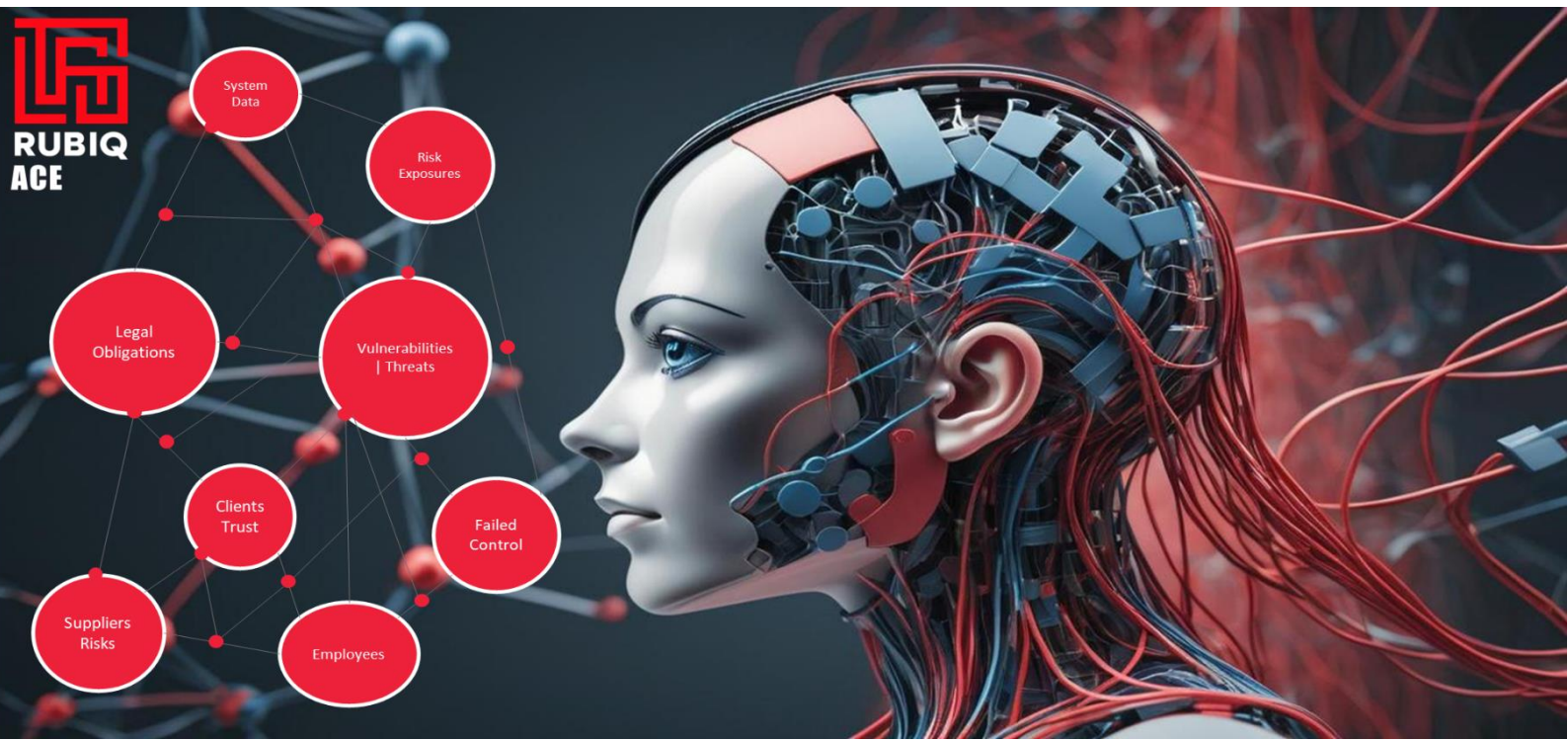




CASE STUDIES

RUBIQ CASE STUDY |> RUBIQ AUTOMATED CONTROL ENGINE - ACE



About RUBIQ 10 Step GRC Strategy Programmes

The RUBIQ Team has been designing and implementing GRC technology solutions for organisations of all sizes for the last 30 years. One of the biggest failures of GRC implementations, has been identified to be a weak implementations approach. It is often times not a technology, per say that fails, but the maturity of the client organisation, in their state of readiness to adopt the desired technology. They are simply not yet mature enough in their people / processes / systems and supporting core technologies and infrastructure, to achieve the desired outcome of the new GRC technologies.

Thus the RUBIQ Team has spent many years, in perfecting, a 10 step, 3 phase, GRC implementations journey. This structured approach supports the following activities:

- Phase 1 – Step 1 to 3, determines an as is state of GRC maturity, in practice within the organisation and supporting subsidiary entities;
- Phase 2 – Step 4, defines the extent of the gaps between, what the client would like to achieve with the GRC technology and what needs to occur related to maturity with existing People skills / Processes / Systems & Data quality / IT Landscape and Infrastructure to access information.
- Phase 3 – defines the activities needed, in steps 5 to 10, to close the client gaps and meet the desired outcome of the GRC solution.

