GOVERNANCE, RISK & COMPLIANCE

Our Governance, Risk & Compliance (GRC) practice partners with organizations as they continue to deal with the dynamic governance, risk, and compliance landscape and navigate today's complex business environment. We seek to prepare business leaders and their teams to identify and manage risks, strengthen governance across levels, drive end-to-end compliance, design and test internal controls, anticipate and assess any disruptions, and help build business resilience. We help to deploy platforms aimed at digitization, automation, and AI-enablement of an organization's GRC functions.

Our Services

ENTERPRISE RISK MANAGEMENT

Enterprise Risk Management (ERM) is a comprehensive and systematic process, applied in a strategic fashion across the enterprise. It is designed to identify potential events that may affect the entity and measure and manage risks against its most critical objectives. ERM enables management to effectively deal with uncertainty and associated risks and opportunities. When deployed correctly, this process enhances leaders' ability to protect and build value.

Why implement ERM?

Implementing ERM offers several advantages and is considered crucial for the success and sustainability of an entity. A strong ERM program can provide:

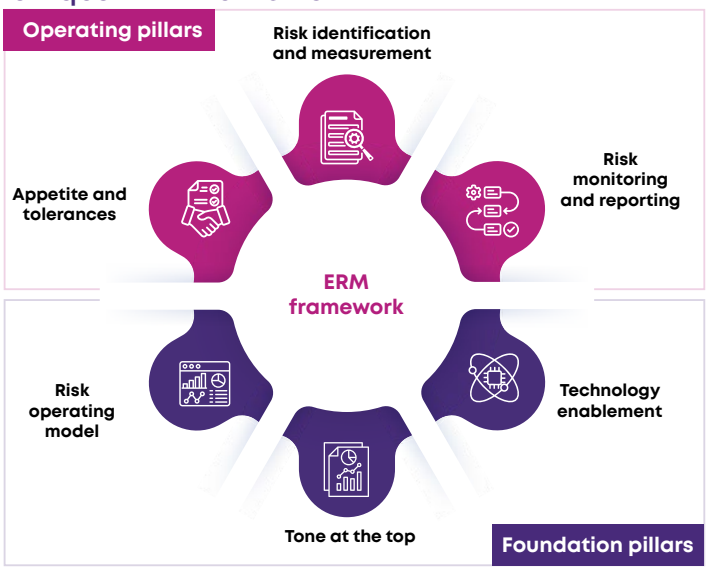
- Holistic risk view
- Enhanced business performance
- Proactive risk management
- Long-term sustainability
- Risk-based decision making

How can we help?

Uniqus ERM solutions help organizations navigate the complex landscape of risks and uncertainties inherent in today's business environment and enable organizations to identify, evaluate, and prioritize potential threats to their objectives. These solutions provide a comprehensive view of risks across various business units, allowing for a holistic understanding of the organization's risk profile. The ERM solutions offered by Uniqus are:

- ERM maturity assessment and program implementation
- ERM policy and framework development
- Risk culture and awareness building
- GRC tool implementation
- Risk appetite and tolerance setting
- Risk assessment
- Quantification and KRI development
- Risk monitoring and reporting

Uniqus ERM Framework



ORGANIZATIONAL RESILIENCE FRAMEWORK

Organizational resilience (OR) refers to an organization's ability to anticipate, prepare for, respond to, and adapt to various disruptions or changes in its internal and external environment.

It involves the capacity to withstand and recover from adverse situations, while maintaining core business functions and adapting to emerging challenges.

Resilient organizations are better equipped to navigate uncertainties, crises, and disruptions, ensuring continuity and sustainability. Implementing OR enables an organization to foster long-term sustainability.

Why implement OR?

