SymSure for IDEA
A Perfect Match

Presenters:

Andrew Simpson, CEO, SymSure
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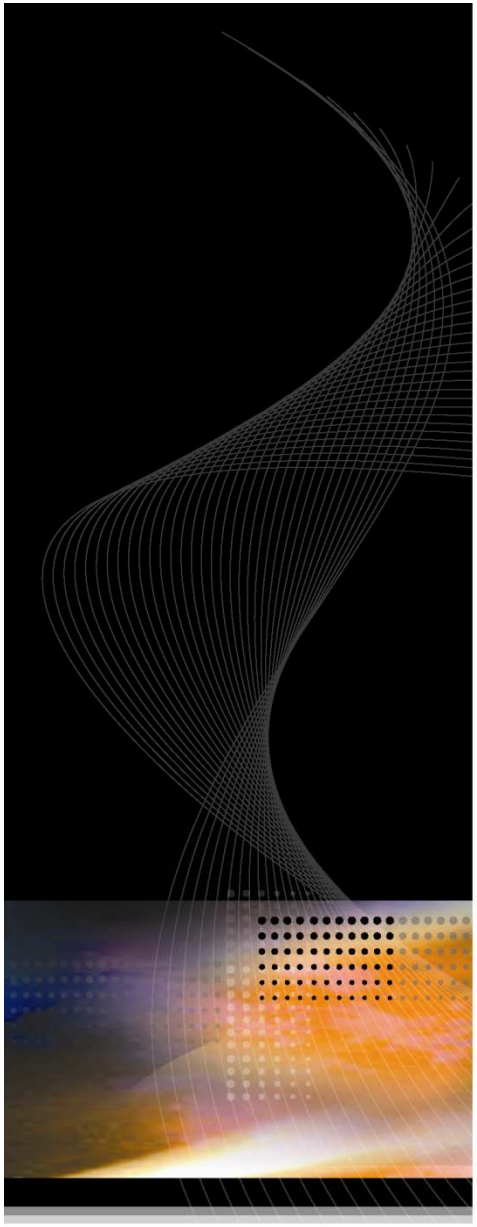

The Perfect Match

SymSure Monitor

A comprehensive framework for continuous monitoring, providing cost-effective controls monitoring, issues management workflow and documentation of exception resolution.

IDEA Data Analysis Software

The leading data analysis software used by 150,000 auditors and financial managers to read, display, analyze, manipulate, sample and extract data from any source.

SymSure for IDEA

SymSure for IDEA is an unbeatable combination of state-of-art monitoring and workflow technology with a robust and easy to use power of IDEA analytics.

SymSure for IDEA

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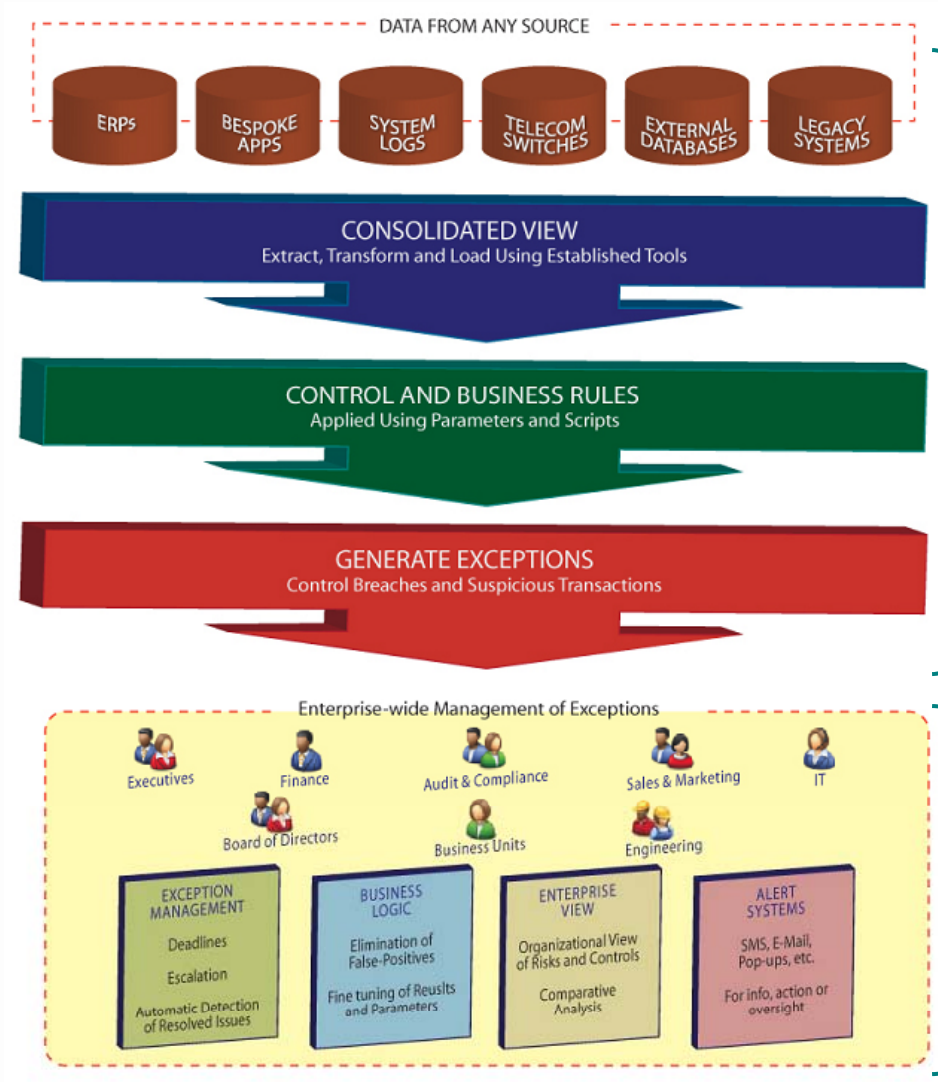
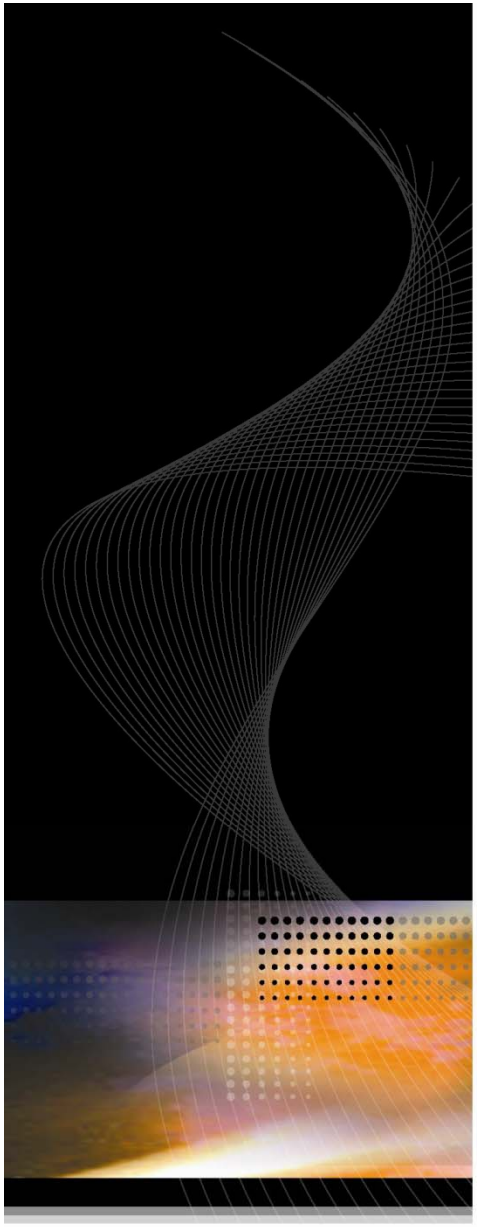
Solution Concept



