



## iAppraise: An Industry Case Study using Web Services

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## The Global Compliance Need

- **Situation**  
Following September 11 and a spate of corporate collapses, there is a heightened need for corporate governance, regulatory compliance and risk management. Governments have reinforced this with regulations.
- **Current Practices**  
Most organizations use inefficient, labor-intensive paper auditing methods, or have failed to implement adequate compliance systems.
- **Resulting Business Need**  
As a consequence, businesses globally are seeking more effective ways to perform compliance activities in a way that is flexible, data-driven, and mobile.



## Filling the gap..

### Design Objectives

- World Wide Risk Resource
- Replace Manual Systems
- High Mobility
- Efficiency
- Data Modelling
- Planning
- Management Accessibility

### Key Features

- Globalisation
- User Controlled Functional access
- Planning & Scheduling
- Audit Framework Maintenance
- Dynamic, Customised Checklists
- Issue Tracking
- Data Import/Export
- File Storage
- Mobile functionality

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## Solution Overview

### Online Audit Management

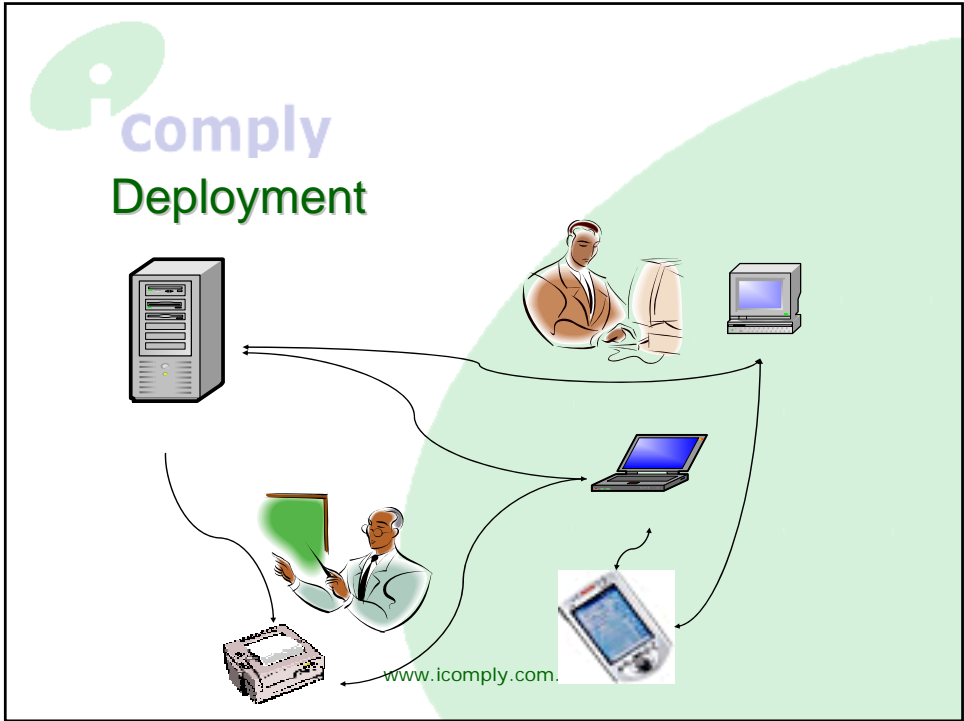
iAppraise is a risk-based, on-line audit management tool, enabling organisations to monitor vendor, regulatory or management systems compliance anywhere on the globe - coupled with all the mobile tools today's businesses expect. iAppraise means organisations have immediate access to a paperless auditing system capable of delivering real-time business intelligence to senior management on critical risk issues.

