

Landing Page

Key Message

The Landing Page gives all users that impact your process, the visibility to work efficiently, and the ability to access the data that is relevant to them. Widgets, tasks, comments, and dashboards provide line of sight into what is in your area of responsibility. This guarantees **real-time data** allowing you to make quick, confident business decisions, spend **more time advising the business** and less time tracking down information.



Discussion Points

- Easy to **create and manage dashboards when needed (no need to wait on IT or customer service)**
- Standard boards by role or customize
- **Drill down into the data**
 - **Open report or dashboard**
- **Reports and dashboards are pulling from a core data set (one single source of truth)** - always up to date
- No need to manually refresh or add in data in order to update
- **Easily build personalized dashboard views** that are role-based

Dashboards

Key Message

Dashboarding is also a key feature set unique to Workiva. The dashboard environment guarantees **real-time data** allowing you to make quick, confident business decisions, spend **more time advising the business** and less time tracking down information. They are **easy to use, change, and create**.



Discussion Points

- Easy to **create and manage dashboards when needed (no need to wait on IT or customer service)**
- Splice and dice data as needed for reporting purposes
- **Drill down into the data** that is driving the chart with one click to view data in a report format
- **Reports and dashboards are pulling from a core data set (one single source of truth)** - always up to date
- No need to manually refresh or add in data in order to update
- **Easily build personalized dashboard views** that are role-based and presentation ready

Menu Outline



Discussion Points

- Easy to navigate throughout Workiva
 - **Hover over left-hand outline**
- **All of Workiva is pulling from (one single source of truth)** - always up to date
- **Personalized views** that are role-based for each user

RCM

Key Message

Single, comprehensive access point that ensures data integrity and efficiency across documentation, testing, and reporting.

The RCM has a familiar look and feel, but it's much more powerful than the RCM you may have in Excel or other tools. What we are looking at is a **dynamic relationship between risk and control information**, and any change made in the RCM instantly cascades across all usages - in testing, documentation, and reporting. **Users can easily modify or add new controls, and every change has a full audit trail.**



Discussion Points

- **Full audit trail**
 - Change control description in report view
 - Expand history panel on RH side
- Easily configurable
- Global and granular views of data - speak to this high level (only pivot/filter the RCM if necessary due to their Required Capabilities or the structure of their org)
- Control focus page - ability to document the fields that are important to you
 - Open your control
- Ability to map controls to risks, frameworks, assertions, etc.
 - Show the Mapping and Mitigation section

Control Form

Key Message

Achieve **consistency** across testing procedures by **collaborating** with external auditors and control owners in a single, controlled environment. Save time with **automated workflow, real-time results**, and testing **progress dashboards**.



Discussion Points

- **Purpose-built** for SOX testing (*patented technology built from ground-up based on customer feedback*)
 - Have your assigned SOX control test sheet open or access from Home screen
- Separate tab for each phase of testing
 - Open to "Walkthrough" phase
- Walkthrough tab overview - includes connected files allowing for easy navigation from data to documents
- Test steps/attributes built out on Overview tab, flows through to test phases
 - Open to "Interim" phase
- Test steps/attribute feeds into attribute testing matrix
- All PBC Requests associated with control are attached directly to control test for easy reference
- Samples and supporting docs automatically pull in to test matrix **directly from PBC workflow**
- Supporting doc can be obtained from the matrix or this right hand panel regardless of whether you requested that information or uploaded it yourself.
 - Open right-hand panel (paper clip icon)
- You have the ability to open this documentation in Microsoft online or Open Locally
 - Select drop arrow from Population File to show MS Online and open local options

Evidence Mark-Up

Key Message

Achieve **consistency** across testing procedures by **collaborating** with external auditors and control owners in a single, controlled environment. Save time with **automated workflow, real-time results**, and testing **progress dashboards**.



Discussion Points

- With one click, supporting documentation is displayed in a viewer **where markup can easily occur with drag and drop** functionality
 - Click on folder from matrix to open docs in Viewer
 - Drag and drop attributes - 1 pass, 1 fail
- Once testing is done, moves through **review workflow**
- As testing status changes or any data is updated/added, it is being **captured in reports and dashboards**, giving **instant visibility into results**
- Issues are documented at a control level as they occur, flow through to report
 - Open "Overview" tab > Deficiencies & Remediation Section
 - Create new issue and complete the following fields:
 - Issue ID: EXP – DEMO ISSUE
 - Issue Summary: [Whatever you want here]
 - Reported By: [Your Name]
 - Severity: Deficiency
 - Type: Operating Effectiveness Gap

[Transition to Reports:](#) The benefit of working in a data centric environment is that as soon as data is entered into a test sheet or anywhere else within your SOX environment, that information can be instantly reported out on. Let's take a look at the deficiencies report in Workiva to see what I mean.

