Embracing Digital Transformation in Ethics & Compliance

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What is the digital transformation maturity level within your organization?

A. Planning
B. Early State Adoption
C. Embedded
D. None
Maturity Level By Function for Data Analytics

Dell Technologies’ Multi-Year Digital Transformation Journey

- **Pilot high-profile known cases for lessons learned and initial feedback**
- **Benchmark with other leading companies and join BELA WG**
- **Allocate, hire and train dedicated role**
- **Lock program vision, strategy and quick wins**
- **Build awareness of program with internal stakeholders**
- **Formalize program playbook and metrics**

- **Grow team and continue to execute high-profile cases**
- **Expand partnership and interplay w/ stakeholders**
- **Enhance use of Navex for reporting and trending**
- **Co-build dashboard for predictive analytics foundation**
- **Develop/Deploy Archer E&C MAP capability (interim)**
- **Use of surveys for formal feedback loop**
- **Continue demonstrating RoI**

- **Design/deploy longer term predictive approach**
- **Integrate with other digital transformation initiatives**
- **Design/deploy Compliance by Design initiative**
- **Mature business accountability model**
- **Continue scale w/ expanded stakeholder roles**
- **Gain recognition as leading program/share externally**
- **Leverage program internally**

- **Use of machine learning for continued predictive analysis**
- **Real-time proactive resolution**
- **Expanded risk scope and applicability pan-Dell**

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**Analytics Investments Across the Enterprise**

- **Quality**
- **Audit**
- **Talent Analytics**
- **Procurement**

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**Source:** Gartner CEB Journal of Finance | Risk | Strategy
Which technology is your organization primarily focused on deploying?

A. Robotic Process Automation  
B. Machine Learning and AI  
C. Data Analytics & Visualization  
D. All the above

Ethics & Compliance Digital Transformation Focus Areas

Real-time Awareness & Controls  
Build and deploy real-time digestible awareness and application of controls based on risk profiles and business processes.

- Digital Studio
- WalkMe™
- Digital Twin
- simpleshow™
- Competition Cases
- Mobile-based (internal & client)

Intelligent Process Automation  
Eliminate lower risk and repetitive tasks with maximized use of technology (e.g. RPA, NLP, ML).

- Brainspace™
- Triage Bot
- Discipline Decision Matrix
- Investigations Dashboard
- Automated Fraud Detection

Service Delivery Enhancement  
Optimize client-service delivery models with greater emphasis on technology and mobility.

- Digital Advisor
- NAVEX Global® Mobile Helpline
- Inquiry Self-Service Model
- Subpoena Process
- E&C Tools & Processes

Proactive Risk Management  
Proactively identify and root cause key matters, assess impact of new legislation and use data analytics to manage risk.

- RSA Archer® Ethics Remediation
- RSA Archer® Risk Assessment
- Digital Partner
- Digital Deal
- G&H and A/P Analytics
- Anti-Retaliation
What level of investment is your leadership planning to allocate to digital transformation over the next 1-5 years?

A. $0 - $1M  
B. $1M - $5M  
C. $5M - $10M  
D. >$10M

Double-Click: G&H Digital Advisor

Dell Digital Advisor for Gifts and Hospitality

This tool will help guide you to make the best decisions that are aligned with the Dell Global Gifts & Hospitality Policy.

This tool does not supersede guidance provided by Global Ethics and Compliance or Legal Counsel. The selections made by you while using this tool are not tracked.

RoI: 57% reduction QoQ
Double-Click: Automated Fraud Detection

Double-Click: Digital Partner

Assess
Measured capability assessment against 4 core essential elements.

- Measured against leading practices
- Based on international guidance
- Rated maturity on a scale from 1 to 5

Verify
Independent expert analysis and established baseline for improvement.

- Review documents and assessment
- Conduct virtual interview
- Provide a verified score and benchmarking

Improve
In-language roadmap for success and support to maturity goal.

- Recommendations and improvement plan
- Link to resources and templates
- Follow-up calls and virtual assistance

Joint effort with CREATE.org