

IA & RPA *ROBOTIC PROCESS AUTOMATION*



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Agenda

- What is RPA?
- RPA Tools
- RPA Roadmap
- How are we using RPA?
- Auditing RPA
- Introducing Soxy and Lila
- SOX ITGC testing using Automation
- Demo

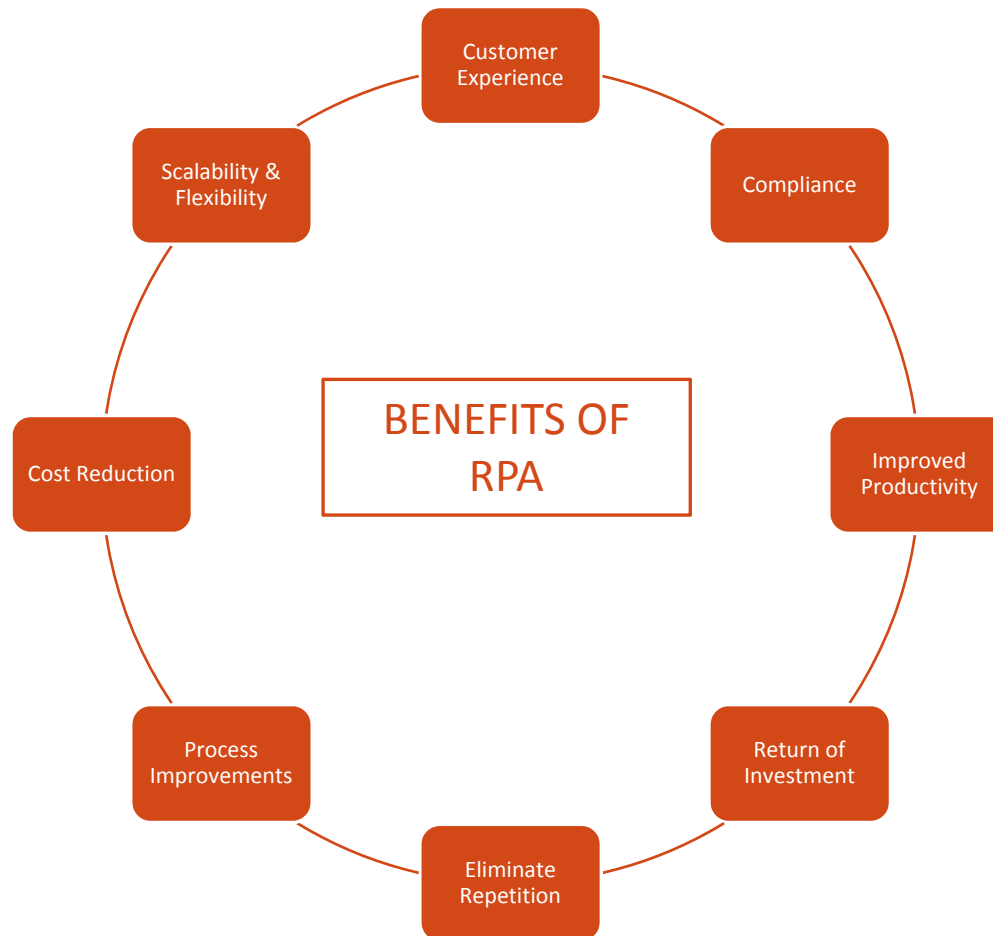
What is RPA

The process of automating business operations with the help of robots to reduce human intervention is said to be ***Robotic Process Automation(RPA)***.

Robotic Process Automation (RPA) is the use of software with artificial intelligence (AI) and machine learning capabilities to handle high-volume, repeatable tasks that previously required humans to perform. These tasks can include queries, calculations and maintenance of records and transactions.

<https://www.youtube.com/watch?v=gp3hG9UFFk4>

Why RPA?



Top RPA tools Comparison

| Vendors Factors | Kofax Kapow | Blue Prism | UiPath | Automation Anywhere | NICE |
|--------------------------------|---|---|--|---|---|
| Base Technology | .Net, Java | C# | Microsoft - SharePoint wf, elasticsearch, kibana | Microsoft | VB scripting & C# |
| Reliability | Moderate | High | Moderate | High | Moderate |
| Cognitive Capability | Medium | Low | Low | Medium | Low |
| Re-usability | Yes | Yes | Yes | Yes | Yes |
| Accuracy | High for web automation and file handling | Available for web, desktop, and Citrix automation | Good in Citrix environment designed for BPO automation | Rational accuracy across mediums | Good accuracy for tasks which requires little or no subjective judgment |
| User-friendly | High (no coding required) | High | High | Medium | Medium |
| Operational Scalability | Easily scalable with a stateless, multi-thread architecture | High speed of execution | Frequently crash in medium projects | Large-scale robot deployment is limited | Fast execution, seamlessly scalable |

RPA Roadmap

RPA Today

- Ruled based routine and predictable tasks based on structure stable data.

