



The Advantage of Risk

ONE RISK ADVISORY & Process Mining

USE CASE : CONFORMANCE CHECKING

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What can Process Mining do for you?

Process Mining is a generic term that covers a collection of use cases of which process discovery is oftentimes best known.



Process discovery

To obtain insight in the actual (as is) process flow, the order of activities, process loops and bottle necks as the starting point for process improvements



Automation rate analysis

To identify high frequent manual activities, indicating opportunities for process and control automation



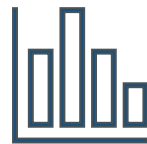
Conformance checking

To validate adherence to applicable process and control requirements and to obtain insight in any flaws or deviations



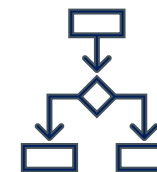
Root cause analysis

To identify and quantify the drivers of constraints when process or control performance results are out of bound



Performance analysis

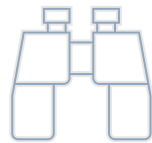
To define KPIs and measure and report actual process performance results (e.g. lead times, idle times) and to perform benchmarks



Segregation of Duties analysis

To identify and understand the actual usage of conflicting system authorizations

What can conformance checking with Process Mining can do for you?



Process discovery

To obtain insight in the actual (as is) process flow, the order of activities, process loops and bottle necks as the starting point for process improvements



Automation rate analysis

To identify high frequent manual activities, indicating opportunities for process and control automation



Conformance checking

To validate adherence to applicable process and control requirements and to obtain insight in any flaws or deviations



Root cause analysis

To identify and quantify the drivers of constraints when process or control performance results are out of bound

In this use case we show you the benefits of conformance checking with the use of Process Mining.

Learn about the benefits of conformance checking with Process Mining

Conformance checking

Validating adherence to applicable process and control requirements and identifying any flaws or deviations.

**To improve performance, to strengthen governance,
to increase assurance and to reduce compliance cost.**



Common approach - audits

The common approach is to periodically audit the level of adherence. Lots of time is spent at collecting and analysing relevant documents, oftentimes completed with lengthy interviews with numerous experts.

However, the efforts are suboptimal, due to the time lag between occurring and notifying deviations, which comes with the nature of audits. Also audits are sample based and only show the status at a certain point in time.

As a consequence the bases for timely, fact based and effective management interventions, is weak.



Alternative solution - process mining

Process mining allows to obtain insight in all instances of non-conformance to process and control standards over a period of time. The non-detection risk is therefore excluded, while the time spend by involved experts and the necessity to for hiring expensive auditors can be limited, which lowers the cost of compliance, while increasing the level of assurance.

The obtained insights are fact based and data driven and not impacted by business politics and individual biases. On top, process mining allows to obtain desired insight on a high frequent, even close to real time bases, which allows to apply effective and timely interventions even before the consequences of instances of non-conformance materialize.

Finally process mining can contribute to risk-based process and control reviews and audits and can perfectly support ambitions like continuous control monitoring and continuous auditing.



Common approach - resume

To identify and understand process and control deviations, you need to invest considerable time and resources

Point in time insights

Sample based conclusions

Time consuming investigations

Numerous expert interviews

Subjective opinions

Late management response



High cost of compliance, considerable non-detection risk and after the fact management interventions

Conformance Checking - resume

**To identify and understand process and control deviations,
you apply conformance checking via Process Mining**

Period of time insights

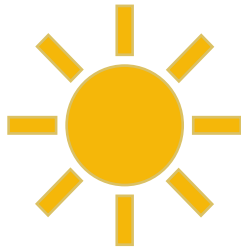
Limited time spend by experts

Full scope assessments

Non biased insights

Efficient evidence gathering

Timely management interventions



**Reduce cost of compliance,
strengthen process and control
monitoring, exclude non-detection
risk and increase assurance levels**

Process Mining strengthens Process and Control Conformance



CONFORMANCE CHECKING

Validate adherence to
applicable process and
control requirements



FROM

Expensive
Sample based
Post mortem
Periodic audits



TO

Efficient
Full scope
Close to real time
Continuous monitoring

Contact details



**Contact us to make a solid business case for
process mining together!**

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