of Risk, Governance Compliance (GRC), and Quality Management.

The architecture allows organizations of all sizes to interconnect people and systems to design and run audit, risk, control, compliance, quality assurance and other related processes seamlessly.

The technology we are built upon digitalized 3000+ business processes for 10+ industries in 15+ years. The modules Auditrunner offers are just a few of these processes.

Auditrunner is used by companies from across various industries such as :

- banking, insurance
- financial services
- energy
- biotechnology
- FMCG
- Manufacturing

## Readily Available Solutions

### Do-it-yourself methods:

Auditing through Spreadsheets, Word Processing, e-mails, drives... As there is no overall thread to bring these documents together, the most valuable asset of today's world, data, is lost, misplaced or not in searchable format. Users heavily rely on manual work which is prone to mistakes in gathering, distributing and archiving of data.

### Basic software solutions:

These solutions are mainly discovery and inventory tools for document tracking and sometimes for task follow-up and are not necessarily designed for internal audit, or other GRC needs. Therefore, they are often not customizable or lack in compatibility with other tools used in the enterprise system. A fragmented approach using multiple tools leaves the users and IT departments having to deal with different user interfaces, data types, installation challenges, accessibility and overall system integrity issues.

### Complex auditing software:

These solutions tend to be too specific for the related department and usually are not designed or do not possess the capability to connect the audit team with the audited departments and their data or to complete an end-to-end-audit. As they are specifically designed for certain types of audit, they lack in flexibility. Any new regulatory or compliance standard demand needs extended periods of work by the software provider and company IT departments. Initial software integration can take up to 6 months or longer. Scaling up and down according to company needs may not be possible.



## 02. Technology Low-code Platform

### User-Friendly

Auditrunner provides a state-of-the-art web-based responsive UI that lets users access the same content using any kind of device with a web browser. End-users do not have to do installation. This provides omni-channel user experience with any device, anywhere, any time.

### Multi-Language Support

Auditrunner supports multiple end-user languages so that the same content can be displayed in different languages regardless of the original design.

### Enterprise Memory

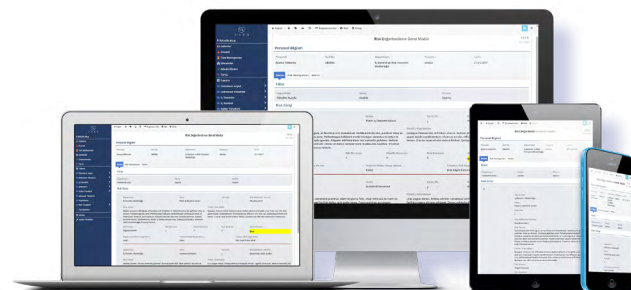
Auditrunner keeps all documents and form data with revision details. Automatic audit trail feature keeps track of details of all tasks and applications.

Information on task creator with creation time, assignee completion time and deadline adherence status details can be queried.

Automatic performance tracking exposes the bottlenecks of a process in an intuitively clear way.

Enterprise Memory forms the data warehouse for business data analytics, process mining, complex event processing, business performance management, predictive analytics, and prescriptive analytics.

Auditrunner transforms complex audit process data into vivid and easy-to-understand infographics.



## Manage all GRC work on a single platform.

### Respond

Use a tool that will make it possible to operate in a responsive manner in today's fast-moving, ever-changing regulatory environment that presents the challenge to comply with multitude of different legislation.

### Customize

Adapt to the evolving changes of your growing organization and address the requirements of the entire user community. Scale up or across using our modules to respond easily to organizational shifts, competitive threats, industry innovations and governmental mandates.

### Deploy

We have automated 3000+ business processes for enterprises around the world. Our GRC platform modules are just a few of them. Cloud-based or On-Premise, deploy and start using.

### Collaborate

Bring together all departments wherever they may be located. Address the requirements of the entire user community. Allow for painless collaboration between executives, process users, administrators and IT teams.