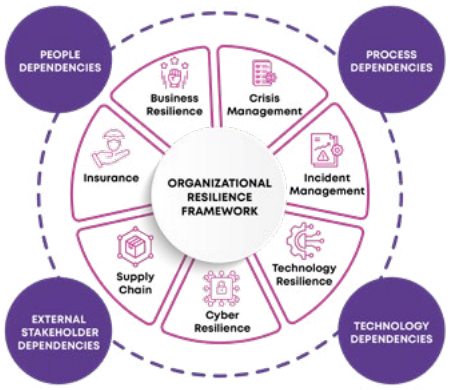
Implementing OR enables an organization to foster long-term sustainability. A well established OR:

- Enables business recovery
- Promotes long term business sustainability
- Increases customer and stakeholder confidence
- Enhances supply chain resilience/stability
- Supports regulatory compliance

How can we help?

- OR framework and policy
- Business impact analysis
- Business continuity plans and strategy
- IT disaster recovery
- Supply chain resilience reviews
- Cyber resilience
- Command center
- Tool implementation functional support

Uniqus OR Framework



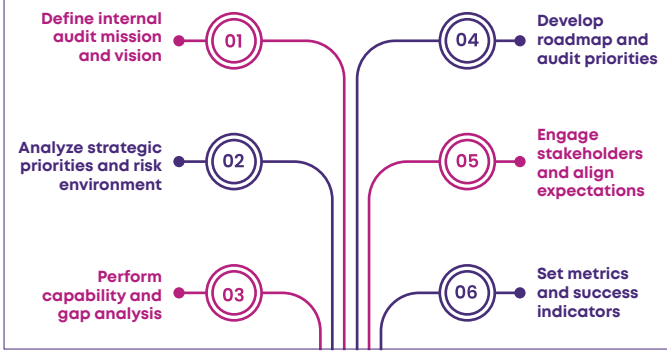
Our Services

INTERNAL AUDIT

Traditionally, internal audit has been viewed as a compliance-focused function, responsible for ensuring controls are effective, policies are followed, and risks are managed. However, its role is evolving — in the face of rapid digital transformation, increasing regulatory complexity, and shifting business risks, internal audit is now emerging as a strategic enabler.

At Uniqus, we help organizations redefine internal audit as a forward-looking enabler of trust and resilience. With global perspective and local insight, we enable internal audit functions to move from hindsight to foresight, creating lasting value and sustainable impact. Guided by the Institute of Internal Auditors (IIA) global internal audit standards (GIAS) and powered by data analytics, AI, and deep domain expertise, our multidisciplinary teams deliver agile, technology-driven assurance across compliance, sustainability, financial controls, operations, IT audits, capital projects, and special investigations.

Uniqus Internal Audit roadmap



Why IA?

- Strengthens governance and accountability by supporting the board and audit and risk committee with independent assurance
- Enables proactive risk identification and prioritization through a risk-based, forward-looking approach
- Improves control effectiveness and process efficiency by evaluating control design and operating effectiveness
- Delivers insight beyond compliance by identifying trends, anomalies, and emerging risks
- Supports informed decision-making through clear, concise, and impactful reporting

How can we help?

- **Compliance audits -** Evaluate adherence to laws, regulations, contracts, policies, and ethics standards
- **Financial and controls audits -** Review financial reporting, internal controls (ICOFR/SOX), fraud risks, and treasury processes
- **Operational audits -** Enhance efficiency and effectiveness across core processes, supply chain, HR, and KPIs
- **IT, Tech and AI audits -** Assess IT and AI governance, cybersecurity, AI security, ERP systems, data privacy, and business continuity
- **Environmental and ESG audits -** Assess sustainability practices, regulatory compliance, and ESG reporting
- **Capital projects audits -** Oversight of large-scale projects covering governance, cost, schedule control, contract compliance, and fraud/waste risk mitigation
- **Special projects and investigations -** Fraud detection, due diligence, crisis management, and targeted risk assessments

POLICIES AND PROCEDURES

Clear, effective policies and procedures (financial, operational, governance, etc.) are critical for smooth operation of any organization. They ensure consistency, mitigate risks, and help maintain compliance with industry standards and regulation. We specialize in developing and refining policies and procedures tailored to an organization's unique needs. Our goal is to help you establish a strong operational framework that promotes efficiency, accountability, and a culture of compliance.