Narrative/Flowcharts

Key Message

Engage all business owners and external parties with a single, intuitive tool. Collaborate **in real-time** on consistent data with a **detailed audit trail** while **maintaining control and driving instant updates**.

Documentation is a key differentiator of Workiva. All risk and control information is connected across ALL usages in Workiva, and any edit is tracked across all of these usages. At its core, Internal Controls compliance is **all about documentation**. The foundation of Workiva maintains **consistency and controls the quality** of information across all usages.



Discussion Points

- Introduce linking (in Expenditure section of ABC Company narrative)
 - Hover over control ID EXP - 1.1.1
- Show link properties, navigate to control focus page to make an update
 - Open Link Properties panel
 - Navigate to control focus page and update the link
- **Linking ensures RCM information is consistent across process narratives, flowcharts, testing, and reporting**
- **Consistency ensures accurate documentation, which in turn --**
 - Align information across all usages for external audit review
 - Allows the POs and COs to fully document a process and identify if there are any risks not currently mitigated
- **Ability to create and edit documentation is engrained in the Workiva environment, no separate files or document types outside the system**
- Explain document outline in narrative- **Collaboration**
 - Hover over Doc Outline panel
- Permissions across the platform
 - **Do not show, only speak to permissions matrix**
- Version control
 - Click on History to show audit trail
- Different document types: editor, presentation, spreadsheet
 - Switch to expenditures flow chart to show it is available

PBC (Provided by Client)

Key Message

Within Workiva, you'll have access to a PBC Request workflow that will automate the documentation request process and provide transparency into an otherwise traditionally cumbersome and time-consuming process.



Discussion Points

- Introduce dashboard, provides instant transparency into process
- Request process initiated in Workiva
 - Point out "Create Request" button - do not click
- Once request is submitted, moved to "Requested" status on dashboard and CO/PO receives email notification
- Tracking requests and follow-ups - no emailing back and forth
- Ease of use for occasional business user (CO/PO)
- Random Sampling
- Attachments automatically uploaded into testing sheets

Testing

Key Message

Achieve **consistency** across testing procedures by **collaborating** with external auditors and control owners in a single, controlled environment. Save time with **automated workflow, real-time results**, and testing **progress dashboards**.



Discussion Points

- **Purpose-built** for SOX and Internal Controls testing (*patented technology built from ground-up based on customer feedback*)
 - Have your control test sheet open or access from Home screen
- Separate tab for each phase of testing
 - Open to "Walkthrough" phase
- Walkthrough tab overview - includes connected files allowing for easy navigation from data to documents
- Test steps/attributes built out on Overview tab, flows through to test phases
 - Open to "Interim" phase
- Test steps/attribute feeds into attribute testing matrix
- All PBC Requests associated with control are attached directly to control test for easy reference
- Samples and supporting docs automatically pull in to test matrix **directly from PBC workflow**
- Supporting doc can be obtained from the matrix or this right hand panel regardless of whether you requested that information or uploaded it yourself.
 - Open right hand panel (paper clip icon)
- You have the ability to open this documentation in Microsoft online or Open Locally
 - Select drop down arrow from Population File to show MS Online and open local options
- With one click, supporting documentation is displayed in a viewer **where markup can easily occur with drag and drop** functionality
 - Click on folder from matrix to open docs in Viewer
 - Drag and drop attributes - 1 pass, 1 fail
- Once testing is done, moves through **review workflow**
- As testing status changes or any data is updated/added, it is being **captured in reports and dashboards**, giving **instant visibility into results**
- Issues are documented at a control level as they occur, flow through to report
 - Open "Overview" tab > Deficiencies & Remediation Section

Remediation

Key Message

Facilitate the internal audit management process with end-to-end process collaboration. Leverage the remediation experience, dashboards, and reports to manage, track and remediate time-sensitive issues.