IDEA
- ✓Access
- ✓Quality
- ✓Analytics

SymSure
- ✓Distribution
- ✓Visualization
- ✓Workflow
- ✓Resolution



The Value Proposition

- Enterprise-wide view of controls and compliance
- Reduces errors and fraud
- Independent of business systems
- Implementation simple and inexpensive
- Rapid ROI

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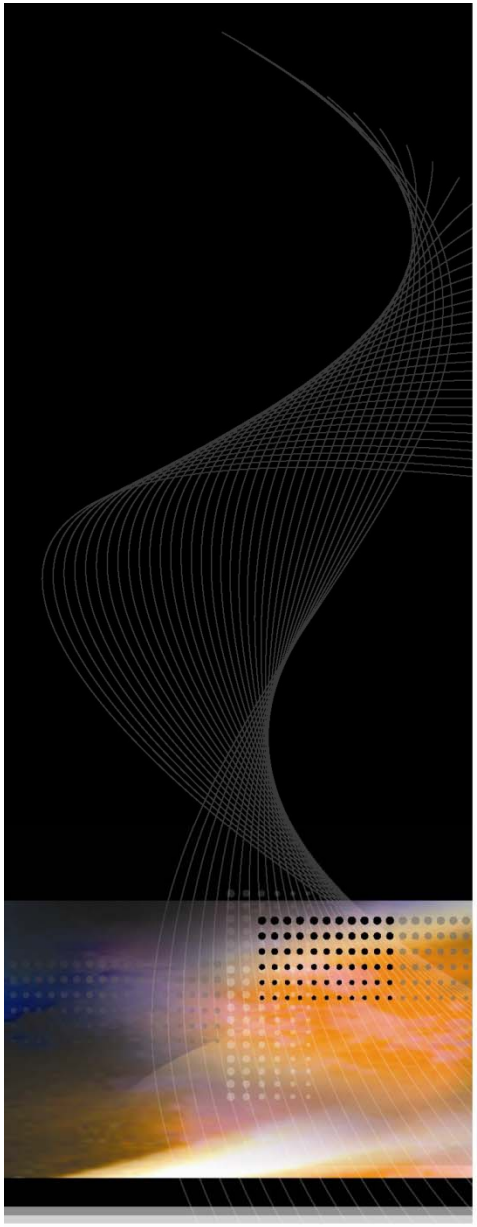
Implementing the Solution



Rapid and Efficient Solutions

- Convert existing IDEA scripts to CA solutions quickly
- Build new rules and implement seamlessly

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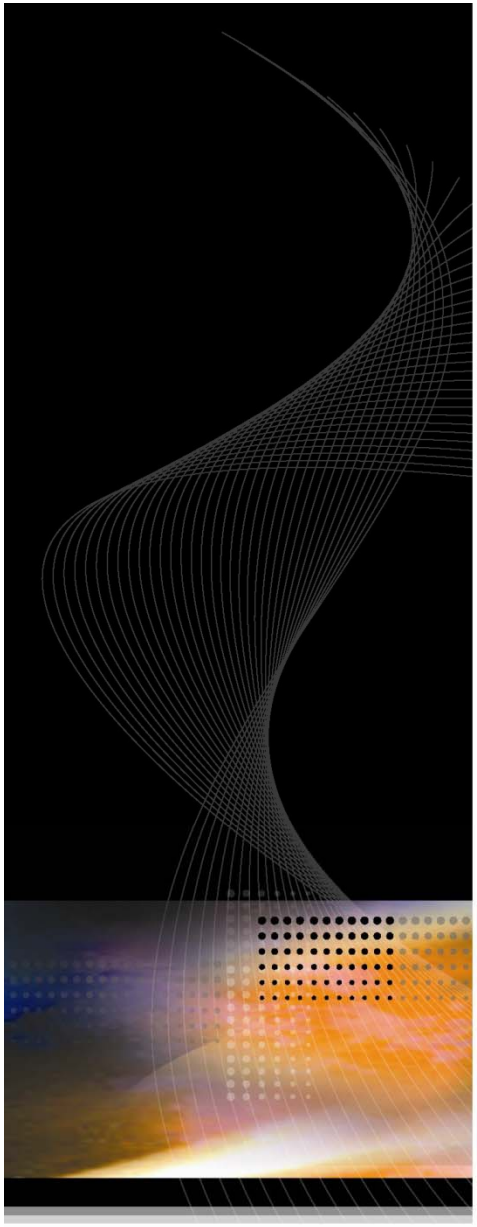

Summary

- We have kept it simple
- Scripting is intuitive
- Checking the scripts into the CA framework is easy
- The monitoring is flexible
- Customer is in total control

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A STEP BY STEP GUIDE TO EASILY BUILD YOUR OWN CONTINUOUS MONITORING SYSTEM

- Identify key controls to be monitored.
- Identify data required to show operation of controls – **SymSure for IDEA** can work with data from any source.
- Design tests in IDEA using IDEAScript, a powerful industry-standard programming language, or Visual Script, a new tool in IDEA Version Eight that allows script creation with no programming required.
- Package and check-in the tests to SymSure.
- Open the SymSure Navigator from within IDEA to control scheduling, distribution of issues and modify reports.
- Use the workflow management and dashboards in SymSure Monitor to manage and document issue resolution, report to appropriate levels of management, and enhance control systems.

