



THE POLICY MANAGEMENT ILLUSTRATED WEBINAR SERIES

PREPARING FOR THE POLICY MANAGEMENT

CHANGE

SPEAKERS

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Housekeeping

- Download slides at <https://go.oceg.org/preparing-for-the-policy-management-change>
- Answer all 3 polls
- Certificates of completion
(only for OCEG All Access Pass holders)
- Evaluation survey at the close of the webinar
- Find the recording on the OCEG site at <https://go.oceg.org/webinar-recordings>

Learning Objectives

- Identify aspects of current state policy management that must be evaluated
- Outline the current state and determine where to begin making change
- Select methods used to collect and assess information
- Evaluate technologies in use and under consideration



Poll 1

Do you have an OCEG All Access Pass (a paid membership) and would you like to receive CPE credit for this event?

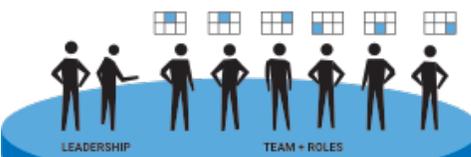
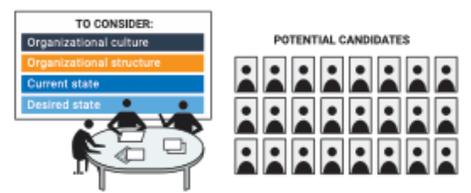
- a. Yes, I have an All Access Pass and I would like to receive a Certificate of Completion for this event
- b. Yes, I have an All Access Pass but I do not need a Certificate of Completion
- c. No, I do not have an All Access Pass but I would like to get one and receive CPE credit for this and future webcasts I attend
- d. No, I do not have an All Access Pass and I don't want to buy one at this time (so I won't get CPE credit for this event)

Preparing for Policy Management Change

This illustration outlines the steps to take and items to consider when undertaking a policy management improvement project. Before implementing changes, you need to understand where you are and where you want to be. Undertaking the change project in stages or by departments may make for a smoother transition.

Establish the Change Team

Select team members who can help to define the current state and analyze what should change.



- ASSIGN ROLES FOR TASKS**
- Leadership committee with authority
 - Drafting questionnaires and surveys
 - Conducting interviews
 - Reviewing gathered information
 - Assessing technologies
 - Change communication and management

INFORMATION GATHERING TECHNIQUES

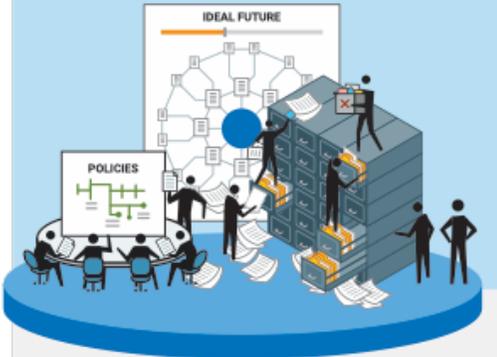
- Use a variety of methods. Often one method is not enough to get all the facts.
- Surveys
 - Interviews
 - Audits
 - M/A due diligence review
 - Walk-arounds
 - IT reports and searches

Identify the Current & Future State

Establish methods for understanding current policy management and collecting all existing policies for review and standardization.

POLICIES

- Collect all items called or considered to be policies
- Identify where they are stored
- Determine if there are any undocumented policies being applied
- Determine who issued each policy and if they had authority
- Sort into buckets by defined risk levels for objectives/requirements addressed



POLICY MANAGEMENT

- Collect any guidance/rules about policies
- Identify who has been issuing policies and determine grant of authority (if any)
- Determine how policies are being maintained, stored currently
- Determine roles and departments responsible for training and communicating on policies and how decisions are made about level of training required, training content, delivery, etc.
- Determine who is responsible for tracking internal and external changes that impact each policy
- Identify any systems used to manage policies and review contracts to determine obligations and cancellation terms

Establish Standardization and Procedures to Follow

Standardize templates and procedures for the policy oversight committee to use when putting existing and future policies into the selected technology based on management requirements defined for the organization.