### Implement

Our hassle free implementation and migration process enables you to enjoy the benefits of the platform within weeks of kickoff rather than months. The flexibility and the ease of user customization we offer is unmatched.

## Make better decisions.

## 03. Security

### The Secure Audit

Auditrunner provides premier software for privacy and compliance for cloud, mobile, and web data. Simplify audit and protection capabilities with a single GRC framework.



03

#### OWASP Top 10 risks and DDoS attack Mitigation

Auditrunner leverages GCloud Armour that provides Google-scale protection from DDoS and web attack protection. Auditrunner defends your audits against cross-site scripting (XSS) and SQL injection (SQLi) attacks.

#### Audit Data is Always Secure

Auditrunner offers granular encryption and role-based access control for audit files and documents at-rest. Encryption

keys are stored in GCloud HSM and data remains secure. All data transfers are protected with TLS/SSL encryption.

#### Fine Grain Access Control

Role-based access control (RBAC) defined around roles and privileges of individuals is enabled. Identify and enforce access control based on geographic location of incoming traffic.

Auditrunner supports SAML-compliant SSO including MS Active Directory, Okta, Salesforce and OneLogin.

## 04. Digital Audit

### Digital Audit Approach

Auditrunner Digital Audit Approach is built on two main pillars:

#### Process-based Governance

This approach has all processes and procedures of all departments at the core.

Risks and Controls are associated with these processes, and internal audit activities are executed on the same processes.

#### Criteria-based Governance

This approach has standards and regulations that governs the company at the core.

Criteria are defined based on these standards and regulations, and quality and compliance audit activities are executed using these criteria.

Control Environment Evaluations are also executed on the same architecture.

04

Process-based Governance



Criteria-based Governance



# Auditrunner Modules at a Glance



## Internal Audit

Administer all your internal audit activities on Auditrunner's process-based, risk-oriented internal audit module and in line with IIA standards.



## Risk Management

Associate risks with control points, accredited certification standards and governing regulations, along with information inventory assets. In line with ISO 31000 Accreditation.



## Internal Controls

Define Controls for any process of any department, with control description, control target, key control, control function, automation and frequency details. In line with COSO 2013 Framework.



## Document Management

Create, manage, revise and distribute all internal documentation on a single platform using the advanced document manager and text editor.



## Business Process (BPM) Modeling

Model flow charts of processes with BPMN2 notation, create RACI and SIPOC matrices, associate attributes such as risks, controls, info assets.



## Action Follow-up & Remediation

Report and track progress of all action plans created for findings, nonconformities, regulations and manual entries on all Auditrunner modules.



## Business Continuity Compliance

Execute Business Impact Analysis in line with ISO 22301 Business Continuity Management Standard.



## Quality Assurance

Manage Quality accreditation through audit activities, corrective and preventive actions and registering customer complaints.



## Compliance Audit

With our Criteria based audit architecture execute audit activities for any regulation, collect findings and generate reports automatically.



## Enterprise Memory

Automatic audit trail feature keeps track of action and time details of all tasks and applications on the platform. Compile all documentation with revision details.



## Process Catalog

Compile all internal company processes along with associated documents, flow charts, and other GRC elements.



## Ethical Breach Reporting

Enable anonymous and encrypted employee ethical breach reporting.



## Regulatory Compliance

Compose your regulatory checklist such as for SOX Compliance, define liabilities, associated with risks and assign action plans to business units.



## Data Protection Compliance

Ensure compliance with Data Protection Regulations such as CCPA and GDPR. Compile Personal Data Inventory. Compose data breach reaction plans and manage data destruction policies.



## Information Asset Inventory

Compile Information Asset Inventory to ensure compliance with ISO 27001 Information Security Management Standard.



## Regulation & Standards Catalog

Compile all governing regulations and standards along with associated documents, literature and other GRC elements.