### Key Functions

- Schedule and manage audit resources
- Conduct audits and custom-built surveys using online tools
- Perform issue-tracking, reporting and post-audit analysis
- Carry out audits and surveys using Pocket PCs, whilst disconnected

### Use Case

- User administration, audit and survey compilation, data storage, resource planning, management review, reporting and analysis functions are carried out on-line using iAppraise
- Using a Web Service, field personnel download assigned audits, then while disconnected, carry out their work using Pocket PC devices
- Interim audit compilation and reporting may be done externally using a laptop
- Completed audits and surveys are then uploaded to iAppraise for reporting, analysis and review



Serve



Demo

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## Benefits

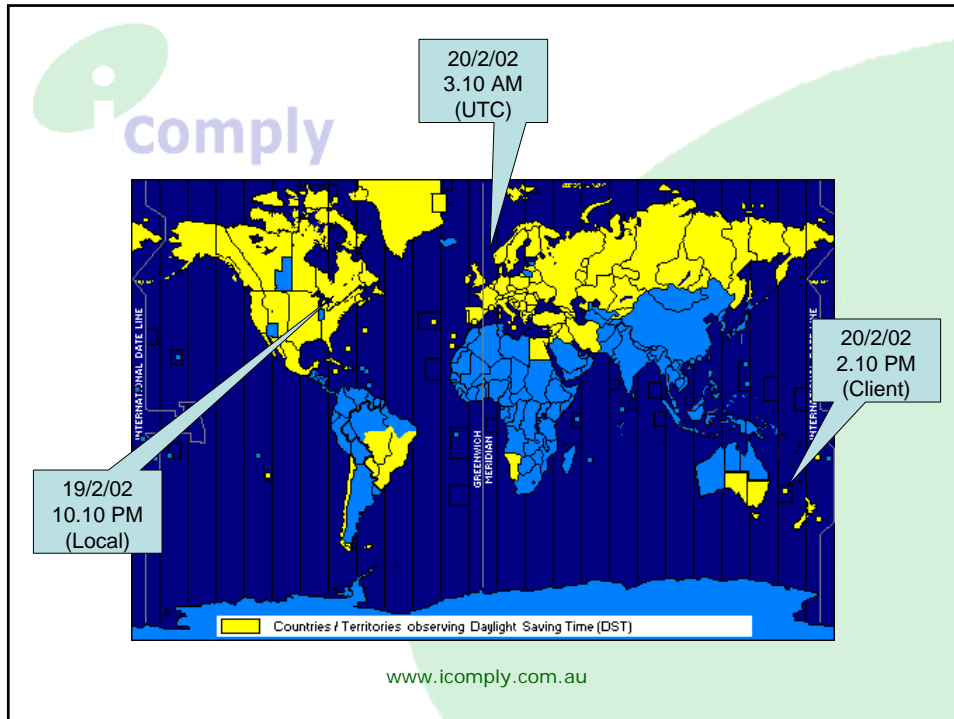
- Reduced operating costs (estimated 30%) arising from efficient audit and reporting processes.
- Replacement of manual process providing convenience and ease of use.
- Improved consistency, accuracy and timeliness.
- Customized audits and surveys cater for any compliance requirement.
- Online access to data by management.
- Centralized reporting and control for geographically dispersed workforce.
- Greatly reduced software lifecycle costs arising from tiered architecture, centralized control, thin client.



## Development Challenges

- Pre-Beta and Beta 1
- Navigation
- Date/Time
- Globalisation
- Reporting
- Minimising Postbacks
- Checklist

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**icomply Date/Time Strategy**

- Capture UTC/Client time offset at logon
- Store server generated times in UTC
- Convert server-generated times to Client times using stored offset
- Store Client- entered dates after conversion to Date-Time Objects
- Display all dates according to logon culture settings

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## iAppraise Requirements

- **Scalability**
  - Many users accessing the system at one time
- **Configurability**
  - Ease of redeployment
- **Multiple access**
  - Users need to be able to access the system in different environments

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## iAppraise Requirements

- **Dynamic, Customised Checklists**
  - Checklist have to change according to clients and there responses
- **Globalisation**
  - Has to be accessible by global users
- **Interoperability**
  - Have to import and export data to foreign systems

