Development of NRC's Risk and Compliance Monitoring Digital Platform

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Section Responsible: Risk Management Section
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1. Background

NRC is currently developing a Risk and Compliance (R&C) assurance system. This system should bring together a list of procedures, data elements contained in different digital applications, management activities and digital reporting tools, to support management in their risk management and compliance assurance responsibilities. A summary description of this system can be found at the end of this document (Section in section 6).

One of the main components of this system will be **the R&C Monitoring Platform** (platform from here onwards) which is envisaged as a digital solution that will allow management at all levels of the organisation, interacting with the information resources and digital applications of NRC's R&C assurance system. Information resources include:

- Information recorded in risk registers.
- Status of key controls and their corresponding compliance scores.
- Issues related to the implementation of key controls status of actions to address them.

The platform will make use of and connect different data sources stored in existing enterprise digital systems to establish and visualise the status of risks recorded in risk registers and key controls at different levels of the organisation at certain point in time.

The platform will also make available two reporting applications: i) A compliance reporting application that relevant staff will use to report the outcomes of compliance verification assessments (compliance scores and other information) and, ii) An issues log that will allow management to raise and record issues related to recorded risks and the implementation and effectiveness of key controls.

An early visual prototype of the platform is attached to this ToR.

2. The task

The main purpose of this consultancy is to design, develop, test and deliver a working version of the R&C Monitoring Platform in close collaboration with NRC staff developing the R&C assurance system.

Concrete activities include (not exhaustive list)

- Design and develop the platform's data model (connections with data sources)
- Design and develop the platform's interfaces
- Design and develop Power BI elements to allow visualising the information from risk registers, key controls status and compliance scores and issues regarding risks and compliance from all NRC offices,
- Develop the Compliance Reporting and the Issues Log applications
- Develop and implement a testing plan of the Platform and its applications once a working prototype has been completed.
- Produce a final and complete version of the platform.
- Develop and handover all documentation related to the platform's design and maintenance.

The working version of the platform should be developed based not only in the specifications provided in the attached documents, but also building on the needs and practices of key users that include (not exhaustive list):

- Managers of NRC offices including the Head, regional and country offices
- Risk Owners at all levels of the organisation (functional leads and/or managers in offices).
- Risk and Compliance staff (Coordinators, managers, specialists and Heads of Units).
- Staff responsible for verifying compliance with key controls (function leads or specialist).

The platform should be developed in Microsoft environment (SharePoint, Power BI, Power Apps and others as needed).

3. Resources, timeframe and scope

NRC is requiring the support of a consultant (individual or organisation) with solid and documented experience in the development of digital solutions in Microsoft environment, based on user's needs, to develop the NRC's R&C monitoring platform.

To complete this work NRC has allocated a maximum amount of 50,000 USD.

Timeframe:

The development of the platform is planned to start in January 2022.

The "go live" date for the platform's first version has been set for July 2022.

A working prototype of the platform should be tested in April 2022.

Support to correct issues detected during first use should be provided during the rollout phase of this solution (July 2022 – February 2023).

Transfer of the solution to NRC's team responsible for maintenance and further development should be completed by January 2023.

Regarding the scope:

The solution is expected to serve the whole organisation. This includes 30+ Regional and Country Offices located in four continents (all with the exception of Australia), the head office in Oslo and representation offices in Europe and USA. Users can be up to 400 staff at different levels (see above).

4. Deliverables

4.1. Compliance scoring application
A digital application built in MS Power Apps that allows users to record compliance scores for identified Key Controls and other related information. This development includes:

- Layout of data input fields
- Information / Data Architecture of forms
- Data standards and classifications
- Data quality optimization (reduce opportunity for error)
- User testing

4.2. Issues Log Application
A digital application built in MS Power Apps that allows users to record information on issues related to risks, implementation and effectiveness of identified Key Controls and other related information. This development also includes the elements mentioned in 4.3. above.

4.3. Power BI elements
Power BI reports with their respective data sets and workflows to visualise information from risk registers, information on status and compliance with key controls and issues regarding risks as well as implementation and effectiveness of key controls from all NRC offices. These also includes:

- Redesign of the existing Risk Registers Dashboard.

- Identification and design of charts per indicator / key controls.
- Information architecture of reports.
- Navigation of pages and filters for each report.

4.4. Tested final versions of all deliverables

All four deliverables mentioned previously should be prototyped and tested by April. Based on the findings of this testing a final and complete working version of the R&C monitoring platform and its applications should be ready by ready to "go live" by July 2022.

4.5. Platform's SharePoint Site

This is a SharePoint communication site that will allow users interacting with the information resources and digital applications of NRC's R&C assurance system. Key to design include:

- Site's pages
- Document library (ies)
- Site's permissions structure
- A working prototype of this deliverable should be ready by April 2021.

4.6. Handover documentation

The design of the R&C monitoring platform and all its elements (see deliverables above) should be documented for maintenance and further development. All related documents should be handed over to the relevant NRC staff by November 2022. A handover meeting where key documentation is presented to the relevant NRC staff should also be facilitated by the consultant.

5. Content of proposal

The proposed technical solution must be built using the Microsoft Power Platform set of applications (Power Apps, Power BI etc.)
NRC will assess proposals that contain at least the following documents:

- **A work plan:** A document describing activities necessary to complete each deliverable, stakeholders involved in completing these activities (from NRC) and a timeline.
- **A budget:** An estimation of costs to complete all deliverables detailed by activities and type of cost. The budget should be within the amount NRC has allocated for this work (see section 3)
- **Basic information of people involved:** CV(s) of the person (s) responsible for completing the work and the role to play in the project.
- **Documentation of experience:** Documents certifying the person/organisation experience within the line of this work.

Based on that information NRC will call for interviews and select one person/organisation to complete this work. NRC will contact only the person/organisation selected for this work.

The project will be implemented using an agile and modular approach based around the proposed deliverables. After the successful completion of one deliverable, the project group will review and decide to continue or not.

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6. Annex – R&C Assurance System

A **new digital platform** will be available to allow managers at all levels accessing reports that **will visualise**:
- Information recorded in risk registers.
- Status of key controls and their corresponding compliance scores.
- Issues related to key risks and the effectiveness of key controls.

Managers will continue to maintain oversight, but in the future they will **consult the R&C Monitoring Platform to**:
- Maintain oversight on the status of risk levels and mitigation efforts in the office.
- Maintain oversight on the status of implementation and effectiveness of key controls.
- Identify issues related to key controls and key risks.

CO staff will continue, resume or start recording information related to the implementation **of Key Controls** in existing digital applications (e.g., Transaction Checklist in CO's filing tree)

RO staff will continue or start conducting regular reviews of information contained in existing digital applications **to verify the implementation and effectiveness of key controls by COs and produce compliance scores** based on the review.

Existing **T Meetings will continue to occur and will focus on**:
- Validating the information presented in the R&C Monitoring Platform
- Identify and action issues related to key risks and the effectiveness of key controls.

R&C Assurance System

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