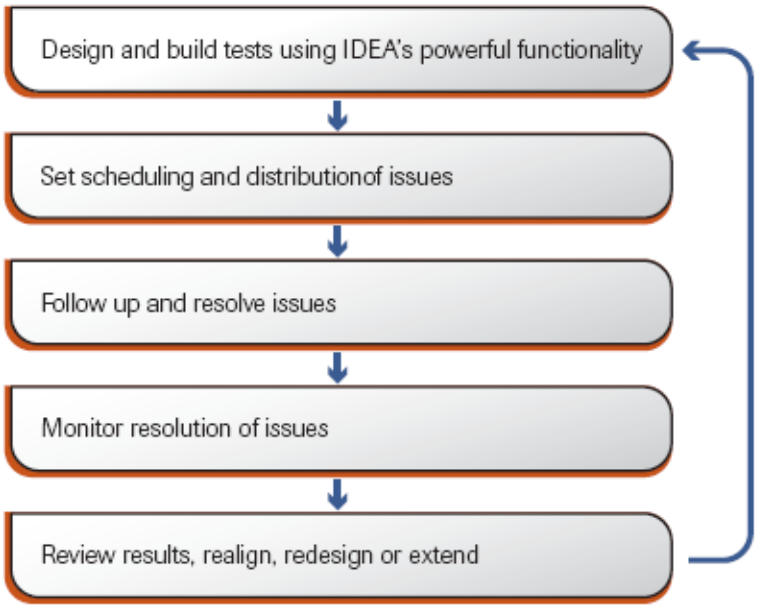

Figure 2 • SymSure for IDEA gives you everything you need to build a complete continuous monitoring system

SymSure for IDEA is supplied with a complete set of tools, interfaces and components, including:

- **SymSure for IDEA Server Configuration**
  The application server hosts the business logic used within the business processes. This is the central point for configuration of the solution.
- **SymSure for IDEA Expert Client**
  Expert Clients are provided with oversight for business processes. The Client has a number of dashboards to facilitate management of the resolution of issues and the use of the application.
- **SymSure for IDEA Basic Client**
  Basic Clients get specific issues requiring resolution.
- **IDEA Version Eight SymSure Extension Pack**
  An extension of IDEA that allows users to access features within the SymSure framework directly from within IDEA.

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SymSure for IDEA Server Configuration

The **SymSure for IDEA Server Configuration** is an administrative tool used to set up the framework for continuously monitoring exceptions, risk levels, and performance in any business process.

With the **SymSure for IDEA Server Configuration**, you can:

- Enter your company details
- Deploy the SymSure Client
- Create user accounts and groups
- Configure e-mail and SMS notifications

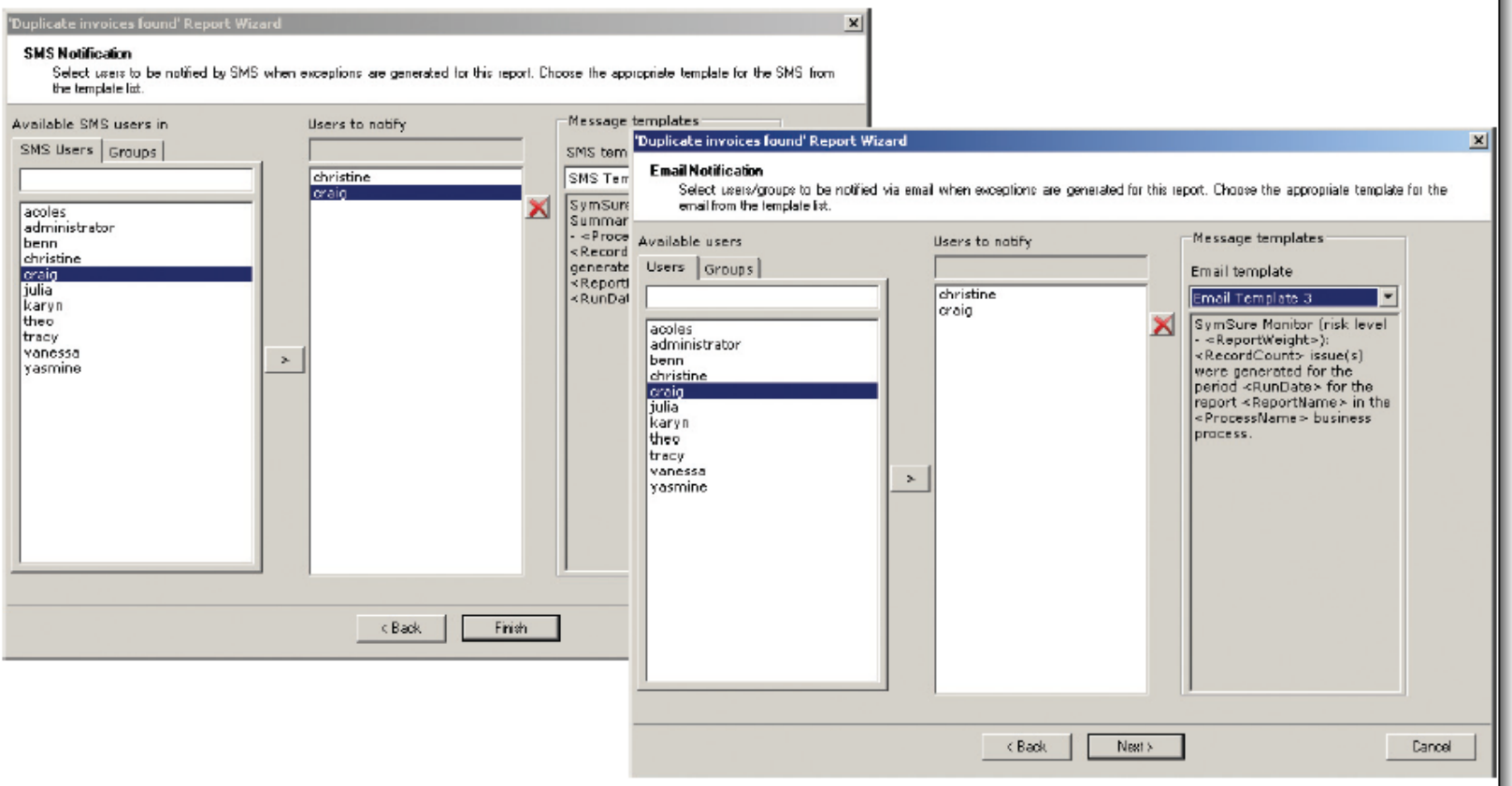

Figure 3 • Use the SymSure for IDEA Server Configuration to easily set up or modify notification requirements with e-mail or SMS

SymSure for IDEA Client – Expert and Basic

The client is the front end of **SymSure for IDEA**. It consists of interactive "dashboards" that display the issues found in the data source. Results are displayed in user friendly interfaces where users can review the issues and make decisions, reassign an issue to a more appropriate staff member, view the history of activities, make comments on actions taken and attach screenshots, spreadsheets, and other documents as evidence of work done.

