

# ROBECO

## Banking on GRC success with SAI360

Effectively meet compliance requirements and gain visibility on risks across the organization

### Background

Robeco is a global asset management firm with over \$180 billion in assets under its management and approximately 2,000 employees worldwide with specialist investment teams in Europe and the United States.



## Challenge

Robeco required a solution that would effectively meet its compliance requirements for Basel II across numerous international rules and regulations, while supporting process and risk management.

## Solution

Enterprise process management, a loss database, followed by the development of a fully integrated control framework and Sarbanes-Oxley compliance.

## Benefits

The SAI360 solution has given Robeco a new view into its financial data and key information on its business processes, risks and controls. It also enabled Robeco to gain visibility across their organization and they are able to maintain an adequate level of control in an effective way.

Robeco Group N.V. (“Robeco”) is a global asset management firm with over \$180 billion US dollars in assets under its management and approximately 2,000 employees worldwide, including the United States. Robeco Group N.V. is wholly owned by Rabobank Nederland (“Rabobank”), the only AAA (triple A) rated privately held bank in the world. Within the Rabobank Group, Robeco is the center of its asset management activities, providing services to a wide range of private, professional and institutional customers since 1929. Robeco’s expert team of Investment Engineers translates ideas into actionable solutions to deliver superior results across Europe, the United States and Asia.

## Global Convergence

Robeco needed a solution that would effectively meet its compliance requirements across numerous international rules and regulations, while supporting process and risk management, including multiple regulatory requirements such as Basel II for Risk Management, Sarbanes Oxley (SOX), Tabaksblat (Dutch Corporate Governance Code), the Dutch Financial Supervision Act (Wft) and others. An integrated approach that would enable enterprise wide convergence of Governance, Risk and Compliance (GRC) was a must. Robeco needed a vendor that understood how these requirements work together and how to avoid redundant processes, controls and reporting steps. In addition, Robeco was seeking a process-based approach, with the scalability to add new levels of control.

**“With the help of SAI360, we have been able to implement SOX compliance in less than four months and have also successfully implemented the risk management and a control framework. We anticipate even further integration of internal controls in the future; optimizing risks and remaining compliant with all rules and regulations.”**

**– Marleen Lemmens,  
Head of Global Operational Risk  
Management at Robeco**

## SAI360 for Global Effectiveness

After a thorough evaluation, Robeco determined that SAI360 had the most comprehensive, process-driven solution available to handle all of Robeco's GRC needs. Robeco selected SAI360 initially for enterprise process management, to create a comprehensive loss database for Basel II compliance, followed by the development of a fully integrated control framework and enable SOX compliance.

## A Successful Implementation

Reasons for selecting SAI360 included:

- GRC convergence across the enterprise
- Multinational compliance capabilities
- Process-centric solution
- Ability to manage organization-wide risk

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— Marleen Lemmens said, Head of Global Operational Risk Management at Robeco.

## The Benefits: Standardization and Control

SAI360 has given Robeco a new view into its financial data and key information on its business processes, risks and controls. “We have been using the SAI360 solution for over three years and it is a tremendous help in structuring our process documentation,” stated Constant Korthout, CFO of Robeco. “SAI360 also has enabled Robeco to gain visibility across our organization and ensure that we are effective in maintaining an adequate level of control.”

SAI360 has enabled Robeco for the present and into the future with:

- Effective global risk management
- Standardized controls and processes
- Comprehensive risk management
- A GRC framework to easily build on

“SAI360 has given us real process management expertise,” Constant Korthout concluded.

“They play a vital role in helping us reach our GRC goals, supporting the Robeco organization with a professional solution.”

## Our unified approach to risk sets us apart

Today's complex risk landscape demands more. SAI360 leads the way with an integrated GRC platform and Learning solution that spans the entire risk and compliance spectrum.

### Risk Management Solutions

- Risk & Compliance Management Solutions
- Enterprise & Operational Risk Management
- Regulatory Compliance
- Policy Management
- Third-Party / Vendor Risk Management
- Internal Controls
- Internal Audit
- Incident Management
- Conflicts of Interest (COI)
- Gifts and Hospitality
- IT & Cybersecurity
- Business Continuity Management

### Ethics & Compliance Learning Solutions

- Anti-Bribery & Anti-Corruption
- Competition & Anti-Trust
- Conflicts of Interest
- Data Protection & Privacy
- Exports, Imports & Trade Compliance
- Harassment & Discrimination