## Meetings, Training & Survey

Organize and execute meetings, create meeting minutes and assign action plans. Create and distribute training material, tests and surveys. Evaluate results and issue certificates.



## Certification Management

Manage device and application compliance against a predefined set of standards and issue unique electronic certificates.



## 05. Modules

### Internal Audit

Execute all internal audit activities on Auditrunner's process-based and risk-oriented internal audit module without the need for 3rd party apps.

## Process Risk Assessment

Simply complete annual risk assessments of the processes. Determine which of those processes should be included in the annual audit plan.

Department	# Process	Dept Score	Impact	Probability	Risk Value	Audit Importance	Number of Audits
Administrative	2 Invoice Creation	2.00	4	4	4	High	2
Information Systems	1 New User Onboarding	2.92	4	2	3	Medium	0

## 05 Audit Universe

Assign planned and ad-hoc process audits and various other activities to the audit team as simple tasks.



Auditors execute their activities on these tasks and Auditrunner will automatically generate custom reports for each activity type. View the annual audit plan timetable with details such as, planned and actual start and completion dates and resource allocation on a single screen.

Year

2020

Planned Activities

Select	Status	Term	Activity Type	Department	Process	Audit Importance
<input checked="" type="checkbox"/>	Unassigned	<div>February</div>	<div>Process Audit</div>	<div>Human Resources</div>	<div>Compensation</div>	<div>High</div>
Select	Status	Term	Activity Type	Department		
<input type="checkbox"/>	Unassigned	<div>January</div>	<div>Investigation</div>	<div>Finance</div>		

+ Add New

Dates

Planned Start	Planned End	Workdays
<div>01.02.2020</div>	<div>24.02.2020</div>	<div>16</div>

Auditors

Personnel	Team Leader
<div>Mac John Gorean</div>	<input checked="" type="checkbox"/>
<div>James May</div>	<input type="checkbox"/>

## End to end Audit Activity

Execute process audits in line with IIA instructions, with steps including preliminary work, opening meeting, field work, closing meeting, management statement and report preparation.

247  
5/6/2019

## Executive Summary Preparation

Preliminary Work	Opening Meeting Minutes	Plan Document	Field Work	Closing Meeting Minutes	<b>Department Statement</b>	Add Executive Summary	Private Notes
------------------	-------------------------	---------------	------------	-------------------------	-----------------------------	-----------------------	---------------

---

### Department Statement

**Caution:** Your statement will be directly put into the audit report and presented to the board. Please mind your grammar, spelling and content.

Control Objective

Integer suscipit, felis in consectetur dictum, ex dolor aliquet justo, a malesuada libero urna nec justo. Pellentesque in faucibus leo. Suspendisse id tincidunt massa. Nullam auctor blandit ex in accumsan. Morbi lectus risus, auctor semper tincidunt ut, pretium vitae mauris. Mauris eu consectetur nibh. Aenean eu tortor convallis, auctor massa nec, tincidunt eros.

No	Finding Type	Finding Description
1	Design	Suspendisse id tincidunt massa. Nullam auctor blandit ex in accumsan. Morbi lectus risus, auctor semper tincidunt ut, pretium vitae mauris. Mauris eu consectetur nibh.

Responsibles

Ozgur Hamurcu

Impact Type	Impact Score	Probability Score	Risk Level	Risk Class
Reputation	3	2	<b>Medium</b>	Operational

Root Cause

Nullam auctor blandit ex in accumsan. Morbi lectus risus, auctor semper tincidunt ut, pretium vitae mauris.

Suggestion

Integer suscipit, felis in consectetur dictum, ex dolor aliquet justo, a malesuada libero urna nec justo.

Impact

Aenean eu tortor convallis, auctor massa nec, tincidunt eros.