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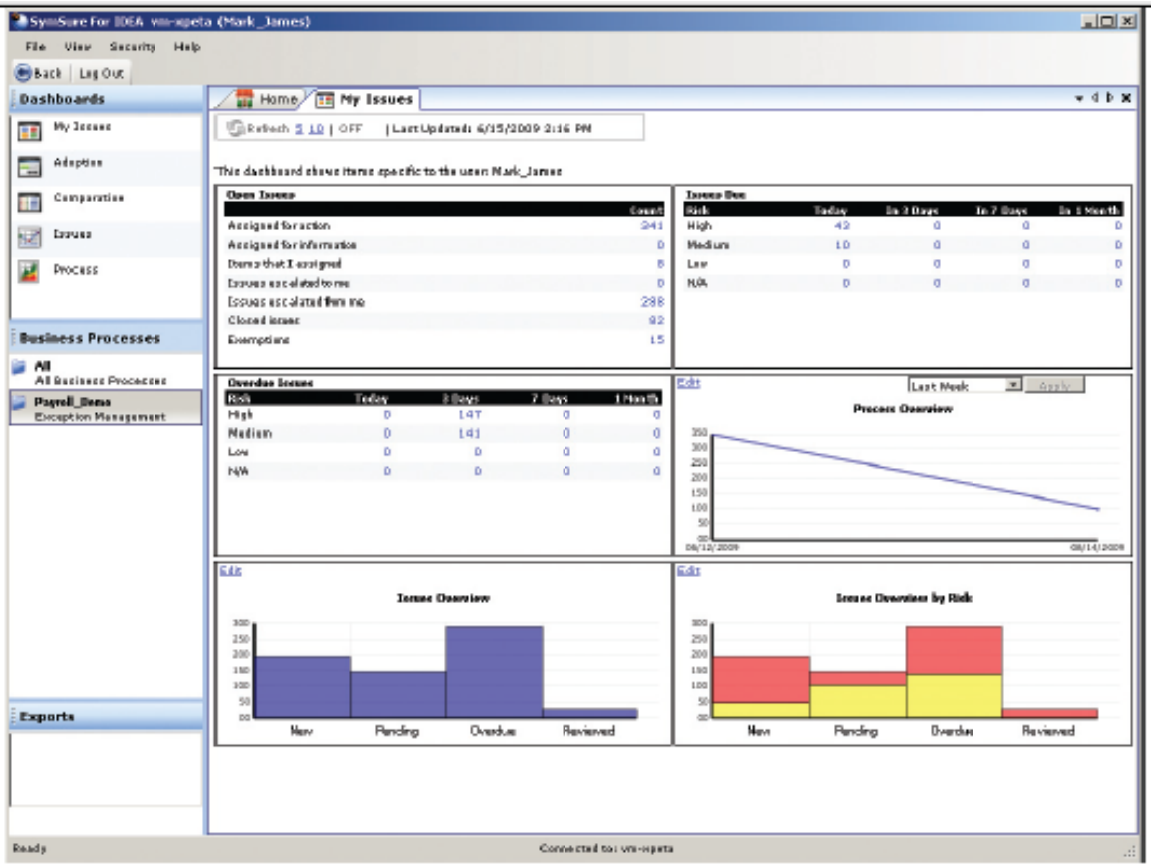

Figure 4 • The SymSure for IDEA Expert Client can see a number of "dashboards" providing up-to-the-minute information on the status of issues.

IDEA Version Eight SymSure Extension Pack

The extension pack includes four modules.

Connect

The Connect component is used to connect to the SymSure for IDEA Server Configuration Tool. To access all other **SymSure for IDEA** components, you must first connect to the SymSure for IDEA Server Configuration Tool.

Report Creator

The Report Creator component is used to configure your SymSure reports from within IDEA. Report Creator lets you create a report of issues by associating an existing business process or by creating a new business process, defining the name and description for the report and also selecting the data fields to be included in the report.

Package for SymSure

The Package for SymSure feature in IDEA lets you package IDEAScript and Visual Script macros so that they can be sent to **SymSure for IDEA** and used to create business processes.

Navigator

The Navigator component lets you view and manage reports, business processes, schedules, logs, and packages in **SymSure for IDEA**. The distribution of issues to users and notification of new issues can be tailored for each report. Under Schedules, the frequency of running reports is determined. Tests that are packaged for SymSure are checked in before setting the distribution and schedule, and can be checked out when the underlying IDEAScripts need to be modified.

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SYMSURE FOR IDEA — HOW TO GET STARTED

All in One Solution

SymSure for IDEA Basic Package includes all you need to get started with continuous monitoring:

- SymSure server-based monitoring software, IDEA Server engine and configuration tools
- Up to 3 Expert User client licenses
- Up to 10 Basic User client licenses
- Installation assistance and basic user training
- One year support, maintenance and updates

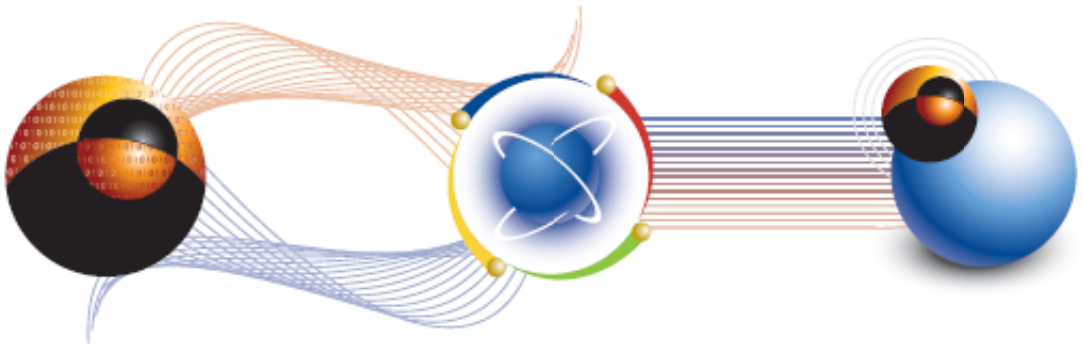
(Note: Organizations not currently CaseWare IDEA clients will also require IDEA end-user licenses for staff charged with developing test routines.)

With **SymSure for IDEA**, internal audit and finance can work together to quickly and easily build continuous monitoring systems, using data from any source, to test controls and business policies across the organization.

- Choose a business process and build a proof of concept. Choose a process with a high chance of immediate payback – an area of high risk or perceived weak controls.
- Analyze the business process to identify key risks and mitigating controls.
- Identify what information would indicate controls are operating effectively.
- Design test procedures to extract this information.
- Align the monitoring tests and frequency of testing with controls to be monitored.
- Implement test procedures.
- Evaluate exceptions and report results.
- Take appropriate corrective action.
- Modify testing for changes resulting from corrective action.
- Repeat this approach in other business processes or extend the monitoring in the current process.

SymSure for IDEA has been designed with a focus on ease-of-use to enable organizations to "do it yourself". However if you want our help, our highly trained team of specialists are here for you.

SymSure for IDEA is designed to work in all business and government organizations across all business processes. Your distributor partner can jump start your implementation with a library of predefined business rules and tests.



THE PERFECT MATCH

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Review a graphical audit trail for your entire project

Project Overview provides you with a graphical audit trail for an entire working folder (see Figure 2). You can also view the databases and results in your project in a tabular view. You can even create Visual Script or IDEAScript directly from the Project Overview.

