



# Building Smarter Monitoring Plans

Applying Enhanced Risk Segmentation



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## POLL

Is your monitoring plan grounded in a compliance risk assessment or other formal process?

Or is it more of a 'check-the-box' exercise?

## POLL

If your company conducts a compliance risk assessment, is your focus limited to compliance risk, or does it extend to broader enterprise risk management (ERM)?

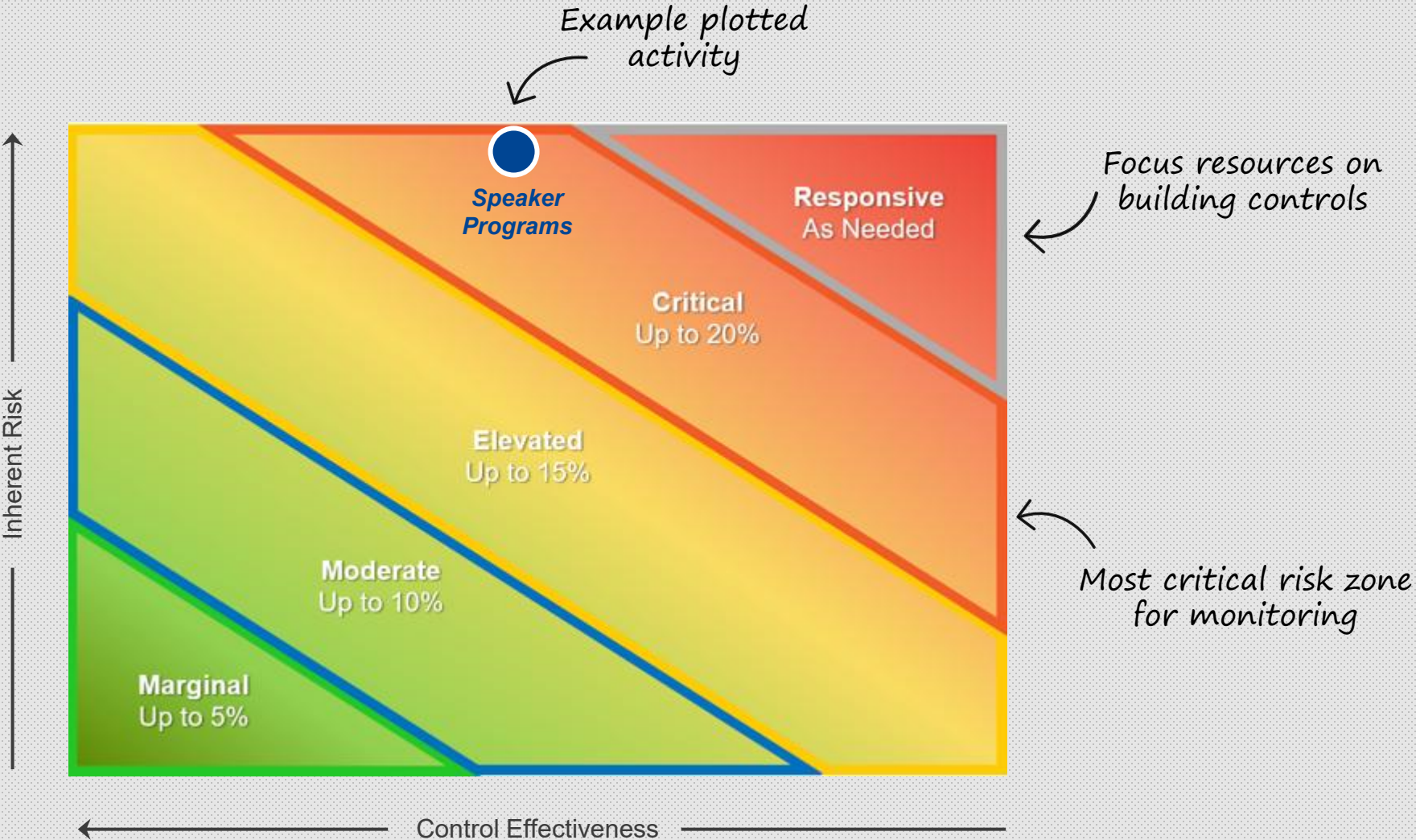


**From darts on a board to a precise, risk-based target, monitoring plans can look very different.**

*Where have you seen yourself on that spectrum?*