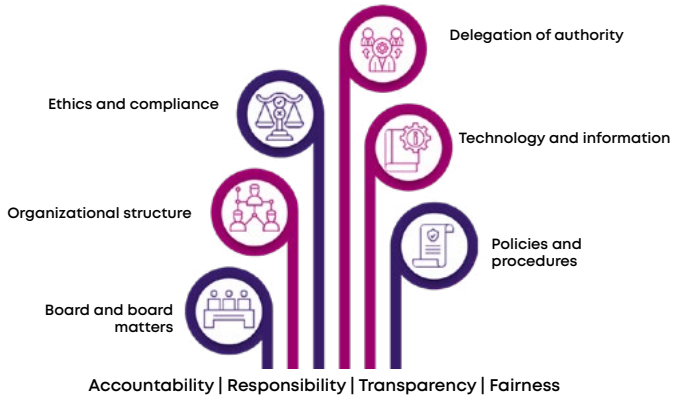
Why implement Policies and Procedures?

- Increase investor/stakeholder confidence
- Increasing transparency and accountability
- Facilitates listing/access to capital markets
- Enhance reputation and image
- Robust business/control environment

How can we help?

- Board and committees charters
- Policies and procedures
- Delegation of authority (strategic and operational)
- Code of conduct
- Conflict of interest
- Tool implementation functional support
- Training and support

Uniqus Policies and Procedures Framework



Our Services

COMPLIANCE

Compliance management ensures that organizations operate within legal, regulatory, and ethical boundaries while mitigating compliance risks. A strong compliance framework fosters a culture of integrity and accountability. We support clients in developing comprehensive compliance programs, conducting compliance risk assessments, documenting compliance compendium/ obligation registers and implementing monitoring mechanisms to ensure adherence to evolving regulatory landscapes.

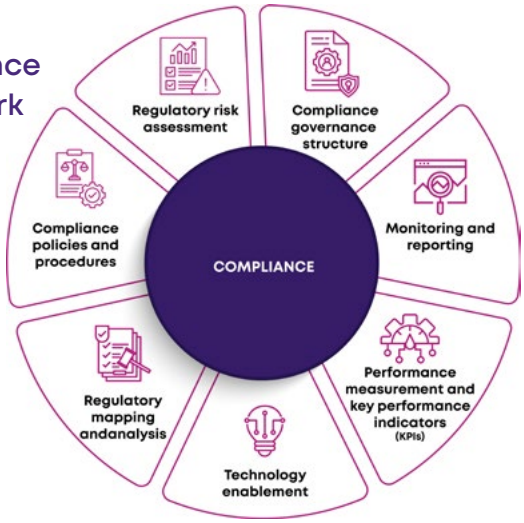
Why Compliance?

- Adhere to legal/regulatory requirements
- Avoid fines/penalties
- Enhance accountability and responsibilities
- Enhance brand value and reputation
- Inculcate regulatory compliant culture

How can we help?

- Relevant regulation evaluation
- Updates on regulatory developments
- Regulatory risk assessment
- Compliance monitoring and reporting
- Tool implementation functional support

Uniqus Compliance Framework



INTERNAL CONTROLS DESIGN AND TESTING

Internal controls are processes effected by an entity's board of directors, management, and other personnel. They are designed to provide reasonable assurance around the achievement of objectives relating to operations, reporting and compliance. We assist our clients in designing best-in-class internal controls, and management testing of the controls. Our expertise spans diverse frameworks including Sarbanes-Oxley in the USA, ICOFR requirements in the Middle East and Internal Financial Controls in India.