POLICIES

- Set out a Policy on Policies applying going forward
- Define who has authority for each type or subject of policies and each stage of the lifecycle
- Confirm template for standard policy style
- Establish schedule for conforming policies to template and risk ranking for communication/training requirements (note: not all must be changed before final management technology is implemented)



POLICY MANAGEMENT

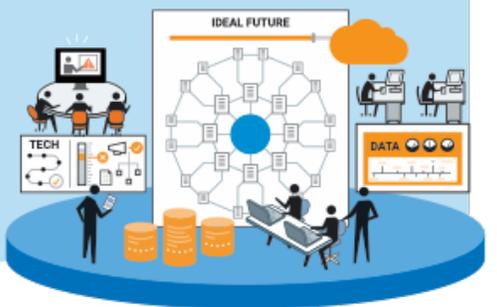
- Authorize a policy oversight committee and leader
- Define mapping requirements (objectives, requirements, procedures, controls, owners)
- Determine technology to keep/retire/integrate
- Identify areas that are more ready for change and those with high risk priority when scheduling implementation
- Coordinate with other activity schedules
- Assign authority for ongoing review and re-consideration
- Establish policy attestation and exception management plans

Analyze and Streamline Current Policies & Tech Usage

Review and approve each policy to be kept before applying standardized templates. Assess all technologies and methods used for policy management.

POLICIES

- Risk-rank policies based on related objectives
- Starting with higher risk buckets, sort by status – valid, revise, retire
- Identify obsolete/incorrect policies for change
- Identify conflicting or duplicative policies for correction
- Map each remaining policy to –objective/risk, author and owner, procedures/controls, training
- Prepare all policies using defined templates



TECHNOLOGIES

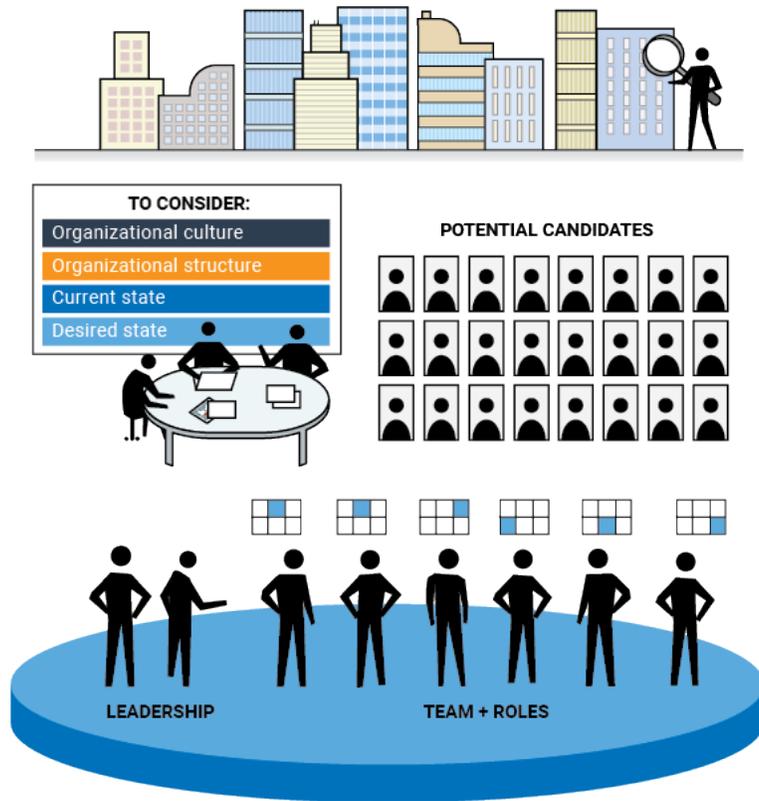
- Identify duplicate installations of systems and assess usage
- Identify overlapping usage for same/similar needs
- Catalog all contracts with dates of expiration, cancellation rights, owners
- Determine what to consolidate, what to drop, what to add, etc.
- Consider any provided preparation requirements for change of technology
- Establish schedule and coordinate with affected areas of the business

Download at oceg.org/resources

Discussion Questions

- Before we talk about getting ready for change, you need to determine what your future state should be. Why is that so important?
- Getting the right people involved on the team tasked with evaluating and preparing changes in policy management can be a challenge itself given the pervasive nature of this essential business operation.
- How do you suggest determining who should be part of the process and what tasks each team member should undertake?