This 10 Step by Step journey, has time and again proven success in ROI, for every RUBIQ project embarked upon. The below Business Case, address the latest in RUBIQ modules, being our AI and Automation Controls Engine.



About Intdev Internet Technologies

Intdev is an award-winning holistic technology services company with a focus on extraordinary service delivery with a countrywide presence. We have been offering complete and customised IT and communications solutions since 1998. Over the years, Intdev has become a preferred IT partner, focussing on connectivity, communications, and managed services including the hosting of servers, cloud infrastructure, cybersecurity, and brand management. We also provide Microsoft products including Azure and Office 365.

Pedro Maia, the Managing Director of Intdev and RUBIQ Platform Owner, has lead the project internally to ensure the RUBIQ ACE solution meets and exceeds the Return-on-Investment objectives set. Pedro has set the right tone from the top, so as to ensure that his entire team, within Intdev, is well informed and fully engaged in each of the aspects needing to be met to achieve the critical success factors.

Pedro has already led the Intdev Team in achieving ISO 27001:2013 certification and is now driving the next targets of an integrated ISMS, which will include the updated 27001:2022, as well as other key ISO standards, including SOC 2 Type 2 Audit report, that are vital to meeting quality standards for all Intdev Stakeholders.

The Key Business Challenges, which lead to RUBIQ ACE as the solution:

Intdevs core values of Integrity, Accountability and Exemplary Service, have lead the team toward the demand that their integrated GRC journey meets a Level 4 CMMI / CMMC GRC Maturity.

“Enterprise and ICT governance and control assurance framework is being embedded with automation. Processes are being measure and controlled. The organisation is using quantitative data to implement predictable processes that meet organisational goals.”

Problem Statement:

Intdev, as an organisation, has recently undergone significant staffing changes, leading to the transition of business processes to include new team members. This shift has exposed a critical dependency on individuals deeply familiar with their operational steps and framework. The departure of these personnel has resulted in gaps in process knowledge and execution, leading to negligence, errors, and misapplication of agreed policies and protocols. These issues have notably impacted Intdev’ s profitability.

Furthermore, Intdev operates within the ICT sector, offering a large volume of services and products to large volumes of end clients.

Additionally, as is often the case, there are a number of siloed systems, including manual excel spreadsheets and use of PowerPoint and word as reporting tools. This means that there is a high volume of manual work placed upon a small staff, who already have high pressures to meet targets and execute manual processes.

As with all businesses, ensuring effectiveness and efficiency in core processes, such as diverse quoting processes and complex sales management processes, where profit margins are narrow and profitability can be severely compromised, especially where human error and negligence is a key challenge, especially in a fast-paced business, with high volume of tasks and activities, where quick turnaround times are critical. Add to this, the complexity of multiple service providers, and volumes of partner resellers/ dealers, where numerous products and services are involve, through rapid sales transactions to large volumes of clients, and the risks and potential for loss increases



exponentially. Furthermore, given the continually growing information security, cyber risks, and data privacy concerns, Intdev were still faced with a significant portfolio of risk that was requiring an improved level of efficiency in management and control.

For the Intdev Team to achieve, in real time, this level of increase GRC maturity, they had to look at the use of smart, AI and automation technologies. Which they have found in the RUBIQ ACE solution offering.

The Journey

Intdev previously chose the RUBIQ ISO 27001 and Data Privacy Readiness Managed Solution and RUBIQ team as their partner to walk the compliance and certification road with them. The targets set to attain certification were strenuous to say the least, but the Intdev Team successfully met all requirements, gaining certification as well as compliance assurance in having met the 8 principles of lawful processing of PII information. With this achievement they attained a Level 3 Maturity, having well documented policies and procedures, effective risk and control processes and improved insights to their Information Security Governance, Risk and Compliance posture.

Intdev is now in the process of moving forward from Level 3 maturity on to Level 4 maturity, through their RUBIQ ACE 10 step journey. Very few, if any, mid-level organisations have taken on such a determined and ambitious drive toward the achievement of excellence, at a Level 4 maturity, as Intdev is seeking with this endeavour.

The RUBIQ AI and expert GRC algorithms Development Team are working with the Intdev team to unpack their core, most critical processes, monitoring requirements. With the ISO system already developed and in place, along with a strong management and board commitment, Intdev are already seeing an upskill of critical IT resources where IT can add significant value, through the ACE automation algorithms, toward the solving of serious business challenges, that Intdev needed to support their core strategic and operational objectives.