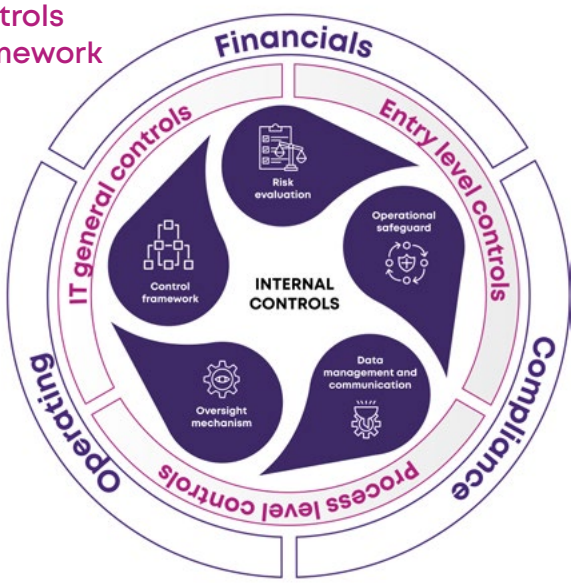
Why Internal Controls?

- Support regulatory compliance
- Enhanced financial reporting accuracy
- Increase operational efficiencies
- Increase management accountability
- Increase customer and stakeholder confidence

How can we help?

- SOX
- Internal financial controls (IFC)
- Internal control over financial reporting (ICFR)
- Operational controls
- Tool implementation functional support

Uniqus Internal Controls Framework



Risk UniVerse is our cutting-edge GRC platform designed to streamline an organization's compliance requirements through centralized data, automated workflows, and interactive dashboards — delivering enhanced visibility and audit readiness across the enterprise.

Our platform leverages the power of AI through its Controls AI features. Built-in AI-driven Control Testing automation moves organizations from manual, time-consuming assurance processes to smart, automated, and scalable testing. Complementing this, our AI-powered Document Management and Testing Intelligence engine converts transcripts, call recordings, into structured Process narratives & flow diagrams and Risk Control Matrices (RCMs).

Why Us

1 Our leadership and deep expertise

Nagaraj Uchil, who leads our GRC practice, has over 20 years of experience in internal controls and SOX, ERM, OR, compliance, governance and IPO readiness, and has worked with clients across the globe. This unique blend of experience gives us the ability to understand your requirements, both strategically and practically, and deliver excellence. Nagaraj is supported by experienced local leaders in each of the markets we operate in.

2 Deep and diverse talent pool and globally integrated delivery model

Our partners and other leaders in our GRC practice have significant experience working with the enterprise risk management, organizational resilience, corporate governance, compliance, internal financial controls, and technology practices of the Big 4 and other large consulting and technology organizations globally. Our talent pool is globally integrated, working across our key markets of the USA, India, and the Middle East. Leveraging our offshore talent pool, combined with substantial onsite presence, we deliver significant cost efficiencies while maintaining timely, high-quality delivery.

3 Our AI and Technology-led approach

Our technology-led approach helps organizations modernize and scale their GRC functions. Our technology solutions are AI-powered which accelerate manual control testing, automate documentation, and transform transcripts, recordings, and narratives into structured process documentation, risk and control matrices (RCMs), and process flow diagrams (PFDs).

Combined with our deep functional expertise, our proprietary Risk UniVerse product, and strategic technology partnerships, we help organizations address automation, data management, and controls challenges while delivering an efficient, scalable, and audit-ready approach to governance, risk, and compliance.

4 Agility and responsiveness

Our team embodies the essence of agility and responsiveness, fostering a dynamic environment where adaptability and quick responses are integral to our operations. Free from auditor independence requirements, we can seamlessly support our clients without the friction, delays, or restrictions caused by independence considerations. Our agility and responsiveness is enhanced by a high degree of partner/director involvement on projects.

CHANGE THE WAY CONSULTING IS DONE

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In case of any query, please write to us at *businessinquiries@uniqus.com*.

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or follow us on