Establish the Change Team



ASSIGN ROLES FOR TASKS

- Leadership committee with authority
- Drafting questionnaires and surveys
- Conducting interviews
- Reviewing gathered information
- Assessing technologies
- Change communication and management

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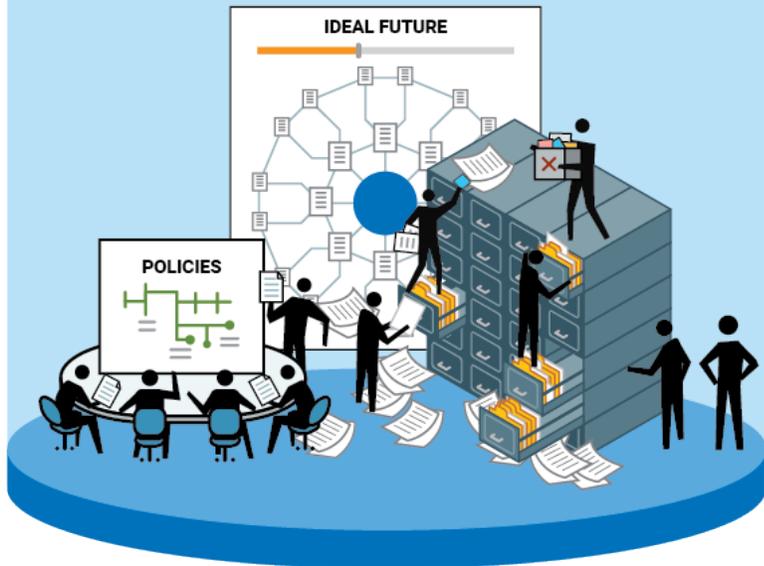
Discussion Questions

- There are two aspects to understanding the current state – first, knowing what policies are out there and second, determining the current methods of policy management. This leads to several questions. Let's start with the policies themselves:
- How much and what types of information do you need to know about each policy?
- How can you best collect all the needed information about each policy (and copies of them to review)?
- How should you organize the policies you identify for further analysis?

Identify and Understand the Current State of Policies

POLICIES

- Collect all items called or considered to be policies
- Identify where they are stored
- Determine if there are any undocumented policies being applied
- Determine who issued each policy and if they had authority
- Sort into buckets by defined risk levels for objectives/requirements addressed



INFORMATION GATHERING TECHNIQUES

Use a variety of methods.
Often one method is not enough to get all the facts.

- Surveys
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- Audits
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- Walk-arounds
- IT reports and searches

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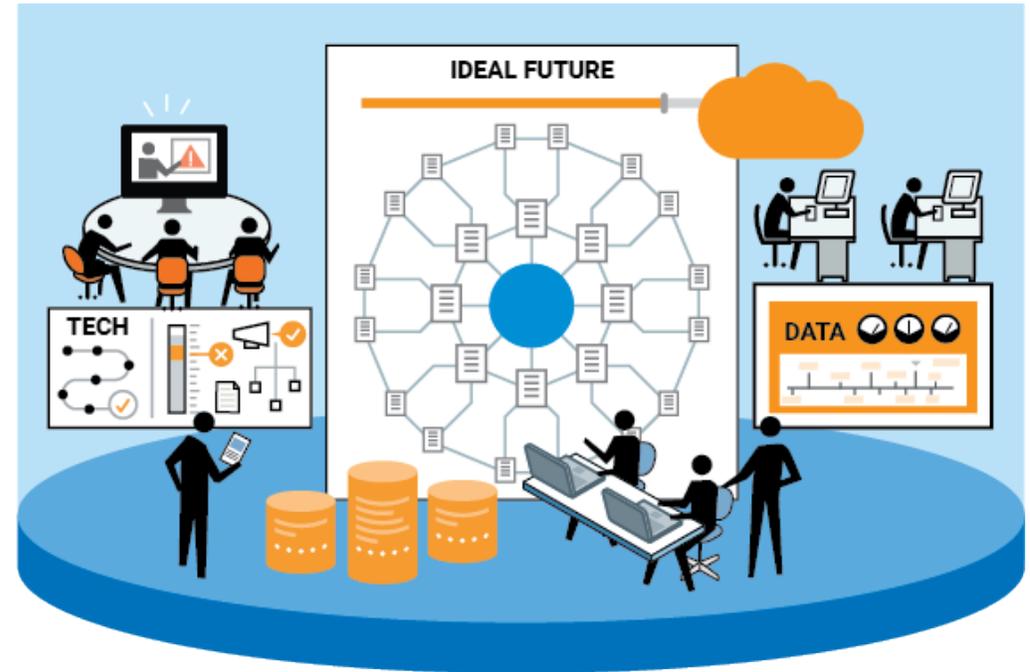
Discussion Questions

- At this point, you've collected and initially reviewed all the existing policies, and you may need to remove some for various reasons (out of date, unauthorized, conflicting, etc...) but you still need to analyze the ones that remain.
- We talk about risk ranking policies. What does that mean and why do you need to do it?
- Similarly, we talk about “mapping” policies – can you also explain what that means and why it is important to ongoing policy management?