# Color Coded Clues

Using Risk to Guide Sample Selection





*Which activities are you monitoring?*

*How are you selecting samples?*

*Are you confident you're addressing top risks?*

## Speaker Programs



Live



In-office



Educational



Virtual



Out-of-office



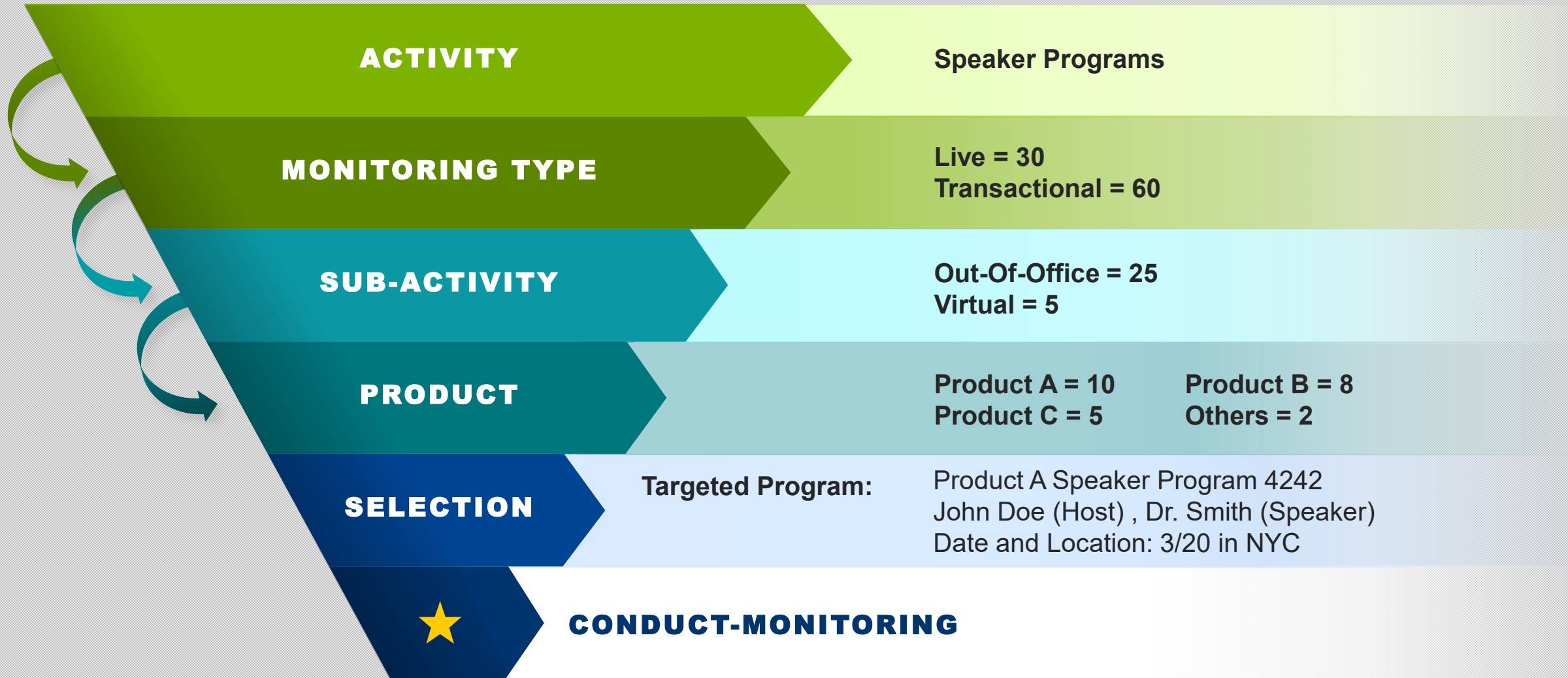
Promotional



Product-A



Product-B



# Monitoring sample selections

Risk-based + Random



*How are you getting a baseline of compliance issues and control?*

*How can you communicate to your leadership teams that risk-based selections often lead to more findings?*



# Questions?



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