



SUNHAWK

Metrics That
Matter

Considerations for Metric Identification and Reporting

DOJ Metric Alignment Considerations

I.A: Risk Assessment Linkage

- Highest Impact to Stakeholders
- Highest Risk of Non-Compliance

I.B: Policies and Procedures In Place

- Percent of Policies with Annual Updates / Review

I.C: Training and Communication

- Attestations on Key Policies / Code of Conduct

I.D: Confidential Reporting and Investigations

- Employee Knowledge and Confidence in Investigations
- Level of Confidential Reporting to Benchmark

I.E: Third Party Management

- Percent of Third-Parties Monitored

I.F: Mergers and Acquisitions

- Percent of M&As with Compliance Due Diligence

II.A: Commitment by Senior Management

- Number of Private Sessions with the Board

II.B: Autonomy and Resources

- Experience of Staff
- Funding Benchmarks
- Last External Peer Review
- Number of External Regulatory Findings

II.C: Incentives and Disciplinary Measures

- Number of Disciplinary Actions by Level

III.A: Continuous Improvement, Periodic Testing

- Number of Audits / High Risk Audit Coverage
- Average Issue Remediation Cycle
- Frequency of Associate Engagement / Culture Surveys

III.B: Investigation

- Cycle Time of Investigations
- Last External Peer Review

III.C: Analysis and Remediation

- Number of Issues with Root Cause Remediation

Metric Development Considerations

Business Metrics – By Process Area

- Accuracy
- Quality
- Cycle Time
- Satisfaction Level
- External Regulator / Client Audit Results

Types of Metrics

- Activity / Process / Outcome
- Automated / Manual
- Preventative / Detective
- Number / Percentage / Per 1000
- Trended / Benchmarked / Year over Year
- Actual to Goal / Upper & Lower Thresholds
- Key Control / Key Risk / Key Performance - Indicators

Data Governance

- Data Governance Oversight
- Meta Data Management
- Data Validation Audits
- Change Control
- Data Steward Identification

Root Cause Analysis

- Data Issue Drivers
- Six Sigma / 5 Whys

Reporting

- Exception Reporting / Full Metric Portfolio
- Unit / Executive / Board
- Thresholds / Risk Tolerance
- Charts / Tables / Summaries
- Authentic / Intuitive
- PowerPoint / Azure / BI / GRC System
- By Compliance Leaders or Business Leaders

Contact Our Staff for Support on Your Metric Journey

James Rose, Managing Director

James.Rose@SunHawkConsulting.com

Jim Rough, President

Jim@SunHawkConsulting.com