Meeting Minutes

Integer suscipit, felis in consectetur dictum, ex dolor aliquet justo, a malesuada libero urna nec justo. Pellentesque in faucibus leo. Suspendisse id tincidunt massa. Nullam auctor blandit ex in accumsan. Morbi lectus risus, auctor semper tincidunt ut, pretium vitae mauris. Mauris eu consectetur nibh. Aenean eu tortor convallis, auctor massa nec, tincidunt eros.

Department's Statement

Integer suscipit, felis in consectetur dictum, ex dolor aliquet justo, a malesuada libero urna nec justo. Pellentesque in faucibus leo. Suspendisse id tincidunt massa. Nullam auctor blandit ex in accumsan. Morbi lectus risus, auctor semper tincidunt ut, pretium vitae mauris. Mauris eu consectetur nibh. Aenean eu tortor convallis, auctor massa nec, tincidunt eros.

Action Plan Present  
  
 Action Date  
 7/31/2019

Compile findings during field work and get management statements from business units. Send meeting minutes to the attendees automatically. Prepare executive summary and distribute it along with the automatically generated audit report.

## Auto Generate Reports

Audit reports with your corporate template and in line with IIA instructions are generated and distributed automatically.

Create, distribute and archive different types of reports for different types of activities, such as investigation, consultancy, and analysis.

[illegible]

# Modules

## Risk and Controls

### Comprehensive Risk Assessment

Here is a step by step walk through of the comprehensive risk assessment process on the Auditrunner platform.

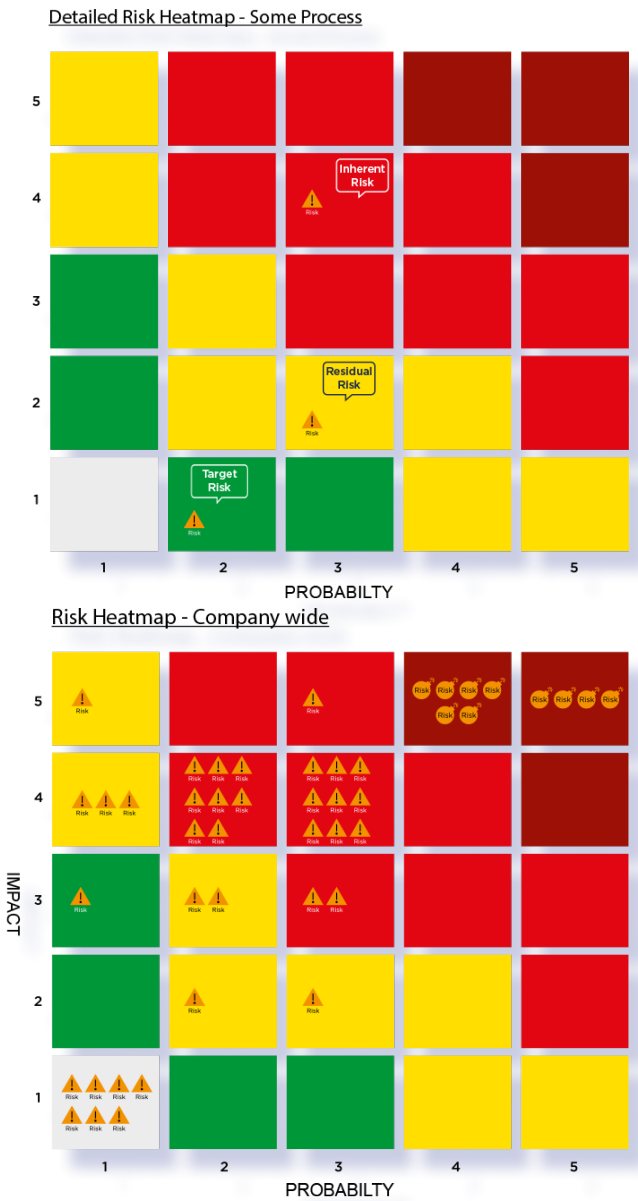
Register risks on processes with inherent residual and target risk assessments. Associate controls, add SWOT analysis.