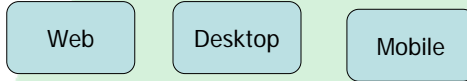
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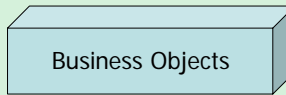
# Architecture

- Support an n-tier approach

– Interface



– Business Objects



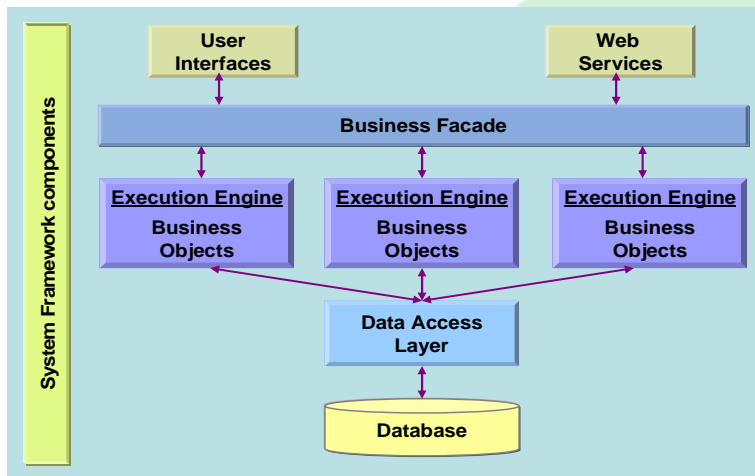
– Data Layers

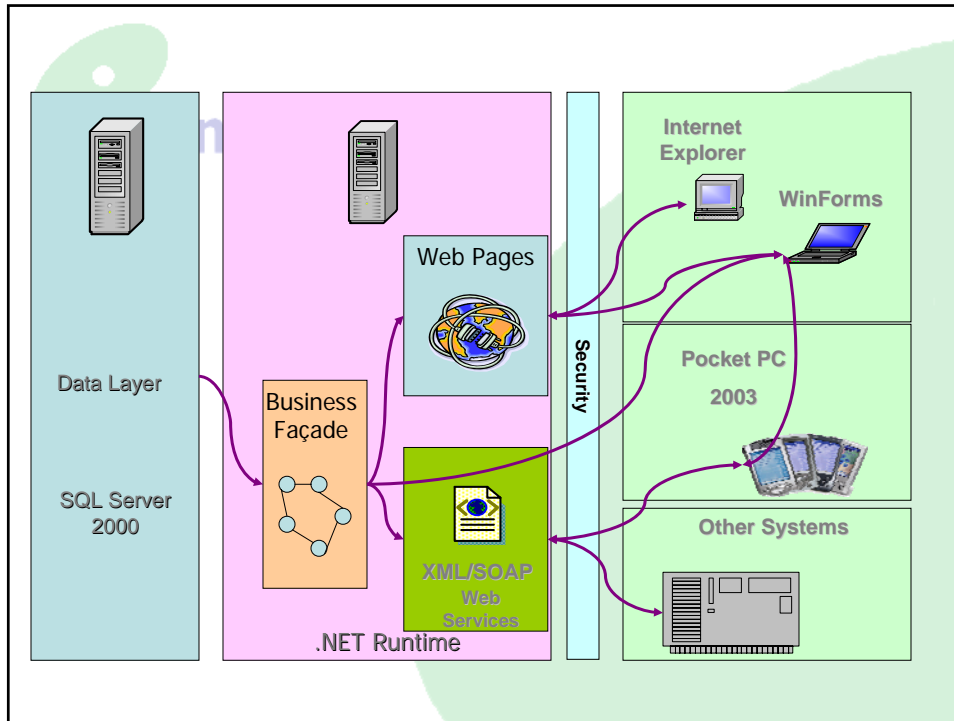


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# Extended Architecture





## Conclusion

- A need to monitor and ensure government regulations are accomplished
- Previously manual, lots of additional data entry
- Simplify auditing by automating many of the processes
- System architecture critical to supplying a scalable and configurable solution
- Web services provides a mechanism for communicating to mobile devices and foreign systems

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