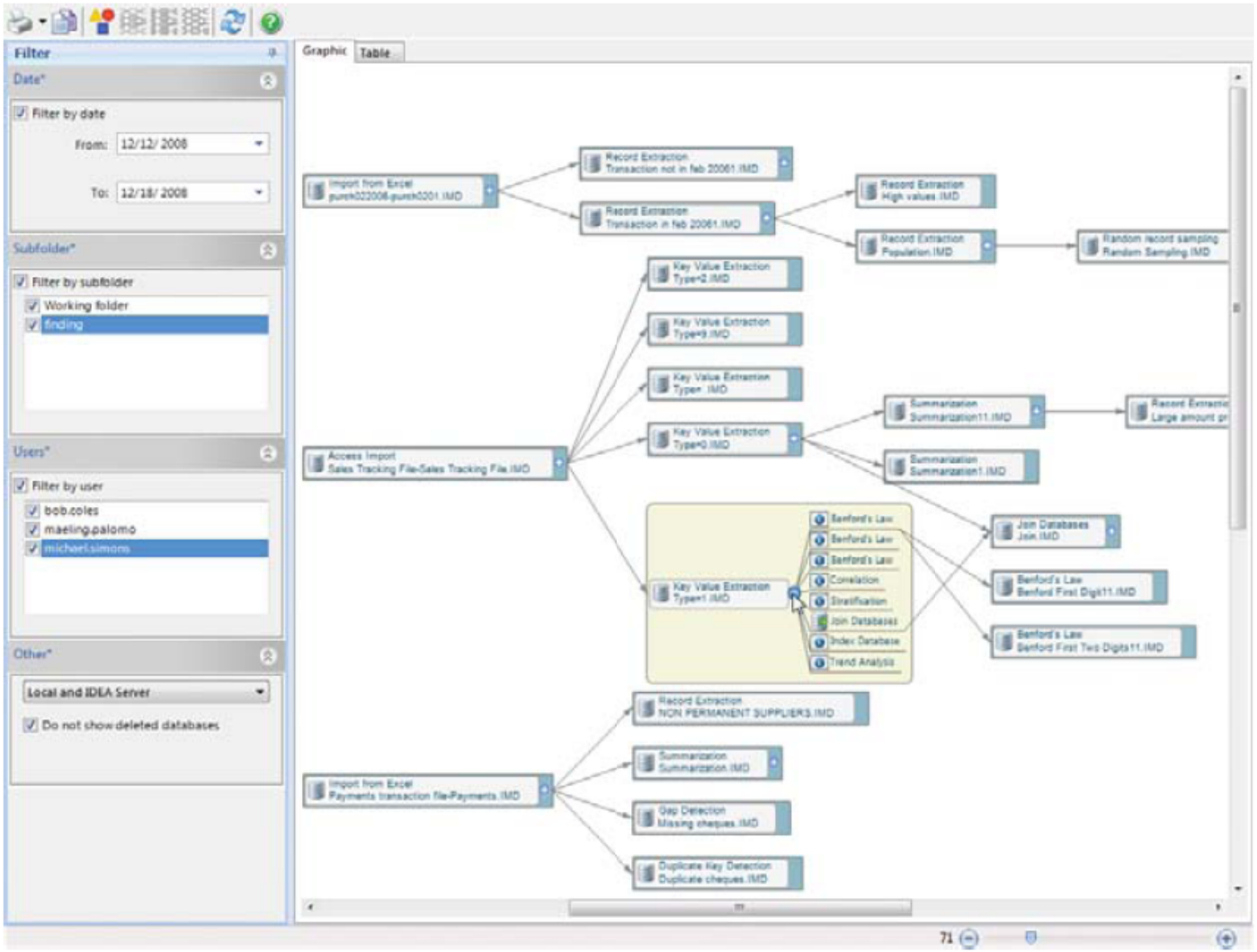
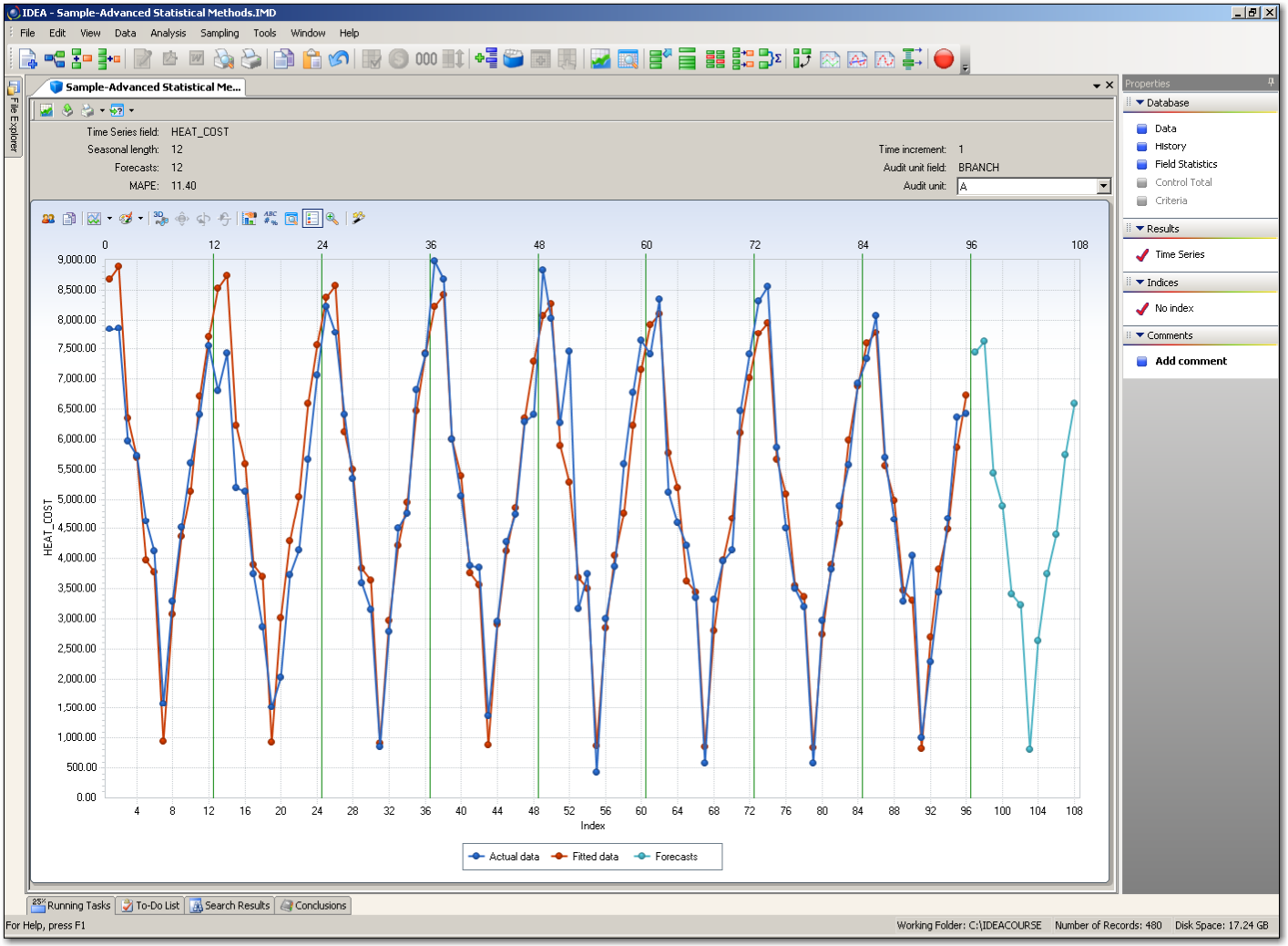