- I. Working alongside the dedicated RUBIQ, hands-on project facilitators, Pedro and the Intdev Team have been able to fast track definition of weak areas in critical tasks and activities, so that aspects of governance, compliance and operational control monitoring can be embedded at data transactional levels, and as such, take the guess work out of the question “is the process being done as expected, so as to not expose Intdev or their customers and suppliers to risk”.
- II. Many AI and process automation projects have the reputation of long project lead times, however, due to the work already completed by Intdev, under the 3 Phase 10 step programme, they are now ideally set up to rapidly automate critical core processes, under the umbrella of the ICT Governance and Control Assurance Attestation Framework, which the RUBIQ Team have helped develop for them.
- III. RUBIQ subject matter experts have spent time both at site and via Teams to ensure that the core value to be gained in the next levels of control automation, have been precisely understood, so that the algorithms in RUBIQ ACE, speak exactly to the expected evidence to be found in the transactional data, be it structured data in tables and databases or unstructured data, such as emails or even informal messaging systems, such as WhatsApp or data captured within IOT. All evidence data is evaluated through the control assurance framework, which at the heart includes, clearly defined algorithms, which have been written to align fully with the expected compliance in meeting approved policies and procedures, within the RUBIQ Intdev system.

The Collaboration:

The collaboration aims to:

1. Revise and clarify the operating model, addressing identified gaps and eliminating inefficient processes, exposures that could be exploited by threat actors and fraudsters, that could lead to financial losses and

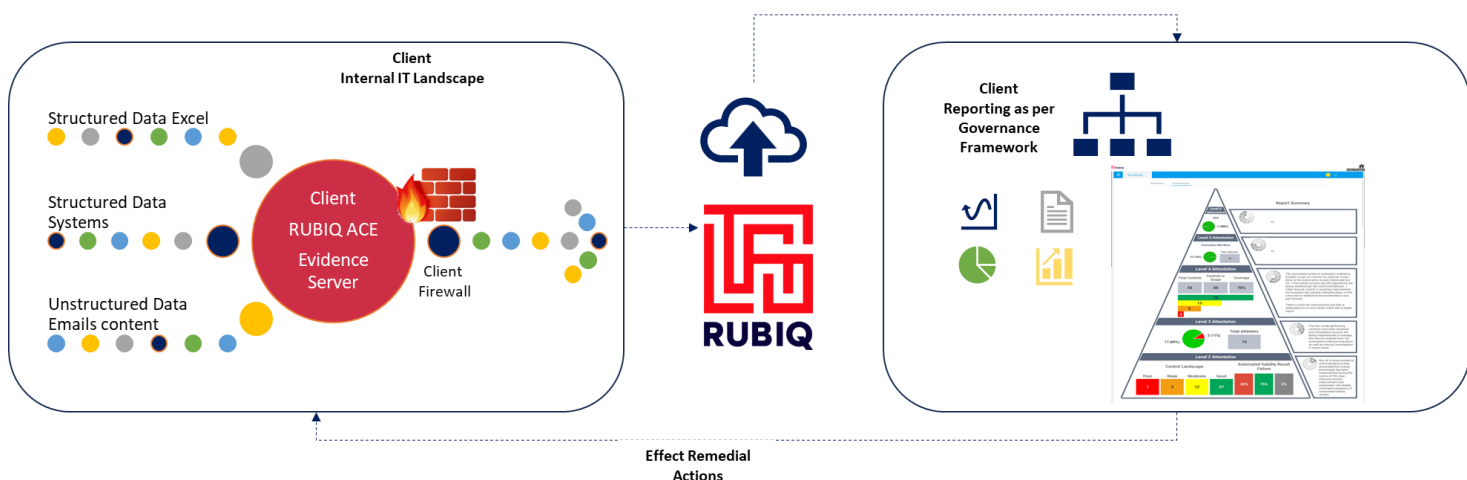
poor client experiences. Ultimately, if left unmanaged, leads to severe reputational damages that may be irrecoverable, and impact the business growth and sustainability.

2. Implement automation tools for continuous operational monitoring, enhancing executive transparency and supporting governance frameworks for Control Assurance and Attestation.
3. Offer ongoing support to adapt to changes in systems, product/service offerings, and business practices, so as to truly achieve agility, through smart deep learning models, that have been designed to alert the Intdev Team as to where things are beginning to go off course, and assist to direct the Team to get rapid remedial actions in place and closed out.

The Results

The initial results have been achieved within a 3-month period, where the first critical algorithms have been deployed and are actively now monitoring transactional data in multiple systems, pulling through the data to an specific evidence server that is located behind the firewall for Intdev, where the algorithms then go to work to evaluate the evidential data, in terms of what the policy expects to be in place and makes automated determinations of effectiveness or ineffectiveness of the expectations of control, to minimize and mitigate against losses, errors and negligence risks.