Define risk tolerance and risk appetite statements along with key risk and performance indicators. Assign action plans to achieve target risk. Associate information assets and link standards and regulations.

### Heat Maps

Populate the heat map automatically. Filter the heat map by department, process, risk level and others.

Consolidate multiple heat maps into a single one. Create separate heat maps for different functions such as ERM, Quality Management, HSE and IT Risk Management.



## Compile Controls

Define controls on processes with detailed attributes, associate these with risks and opportunities. Compile the questions that determine the effectiveness of the control. Assign business units as control owners.

### Opportunity Inventory

Register opportunities on processes with inherent residual and target opportunity assessments. Associate enhancing controls, add SWOT analysis and Monte Carlo Simulations.

Assign action plans to achieve target opportunity. Associate information assets and link standards and regulations.

Control Point Details

Department: Information Technologies Process: New App Onboarding No IT-SB-2

Control Point Definition

Control Objective: Operational Key Control: Key Control Control Function: Preventive Nature: IT Assisted Manual Frequency: Weekly

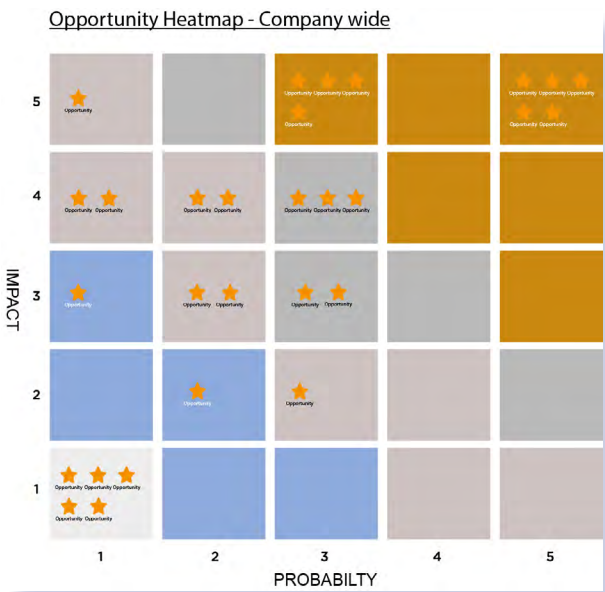
Control Operator: James Hammond

Risks

- IT-RISK-1
- IT-RISK-2
- IT-RISK-3
- IT-RISK-4
- IT-RISK-5
- IT-RISK-6

Control Point Questions

Question: Mauris mollis porta sapien ac dictum?



### Comply with Standards

Work in compliance with COSO 2013 Framework and ISO 31000 Risk Management Standard. Satisfy ISO 9001:2015 requirements.



## Modules

# Quality Management

Auditranner's state of the art criteria based audit architecture enables you to execute audit activities on any standard set or regulation. Collect findings and generate reports automatically.

Define accredited certification standards. Determine related criteria and associated departments for these standards. Create questionnaires for audit activities where the question set is automatically sent to the auditor as an “audit task”.

When the auditor executes his/her activity on this task, the audit report is generated automatically.



## Quality Assurance

Create corrective and preventive action plans for nonconformities, assign them to department heads and track their progress on action plan follow-up. Associate CPAs with customer complaints and management review meetings.

Organize management review meetings, share meeting agendas with attendees. Compose and distribute meeting minutes, define to-do lists and assign tasks accordingly while tracking their progress on action plan follow-up.

## Business Continuity Compliance

Execute Business Impact Analysis and ensure compliance with ISO 22301 Business Continuity Management Standard.


## Information Asset Inventory

Compile Information Asset Inventory and ensure compliance with ISO 27001 Information Security Management Standard.