Figure 2 – Project Overview

Using Trend analysis for Continuous auditing



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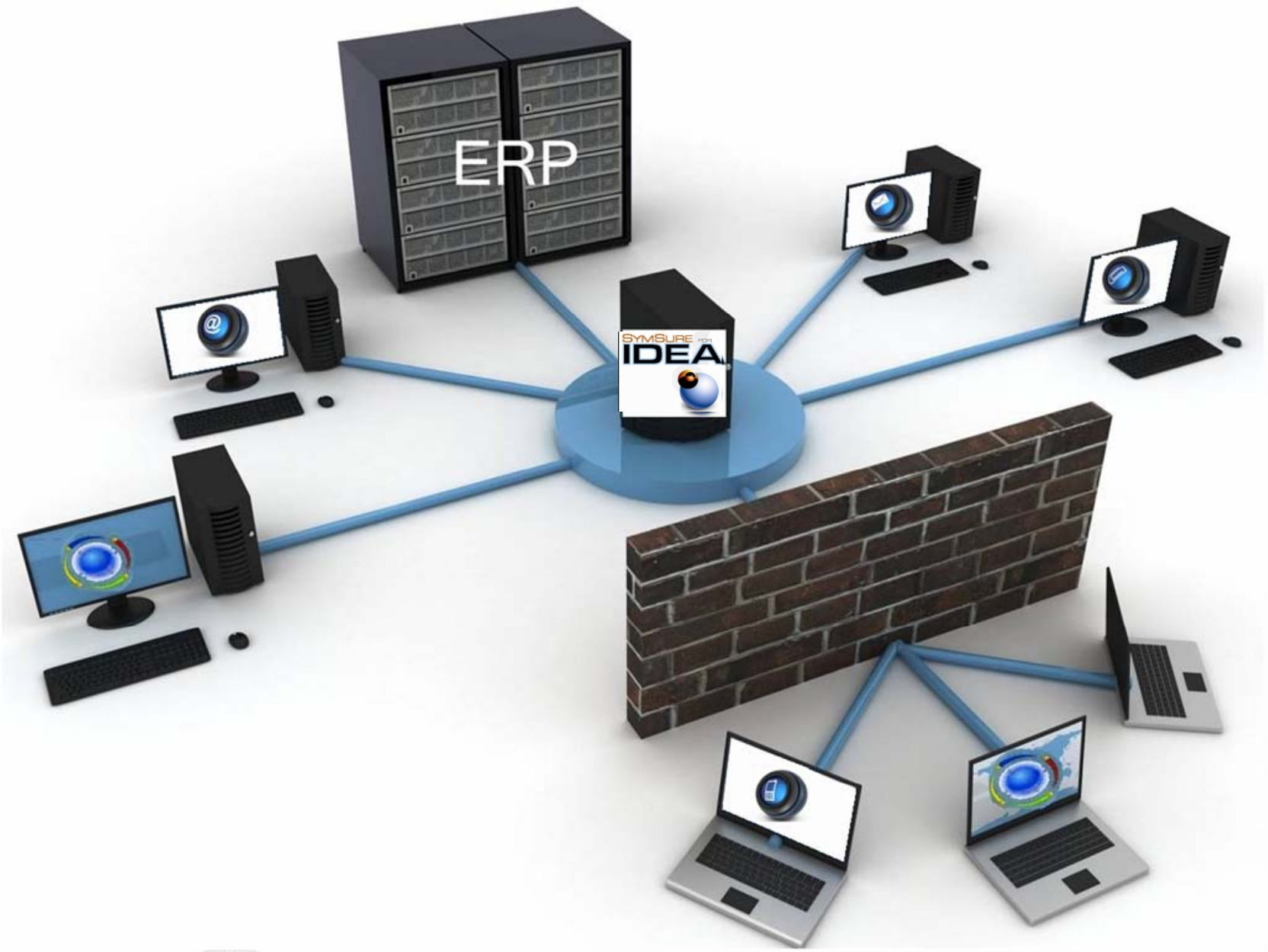

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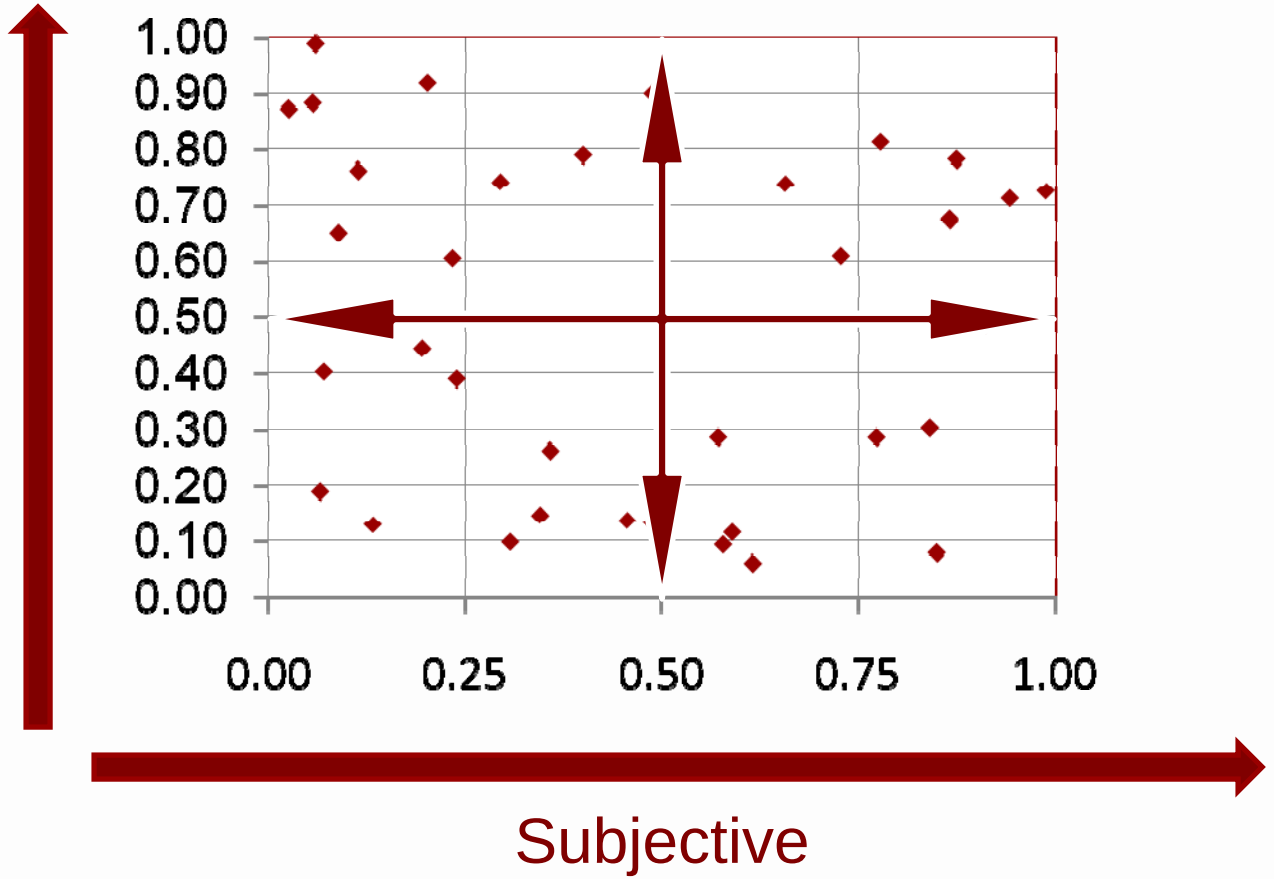
Continuous Audit