Discussion Points

- Issues are documented at a control level as they occur, flow through to report
 - Open "Overview" tab > Deficiencies & Remediation Section
- Create an issue from the testing form
 - Create an Issue from the Control Testing Form in the ribbon at the top of the form
- Metadata related to the deficiency can be tracked on the Issue Form in the remediation experience
 - Discuss some fields on the issue form that are pre-populated for ease and highlight flexibility of Issue Form to track whatever the customer would like
 - Populate the fields, so that it can be easily identified in the reports, for example add the client's name to the Issue ID field
- Issue Forms are completely collaborative
 - Discuss the right-hand panel where comments can be left on the issue to collaborate with process owners
 - Discuss how attachments can be added to the issue form directly to evidence any remediation efforts
 - Request Workflow can be leveraged to call process owners into the application to initiate remediation efforts, such as management's response
- Users can also correlate issue forms with action plan forms to track the necessary steps required to remediate an issue
 - One to one and one to many relationships, where a single action plan can remediate several issues
 - Request workflow can be used to route issues & action plans to individual stakeholders to target specific responsibilities
- Leverage reports & dashboards to track and report on status of issues
 - Open "Issue Listing" Report and discuss the different ways to slice and dice data & highlight the issue you created during the demo.
 - Open any of the chart views in the Issue Listing report to discuss the different ways the data can be visualized
 - Open SOX Deficiency & Remediation Dashboard to show how that information can be constructed into meaningful dashboards

Reporting

Key Message

The reporting environment guarantees instant visibility into your entire process and results of the work, allowing you to spend **more time making decisions** off of key data and less time tracking down information. They are **easy to use, change, and create on the fly**.



Discussion Points:

- Various different types of reports in Workiva
 - **Open "Deficiencies" Report**
- User Centric Reports = report will only show data applicable to that specific user
 - Example: My Controls report will show a control owner their specific list of controls that fall under their responsibility
 - **Open "My Controls" Report**
- Easily build **personalized report views with drag and drop pivoting** functionality
 - **Show different tables or views on left-hand panel**
- **Can create as many views as needed, no need to contact us or wait on IT**
- Creating a view (table) is **not changing the master report or underlying data**
- Tables are not static - will be up to date every time they are accessed
- Reports can be **permissioned based on user roles**
 - **Point out "Permissions" icon (do not click)**

Audit Committee Report

Key Message

Present accurate, real-time data to the audit committee while eliminating time on non-value add work such as creating and updating slides. **Focus on content and analysis for quarterly meetings to drive confident business decisions.**



Discussion Points:

- Ability to **create finalized, polished deliverables** in one centralized platform
- Easily create customized presentation and reports
- Ability to **pull data directly into reports with one click via linking capability**
 - Point out destination links in AC Presentation
 - Show link properties

Certifications

Key Message

The certification tool is **easy to use**, **reduces the risk** of human error and missed deadlines, and **enables visibility** into your Internal Controls process.



Discussion Points

- Set due dates once and **system will manage the deadline reminders**
- Tracker serves as **real-time dashboard** to show current status of certifications
 - [Open Tracker](#)
- **Easily create and distribute** certification letters
 - [Open Certification Letter example](#)
- Set up **automated workflows** for certification approvals

IR Suite

! If you're going to do a high level overview of the IR Suite, have all solutions already up (1 tab for each) to make it easier and quicker to transition through.

Key Message

Workiva is a collaborative and connected platform for audit, risk and compliance.

Consolidated Reporting

- Consolidate reporting across relevant solutions for Leadership Meetings;
 - Have open the Avikro Audit Committee Report presentation;
 - Audit Finding - Risk Impact slide incorporates audit and risk info to tell a story of risk in the org;
- One-stop shop for status across solutions;

ERM

- Connected deliverables (heat maps) that automatically update as soon as risk assessment process is complete;
- Personalized risk assessments;
- And an ability to map risks to business processes, policies, and even leverage that data seamlessly for audit-purposes;

Audit

- Manage your audit process all the way from planning to final reporting;
- All audit programs created and managed in central location;
- Ability to pull from a library of audit programs from AuditNet;
- Automated dashboarding and reporting;

SOX/Internal Controls

- Manage your Internal Controls process from scoping to final review and reporting;
- All Internal Controls testing done right within the platform;
- Automated dashboarding and reporting capabilities;
- Ability to bring in External Auditors in a controlled way, if desired for reliance purposes;

Policy

- Create, manage, and consume policy documents in a single, collaborative environment;
- Ability to link in specific control or risk information, as needed;
- Real time visibility into status of policy review/approval process;
- Connectivity back to the risk, processes, and audits that may need to leverage or reference the policy.