Corrective Preventive Action Request

Originator

Requester

 Emily Bloom

Title

Director

Department

Corporate Finance

Request

Subject

Artwork related

Related Areas / Category

Packaging

Manifestation

Internal Customer

CPA Code

CPA021319














Date

2/13/2020

Action Qualification


☒ Corrective  
☐ Preventive


Description


Lorem ipsum dolor sit amet, consectetur adipiscing elit. Nunc a urna arcu. Fusce vitae ornare dui. Pellentesque efficitur felis eget tellus dapibus, nec ullamcorper ante molestie. Nam eu lobortis libero.

Files

 Document.pdf

 Select File...

+ Add New File

 Delete All



## Modules Compliance

Criteria based audit architecture enables you to execute audit activities on any regulation. Collect findings and generate reports automatically.

Define governing regulations. Determine related criteria and associated departments for these regulations. Create questionnaires for audit activities where the question set is automatically sent to the auditor as an “audit task”.

When the auditor executes his/her activity on this task, the audit report is generated automatically.

### Data Protection Compliance



Ensure compliance with Data Protection Regulations such as CCPA and GDPR. Compile Personal Data Inventory. Compose data breach reaction plans and manage data destruction policies.

### Regulation and Standards Catalog

Compile all governing regulations and standards along with associated documents, literature and other GRC elements.

### Regulatory Compliance

Compose your regulatory checklist such as for SOX Compliance, define liabilities, associated with risks and assign action plans to business units.



**Operate in a responsive manner in today’s fast-moving, ever-changing regulatory environment and comply with a multitude of different legislation instantly without the need for assistance.**

**The ease of use we offer is unmatched.**

# Modules

## Internal Systems

### Document Management

Create, manage, revise and distribute all your documents on a single platform without using word processing and spreadsheets. Collaboratively create documents and send for approval. Keep track of reading activity.

Create different content and format templates for different types of documents. Report and track progress of all action plans created for findings, nonconformities, and manual entries. Phone calls or e-mails are not necessary.

Department

Headquarters - Information Technologies

Document Type

Process

☒ New Document

Document Information

Title

New document

Prepared By (Please, Enter Name)

(Empty)

Controlling

(Empty)

Document Number

(Empty)

Content Type

☒ Text Document
 ☐ File

Document Content

Section Title

1. Purpose

Section Body

Duis viverra id est et volutpat. Donec aliquam orci ligula, aliquet ullamcorper mauris luctus ac. Pellentesque eget sem non nulla tempus cursus. Ni ornare sed velit nec, volutpat dapibus libero. Donec at pretium nulla. Aliquam molestie nulla a magna condimentum accumsan. Aenean leo sem, alic ut, porta volutpat lorem. Donec pellentesque risus massa, vitae tincidunt leo porta vel.

Donec

Donec, Add New

No item found on this list.

Add New Section

auditrunner

No : IT-SR-2  
Date: 22/04/2019  
Revision

New App Onboarding

1. Purpose

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque eu tristique est, vel ullamcorper purus. Vestibulum et iaculis erat, at maximus dui. In sed dictum tellus. Morbi vulputate mauris at tellus consequat auctor. Integer quam justo, congue vel odio vel, porttitor euismod dolor. Maecenas eu sem lectus. Aenean et accumsan nulla. Donec vitae varius sapien, ac horcort nulla. Cras fringilla eros lectus, id conimentum nisi ullamcorper et. Phasellus nunc neque nec tempus lectus. Vestibulum ante ipsum primis in faucibus orci luctus et ultrices posuere cubilia Curae; Suspendisse ultrices tellus sit amet dolor lobortis, nec accumsan tellus gravida. Nunc sed egestas purus. Quisquam in condimentum diam.