Test matrix



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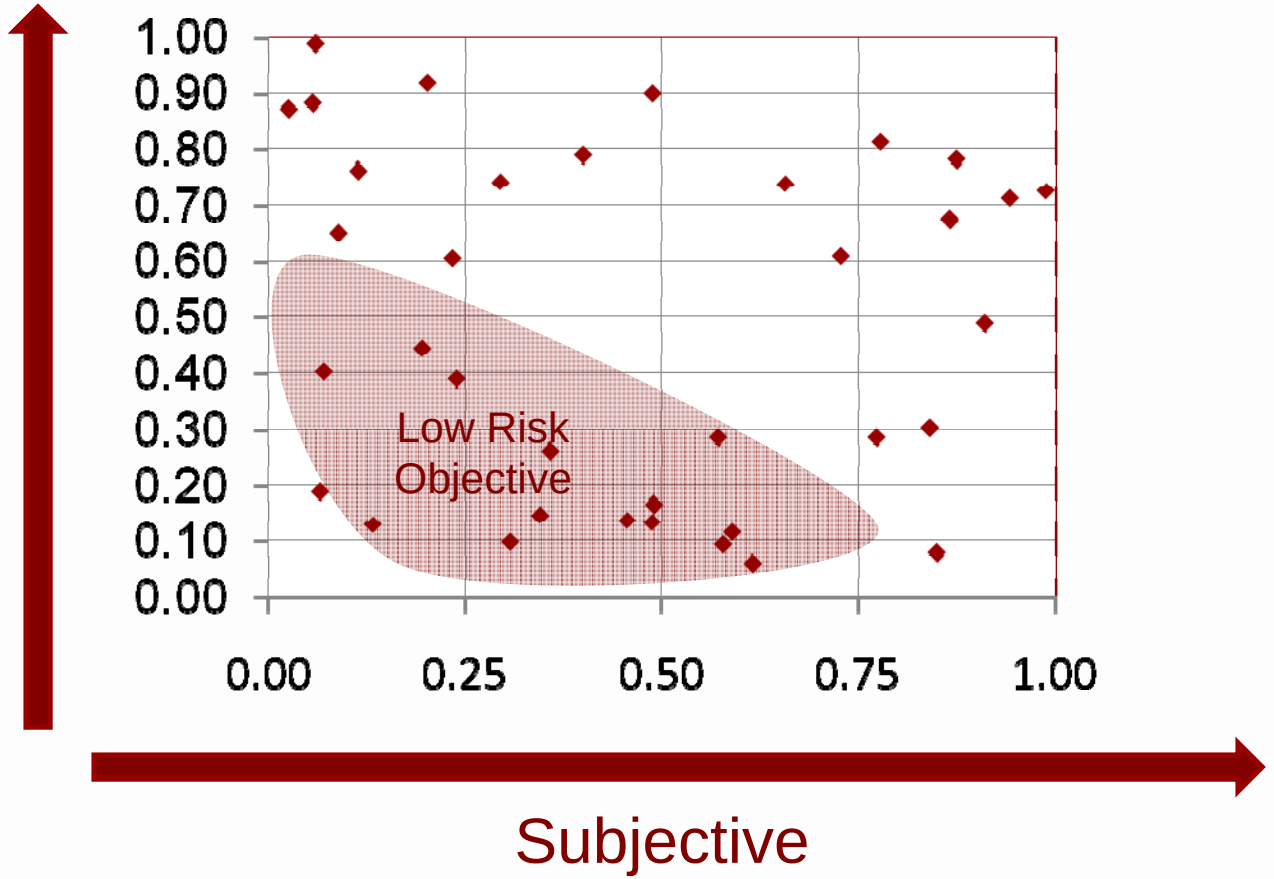
Continuous Audit

Test matrix



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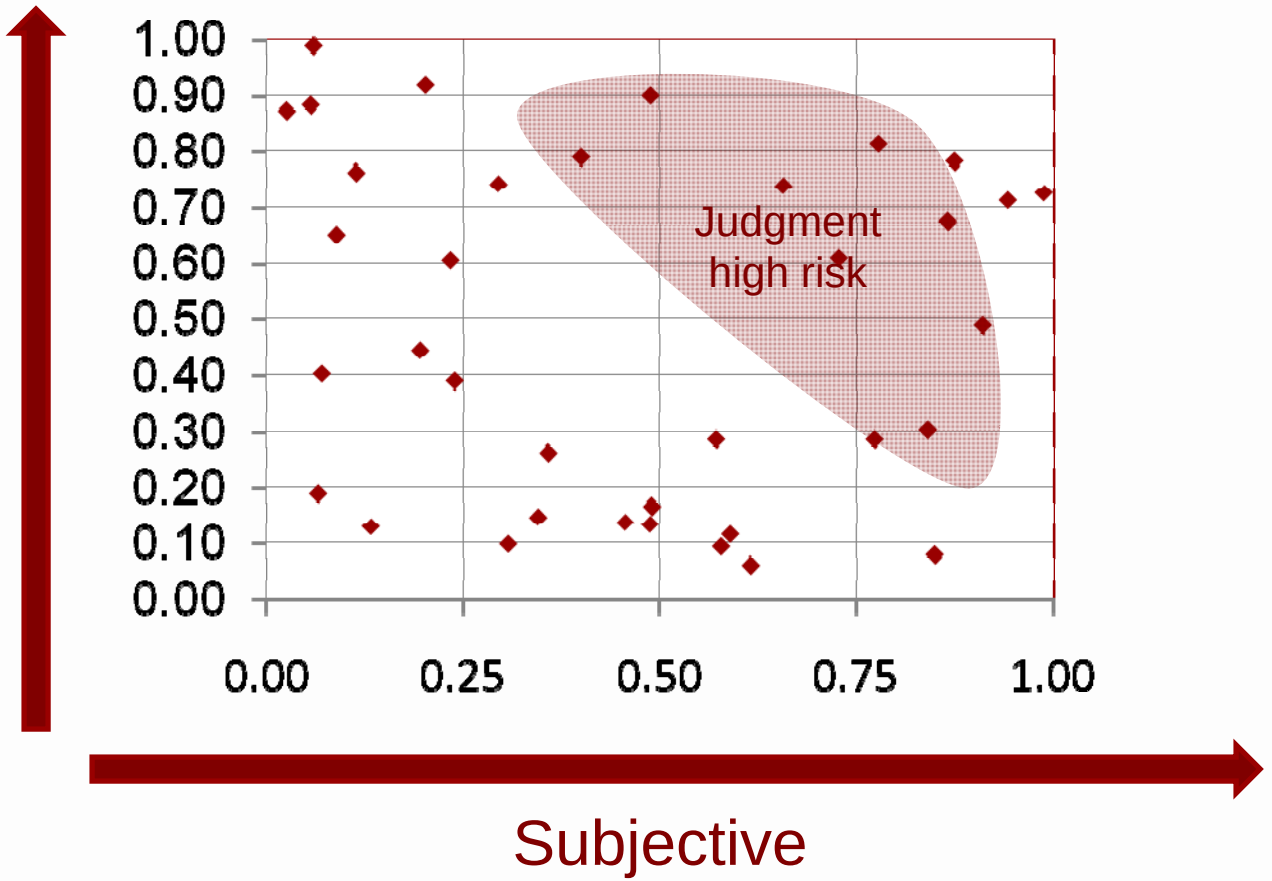
Continuous Audit