Robotics tomorrow?

- Judgment based unpredictable processes, based on unstructured, volatile data

How are we using RPA

At Office Depot we have implemented RPA in the following areas:

1. Accounts Payable Automations
2. Accounts Receivable Financial Control
3. Credit Department Automations
4. Financial Systems
5. Inventory Control
6. Merchandising Operations Item Control
7. Merchandise Operations NPD Reporting
8. Procurement Automations
9. Sales and Margin Automations
10. Cash and Credit Automations
11. Mail check reports
12. Requests and Chargebacks Automations
13. Internal Audit SOX testing

Auditing RPA


- **Governance**
 - Program Purpose
 - Funding Model
 - Roles and Responsibilities
 - Skill Development
 - Establishing Performance Matric
 - Policies & Standards
- **Process Life Cycle**
 - Selection Process and Implementation
- **System Design & Development**
 - System development methodology
 - Information Produced by the Entity (IPE) data validation
 - Behind the Review (BTR)
- **IT General Controls (ITGC)**
 - Bot access provisioning and de-provisioning
 - Change management procedures
 - UAT (Approval documentation)
 - Performance testing
- **IT General Controls (ITGC)**
 - Migration Testing (Migration to the production environment)
 - Emergency changes (if required)
 - Bot Password requirements
 - Privileged user account management for bots
 - Appropriateness of access/segregation of duties
 - RPA Application user password
 - System authentication (robots)
 - Audit logs
 - Patch management
- **Monitoring**
 - Monitoring of jobs (success/failure)
 - Incident handling and problem management
- **Ongoing Management for Production Processes**
 - Reporting Inaccuracies and Errors
 - Reporting of Performance Metrics
- **Backup and recovery procedures**

Soxy and Lila

Soxy:

- Developed to test ITGC – Periodic Access Review SOX Control
- Saved us more than 42 mins per review
- Creates the workpaper in less than 5 mins from start to finish

Lila:

- Developed to test Segregation Of Duties SOX Control
 - Saved us more than 38 mins per review
 - Creates the workpaper in less than 4 mins from start to finish
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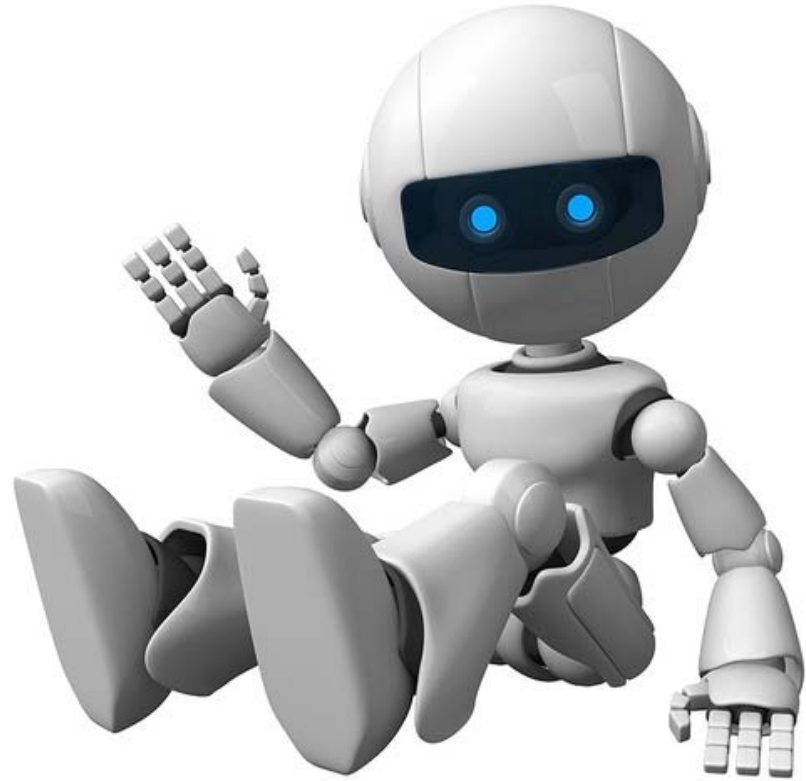
SOX ITGC Testing

Inputs:

- SOX Workpaper Template
- HR Active Employee List
- HR Terminated Employee List
- System Generated User Details
- System Generated Access Reviews

Output:

- Completed SOX Workpaper



Demo

Q & A