Analyze, Streamline and Update Current Policies

POLICIES

- Risk-rank policies based on related objectives
- Starting with higher risk buckets, sort by status – valid, revise, retire
- Identify obsolete/incorrect policies for change
- Identify conflicting or duplicative policies for correction
- Map each remaining policy to –objective/risk, author and owner, procedures/controls, training
- Prepare all policies using defined templates



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Poll 2

Are you involved in a project to improve policy management?

- a. Yes, leading the project
- b. Yes, part of the project
- c. Not now but planning to do so
- d. No

Discussion Questions

- Now let's look at how best to determine the current methods of policy management.
- What documents should you be reviewing?
- What information do you need to gather about each stage of policy management?
- How should you organize the information you identify for further analysis?
- Can you use policy management technology to help with this process?

Identify and Understand the Current & Future State of Management

POLICY MANAGEMENT

- Collect any guidance/rules about policies
- Identify who has been issuing policies and determine grant of authority (if any)
- Determine how policies are being maintained, stored currently
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Discussion Questions

- There is a concurrent stage of defining the standard rules, processes and templates you want to have in place throughout the entity – defining your future state.
- How will the understanding of the current state influence your final design for the future state?
- Does standardization demand everything be the same in every part of the organization and if not can you give some examples?

Establish Standardization and Procedures

POLICIES

- Set out a Policy on Policies applying going forward
- Define who has authority for each type or subject of policies and each stage of the lifecycle
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POLICY MANAGEMENT

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Poll 3

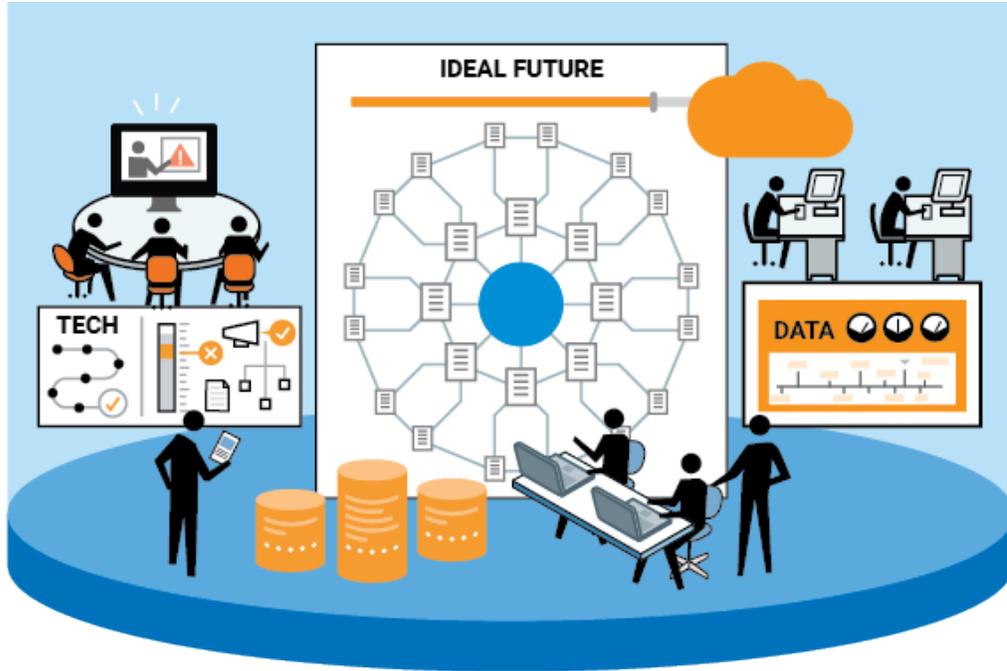
Is your organization looking at acquiring new technology or SaaS to support your policy management?

- a. Yes within the next 6-12 months
- b. Yes but further out in time
- c. No
- d. I don't know

Discussion Questions

- Technology is a critical part of effective policy management. Let's talk about the challenges and ultimate benefits of streamlining and consolidating technologies.
- What are the key steps in identifying and then analyzing the current systems in use, and what are some of the roadblocks to expect in this process?
- What about selecting new technologies to either replace or “tie together” what's in place now?

Analyze Current and Proposed Technologies



TECHNOLOGIES

- Identify duplicate installations of systems and assess usage
- Identify overlapping usage for same/similar needs
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Questions?