Test matrix



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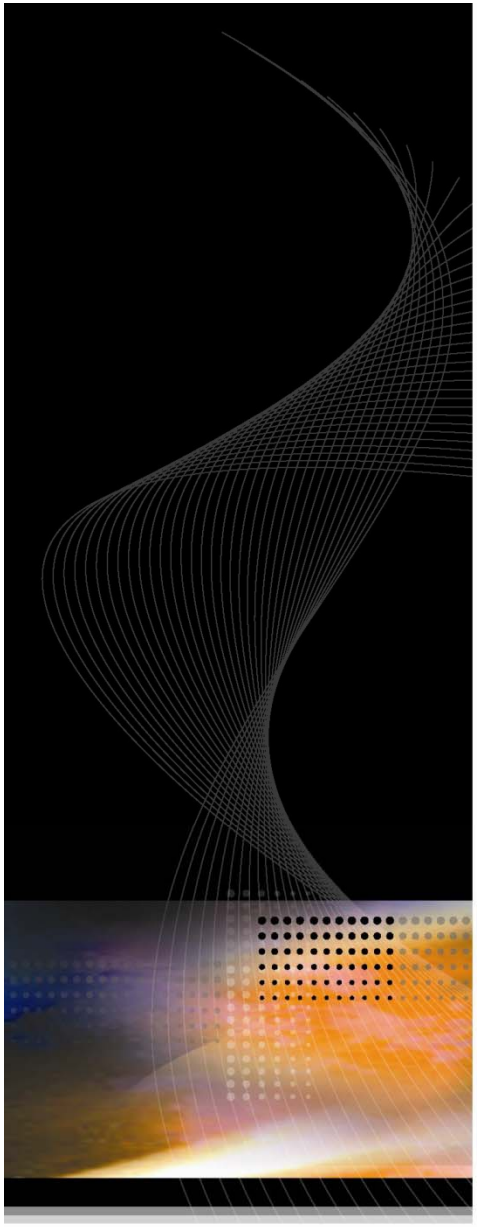
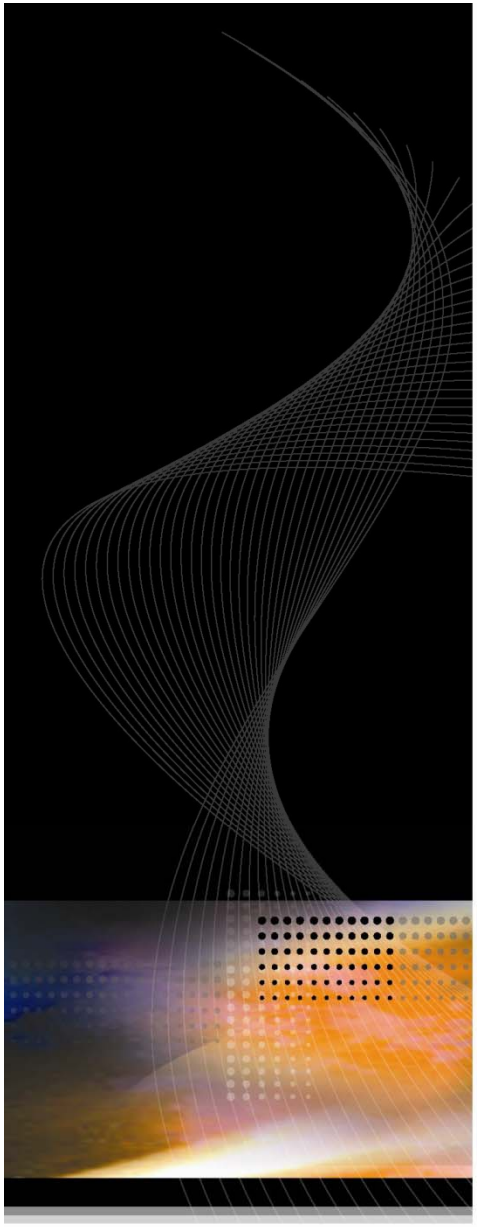


SymSure for IDEA

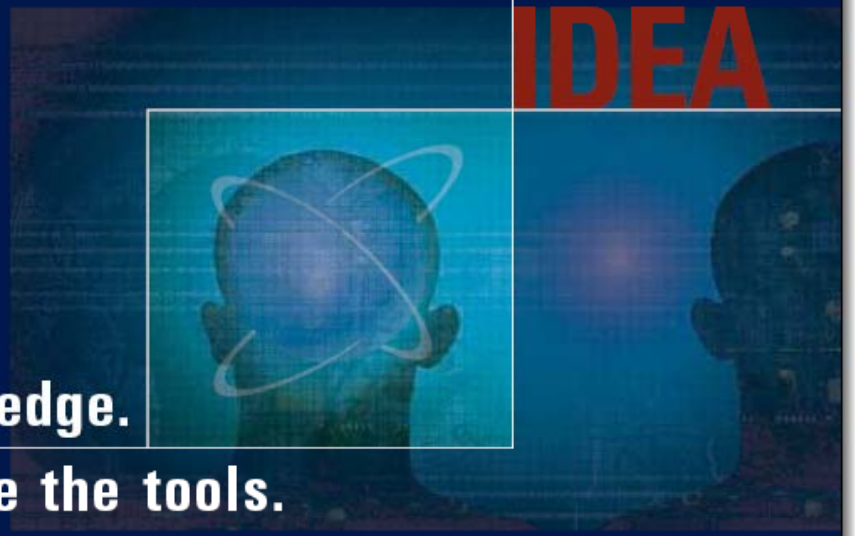
- IDEA's world-renowned user interface and powerful data analysis engine
- SymSure's robust, yet easy-to-manage, workflow and documentation framework.
- Allows clients to easily identify acceptable levels of risk in an organization by monitoring and addressing internal control weaknesses.
- Manages risks and controls by examining the details of transactions and data files, detecting and automatically assigning exceptions for resolution and documenting the outcomes.
- Increased capability to detect fraud, improved internal controls and a significant reduction of compliance costs.



The perfect match

"We believe this technology collaboration has created a perfect match by integrating IDEA to extend SymSure's functionality, while preserving its original goal of cost-effective continuous monitoring."

SymSure for IDEA



Be a better auditor.
You have the knowledge.
We have the tools.

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