



Cutting-edge product for today's evolving regulatory and risk landscape

In today's rapidly evolving regulatory landscape, organizations are facing heightened scrutiny over their governance and related compliance requirements globally. The increasing complexity of regulations, coupled with rising expectations for transparency, demands a robust and unified framework to safeguard financial integrity and accountability.

Risk UniVerse is our cutting-edge Governance, Risk and Compliance (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, or uploaded narratives into structured Process Narratives, Risk Control Matrices (RCMs) and Process Flow Diagrams (PFDs) — delivering rapid, audit-ready documentation at scale.

The platform is purpose-built to streamline Internal Controls, Internal Audit, and Enterprise Risk Management (ERM) within a single, integrated ecosystem. Its modular architecture allows companies to adopt one or all components—Internal Controls, ERM, and Internal Audit—based on their maturity and regulatory needs, while still benefiting from seamless cross-module integration. With a customizable control framework, automated planning and scoping, an intuitive drag-and-drop interface, and real-time analytics, Risk UniVerse enables efficient compliance monitoring, risk management, and transparency across the corporate structure.

Modules

Internal Controls

Enterprise Risk Management

Internal Audit

INTERNAL CONTROLS

— Tailored project set up

Facilitates seamless tailoring of project setups to meet organizational requirements of ICFR/IFC/SOX compliance.

— Planning and scoping

Streamlines initial stages for quicker readiness. Automates the scoping activity by analyzing financial statements against the materiality threshold. Also analyzes business process based on qualitative factors.

— Policies and procedure module

Provides a repository of all policies and procedures of the organization based on process levels.

— Narrative and flowchart

Includes a segment to attach narratives and flowcharts against each scoped-in process that can be accessed easily throughout the review.

— Risk library

Provides a repository of common risk in a business process that can be accessed by user while documenting Risk Control Matrix (RCM) to ensure completeness of testing.

— Risk control matrix (RCM)

Enables overall documentation of RCM by linking scoped-in process to sub processes, sub-processes to risk, risk to controls, controls to type of controls, frequency, financial assertions etc.

— Control testing

Provides information relating to Test of Design (TOD) and Test of Operating Effectiveness (TOE) including the testing steps and attributes, along with its result.

— Communication

Centralizes all communication with control owners/ remediation owners for validation of controls, testing evidence, remediation of gaps, timelines etc.

— Reporting and dashboard

Creates a summarized, interactive dashboard for all the tasks and activities performed along with the completion percentage to easily track the progress and identify trends.



Modules

ENTERPRISE RISK MANAGEMENT

— Risk register and assessment

A central repository of all organizational risks, supporting both qualitative and quantitative assessment across key parameters - including impact across seven dimensions, vulnerability, speed of onset, and risk velocity. Inherent, residual, and target ratings are auto-calculated, heat-mapped, and enriched with contextual tooltips to ensure rigor and consistency throughout the assessment cycle.

— Risk library

A pre-built repository of sector-specific risks, complete with commonly associated drivers and impact descriptions. Serves as a reference during risk identification, enabling teams to leverage industry best practices and ensure completeness of the Risk UniVerse with minimal effort.

— Risk aggregation

Consolidates risk data across operating companies, subsidiaries, and the holding company into a unified group-level view. Enables leadership to identify concentration risks, cross-entity themes, and portfolio-wide exposures - supporting informed decisions at the Board level.

— KRI tracking

Monitors Key Risk Indicators: both leading and lagging - at the individual risk level, with tracking of threshold breaches. Provides early warning signals that enable risk owners to act before risks escalate, supporting a proactive rather than reactive risk culture.

— Horizon scanning

A forward-looking module that leverages AI to continuously scan the external environment - regulatory shifts, geopolitical developments, market disruptions - and surface emerging risks before they crystallize. Intelligently suggests relevant risks for inclusion in the organization's Risk UniVerse, ensuring coverage remains current and comprehensive.

— Executive dashboard

Role-based dashboards tailored to each user profile - from risk owners to senior leadership - surfacing the metrics and insights most relevant to their remit. Includes interactive heat maps, Bow-Tie visualizations, response progress trackers, and KRI trend summaries, providing a real-time, comprehensive view of the organization's risk posture.

— Automated workflows and approvals

Streamlines the end-to-end risk management process through configurable workflows for risk creation, assessment sign-offs, response approvals, and periodic review cycles. Automated notifications and escalation paths ensure accountability, adherence to timelines, and that nothing falls through the cracks.

— AI chat-bot

An intelligent, conversational assistant embedded within the platform that allows users to query the Risk UniVerse in natural language - retrieving risk details, summarizing assessments, tracking response progress, and surfacing insights on demand. Reduces reliance on manual reporting and puts the right information in the right people's hands, instantly.

— Customized periodic reporting

Generates tailored risk reports for senior governance forums - including the Risk Committee, Audit and Risk Committee, and Board - with audience-appropriate content, formatting, and level of detail. Ensures decision-makers receive timely, structured, and visually compelling risk updates aligned to their specific oversight responsibilities.



Modules

INTERNAL AUDIT

— Audit universe

Houses comprehensive listing of all auditable areas including business processes, entities, and systems. Regularly updated to reflect changes in risk exposure, business priorities, and operational scope.

— Detailed audit plan

Defines audit objectives, scope, approach, and timelines, the tool helps prioritize high-risk areas based on risk assessment and business impact.

— Risk assessment

Facilitates structured evaluation of risk significance and vulnerability for every item in the audit universe.