2. Scope

Fuace vel vulputate risus. Sed molestie et est in consequat. Praesent euismod ante ac sapien consequat, in congue ligula gravida. Nunc quis ligula vel purus faucibus mollis. Fusce interdum libero id nri tempus vulputate. Mauris eget est sollicitudin, fagiat ligula vel, ullamcorper fide. Proin eget justo libero. Sed eu euismod purus. Maecenas risus diam, ultrices varius ante nec, accumsan fermentum. Etiam tristique dignissim eros, vitae vulputate in posuere vel. Vestibulum interdum pulvinar purus, eu viverra volli ultrices eget. Aliquam id elevarum tunc. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Phasellus gravida conector odio, sed aliquam et imperdiet a. Sed et euismod purus, posuere elementum ut.

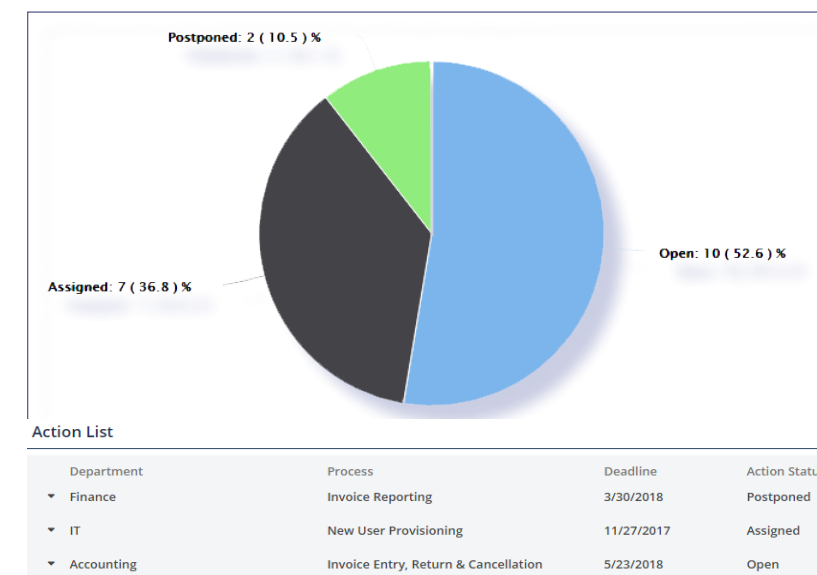
3. Definitions

# Auditrunner is creating the new standard in integrated audit, risk, quality and compliance management.

### Action Plan Follow-up

A 'Follow-up Task' is assigned along with the predefined deadline to the action owner. The task maybe for a finding, a non-conformity, or a regulation entry, approved by the senior management.

The system sends periodic notifications to action owners as the deadline approaches. Real-time status of action plans can be tracked with infographics.



### Information Asset Inventory:

Compile asset inventory and ensure compliance with ISO 27001 standard.

### Business Process Management (BPM) Modeling:

Model flow charts of processes with BPMN2 notation. Create RACI and SIPOC matrices, associate attributes like risks, controls, and info assets.

### Process & Regulation and Standards Catalogs

For Process Catalog compile all internal company processes along with associated documents, flow charts, and other GRC elements. For Regulation and Standards Catalog compile all governing regulations and standards along with associated documents, literature and other GRC elements.

### Meeting Management:

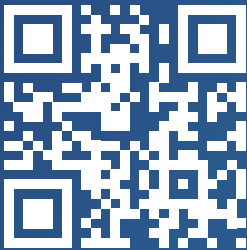
Organize and execute meetings, create meeting minutes and assign action plans on the platform.

### Training and Surveys:

Create and distribute training material, test and surveys. Evaluate results and issue certificates.

## Request a Demo

[demo@auditrunner.com](mailto:demo@auditrunner.com)



## Listen For A Cause : Water.org

For each Demo, Auditrunner will donate \$20 to support Water.org to change lives with safe water. This will create \$1320 worth of impact.

4048 Lick Mill Blvd.,  
Santa Clara, 95054,  
CA, USA  
[info@auditrunner.com](mailto:info@auditrunner.com)

For Collaboration inquiries:  
[partner@auditrunner.com](mailto:partner@auditrunner.com)