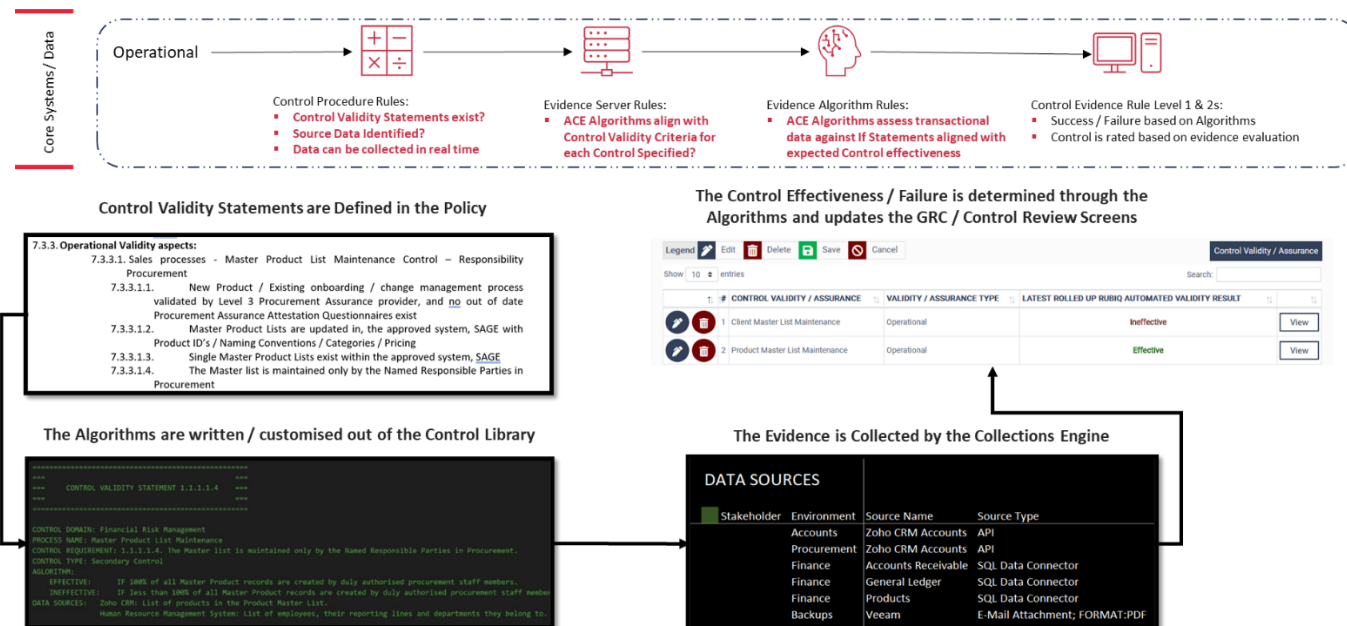
Diagram 1: The RUBIQ ACE Process of Evidence Collection and Reporting



Once setup, the process of collection of evidence at the transactional level, by the RUBIQ ACE Collection Engine, is continuous and includes 100% of all transactions. This means that the data that arrives on the RUBIQ ACE Client Evidence Server, can be audited for criteria, as per some of the examples below:

Control & Audit Criteria	Remedial Action Response
▪ Quality and completeness of data	▪ Improve data quality at source level
▪ Process effective	▪ Improve process in policy and at transactional level
▪ Quality of Control	▪ Improve / enhance control quality
▪ Accuracy of Algorithm assessment	▪ Update and improve algorithm
▪ Risk mitigation overall effectiveness	▪ Improve Risk mitigation effectiveness

The process is built as a continuous improvement process in support of the ISO definition of continuous improvement. The specific structures of the process for each client, are clearly defined within each of the steps within the RUBIQ ACE 10 Step Programme, ensuring that the full context of each business, is uniquely understood in terms of both the out the box RUBIQ Algorithms as well as the client customised algorithms.



Intdev one of the first Phase 4 RUBIQ clients, that is now going live with the RUBIQ ACE automation engine, for continuous monitoring and evaluation at core transactional level, thus achieving a significant milestone of **Transactionally Based GRC**. At these initial and early stages, the solution is already making an exceptional difference to Intdev's data insights capabilities, performance monitoring capabilities, continuous people awareness and skills training and profitability, as the algorithms run daily and corrective actions are addressed daily to rectify non-compliance, errors and negligence, mistakes, that open the door to opportunity for risk and loss. Such issues are being detected in real time and rapidly corrected before they can spiral out of control and seriously impact the business.

FOR MORE INFORMATION ON RUBIQ ACE | CONTROL AUTOMATION ENGINE | CONTACT US |

Phone: 010 141 0241

Email: info@rubiqbiz.com

[Contact Us - RUBIQ \(rubiqbiz.com\)](https://rubiqbiz.com)