Drives prioritization of audit focus on high-risk and high-impact areas.

— Audit memos preparation

Drafts formal communication of audit scope, objectives, and methodology to stakeholders. Sets clear expectations and engagement protocols for the audit process.

— Audit report

Summarized communication of findings, root causes, and recommendations. Includes management responses and agreed action plans.

— Risk control matrix (RCM)

Enables overall documentation of Risk Control Matrix by linking scoped-in process to sub processes, Sub-processes to Risk, Risk to Controls, Controls to type of controls, frequency, financial assertions etc.

— Control testing

Assists centralized documentation of audit planning, fieldwork, and evidence. Provides audit checklists and questionnaires for comprehensive process coverage.

— Communication

Centralizes all communication with control owners/ remediation owners for validation of controls, testing evidences, remediation of gaps, timelines etc.

— Reporting and dashboard

Creates a summarized, interactive dashboard for all the tasks and activities performed along with the completion percentage to easily track the progress and identify trends.



AI-assisted process documentation

An AI-powered internal controls platform that converts transcripts, recordings, and narratives into structured Process Narratives, RCMs, and PFDs, enabling rapid review, editing, and generation of audit-ready documentation (Internal Controls, Internal Audit, and ERM).

Traditional Approach

Auditors perform the process walkthroughs and manually document the Flow chart and RCM, taking 8 to 10 hours per process

With Risk UniVerse AI

- Reads walkthrough videos, policies, and procedures, notes
- Generates detailed Process Flows and RCMs

Proprietary IP

Knowledge base and templates

Process knowledge base

- Process Library
- Risk and Control Library
- Control Templates

Input stage

User uploads and data sources

- Transcripts/ Meeting recordings
- Process flows
- Existing diagrams
- Existing RCMs
- Video Uploads of Process Walkthroughs

AI processing engine

Intelligent analysis process

- Transcript extraction audio processing
- Subprocess detection process analysis
- Speaker and role mapping identity recognition
- Role control mapping control alignment

Output stage

Compliance deliverables

- Process Narrative
- Risk Control Matrix
- Process Flow Diagram



AI-powered control testing

- An **intelligent, end-to-end Governance, Risk, and Compliance (GRC)** with built-in **AI-driven Control testing** automation, the platform helps organizations move from manual, time-consuming testing to smart, automated, and scalable assurance processes
- Configurable for **Internal Controls, ERM, Internal Audit**, and other frameworks
- Designed for the **future of compliance**, where AI takes over repetitive testing and validation, enabling teams to focus on analysis and risk insights instead of manual effort

01

AI-powered control testing

Automate testing of manual controls using advanced AI models that interpret control attributes, test conditions, and evidence documents. Reduce testing time by up to 70% compared to traditional methods.

02

Smart evidence analysis

Automatically extract, validate, and tag key data points from evidence files for accuracy and traceability.

03

Control attribute mapping

AI links control attributes with corresponding evidence, ensuring completeness and eliminating sampling errors.

04

Dynamic test reporting

Generate comprehensive, audit-ready reports including attributes, evidence summaries, and test outcomes.

05

Workflow automation

Streamline control owner assignments, testing workflows, issue tracking, and approvals.

06

Cloud-native and scalable

Deploy securely on Azure, AWS, or GCP with enterprise-grade performance and security.

Traditional Approach

- Auditors manually review
- 30–50 control samples, validate evidence, and document results – taking 2–3 hours per control

With Risk UniVerse AI

- Reads control details and extracts key test attributes
- Matches and validates evidence automatically
- Generates detailed audit-ready reports in minutes

Impact



Testing time reduced from 3 hours to 15 to 20 minutes per control



70% faster validation



Zero documentation gaps

Input Steps

Output Steps



We continue to invest significantly in Controls AI with a plan to build several additional capabilities in the coming months



Why Risk UniVerse

1

Flexible, easy, and customizable integration

Risk UniVerse is flexible to tailor to suit diverse requirements and embed seamlessly into any client environment. The low code interface feature of the tool enables businesses to deploy and manage configurations in an effective way.

2

Automated workflows and testing

Streamline workflows by removing inefficiencies, automating task assignments, and minimizing redundancies. Automation accelerates testing by minimizing manual effort and reducing review time. It ensures consistent application of controls, reduces the risk of human error, and effectively handles complex, high-volume testing. Customizable workflows enhance accountability, transparency, and visibility, while tracking every action for a complete audit trail.

3

AI integration

Through Controls AI, Risk UniVerse embeds AI natively across the GRC lifecycle, unlike point solutions that require separate AI tools. Risk UniVerse delivers a unified, end-to-end intelligent platform. This deep AI integration enables teams to shift focus from manual effort to strategic risk insight — making Risk UniVerse the smart choice for future-ready compliance. Investment in AI capabilities is a key strategic priority for Uniquus with significant planned investments in the coming months.

4

Trust and transparency

Enhances transparency and trust through clear insights and reporting. Also ensures data accuracy and consistency for audit preparation and minimizes discrepancies and errors.

5

Continuous monitoring and reports

Continuous monitoring delivers real-time insights into control performance and compliance status. By utilizing an interactive and customizable dashboard, organizations can effectively track identified issues for timely resolution, ensuring they remain audit ready.

6

Document management system

A centralized repository for all Governance, Risk, and Compliance related documents, policies, and evidence provides easy access while minimizing duplication. Maintain only the most current documentation for tests, audits, and reviews. Teams can collaborate in real time, boosting transparency and ensuring compliance.





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