From eGovernment to…

Oracle iGovernment

- Modernize the IT Infrastructure
- Increase Efficiency and Transparency
- Transform Government Service Delivery
Increase Efficiency and Transparency

- Provide a Governance, Risk and Compliance Platform
- Deliver Shared Services
- Streamline Business Processes
  - Planning and Budgeting
  - Tax and Revenue
  - Financial Management
  - Human Resources Management
  - Procurement
  - Project and Grant Management

Oracle iGovernment

Transform Government Service Delivery

Increase Efficiency and Transparency

Modernize the IT Infrastructure
Governance, Risk & Compliance

Critical for Government Agencies

• **Governance** is the process of deciding and documenting how the Agency operates.
  • *Increase Transparency*: Clearly document processes, risks and controls.

• **Risk Management** is the process of ensuring that the right levels of risk are taken.
  • *Improve Public Trust*: Identify and mitigate risks of mistakes & fraud BEFORE they happen

• **Compliance** is the process of ensuring and proving that policies (internal and external) are being followed.
  • *Reduce Cost of Compliance*: Reduce Audit costs via Automation
  • *Increase Public Trust*: Prove the Agency is operating “right”
GRC Terminology

Processes
- Financial Governance (COSO)
- Operational Risk Management (ISO, 6Sigma)
- IT Governance (COBIT, ITIL)

Risks
- Specialists
- Audit Firms

Controls
- Automated Controls
- Detective & Preventative
- Reports/Documentation
- Attestation (“I confirm that...”)

Best Practices

Risk Assurance Partners
COMPANY OVERVIEW

- Revenues > $250B
- 52,160 employees
- 1 of 4 Federal Centers of Excellence (COE)

CHALLENGES / OPPORTUNITIES

- Mask sensitive data to comply with Privacy Act
- Lack of tools to identify & remediate control violations and establish effective monitoring process
- Difficulty satisfying management and audit requirements

SOLUTIONS

- Oracle GRC Controls

CUSTOMER PERSPECTIVE

“After searching for two years for a solution that would allow us to hide social security numbers from unauthorized users, LogicalApps showed us that they could selectively hide critical fields within minutes.”

Michelle Overstreet, Program Manager, FAA

RESULTS

- Eliminated programming time for application customization
- Reduced detection and remediation time for control violations
- Developed a sustainable model to manage regulatory compliance
How Technology Helps GRC

- Catalog Risks & Controls
- Training Administration
- Automate Controls
- Reporting/Monitoring
- Workflow for Exception Tracking

.....BUT, don’t approach each of these independently!
Reasons to Consider an Enterprise GRC Platform

• To manage workflow better than is possible with spreadsheets or auditor provided software
• Because many different groups in the enterprise are each looking for audit, risk or compliance management solutions
• To improve reporting and dashboarding
• To get a holistic view of risk management and compliance activities across the enterprise
• To support rationalization of compliance and risk management activities across the platform
• Committing investment to an aggressive development road map
• A suite of controls products that is integrated into the GRC Manager platform
• Automated controls via technology takes us beyond Gartner’s expectations.
How Oracle GRC Solutions help

Solution:
Consolidate

Solution:
Automate

Solution:
Embed

Sources: Adapted from Deloitte Consulting, Open Compliance and Ethics Group, and IDC
Oracle GRC Solutions

- Complete GRC Platform for any Government Agency
- Best-in-class GRC core solutions to support all mandates and regulations
- Pre-integrated with Oracle applications and technology; supports heterogeneous environments

**GRC Reporting & Analytics**
- Dashboards
- Reporting
- KRI & Alerts

**GRC Process Management**
- Audit
- Management Assessment
- Issue & Remediation
- Event & Loss Mgmt

**GRC Application Controls**
- SOD & Access
- Application Configuration
- Transaction Monitoring

**GRC Infrastructure Controls**
- Identity Mgmt
- Data Security
- Systems Mgmt
- Records & Content Mgmt
- Digital Rights

Custom or Legacy Applications
CASE STUDY: US Postal Service

The Postal Accountability & Enhancement Act
Requirements and Impact
- Passed into law in December 2006
- Segments the Postal Service’s products
  - Market Dominant – mailing services
  - Competitive – shipping services
- Changes the rate setting process by segment
- Requires Sarbanes-Oxley Compliance by FY 2010
- Ensures the integrity of financial statements similar to public companies

- USPS identified 2,400 controls to be documented!
- Live with Oracle GRC Manager
Oracle GRC Manager
Document Risks & Controls across the Agency

- Central repository for policy, risk & compliance documentation
- Automate certifications, audits, and management assessments
- Capture issues and manage remediation

Risk and Compliance Process

1. Document Risk and Control Matrix
2. Assess Scope Based on Risk
3. Test Controls and Analyze Exceptions
4. Remediate and Optimize
5. Certify and Publish
IT Governance
Implement a Best Practice Framework

How do you ensure the Safety and Security of Citizen Information?

What are your Risks of data loss?

Gartner is predicting that by year-end 2010, ITIL will be in use by 30% of companies with 250-999 employees and by 60% of companies with more than 1,000 employees.

The de-facto best practice guidance for IT services
Environmental Compliance
Is your agency leading by example?

- ISO 14001 Compliant Environmental Management System
- Monitor Progress on Environmental Initiatives
- Report Key Compliance and Utilization Metrics

Figure 1. A Unified Platform for Environmental Sustainability

Set environmental compliance objectives

Track key metrics
Oracle GRC Applications Controls

GRC Reporting & Analytics
- Access Policy KPIs
- Risk & Control KPIs
- Certification KPIs

GRC Process Management
- Documentation & Reporting
- Management Assessments
- Issues & Remediation

GRC Application Controls
- SOD & Access
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GRC Infrastructure Controls
- Identity Mgmt
- Data Security
- Systems Mgmt
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- Digital Rights

- Preventive and detective controls
- What-if risk simulation
- Automated controls testing

Custom or Legacy Applications
Automate Controls throughout the Agency

Detect and prevent control failure

Detective Controls
- What users have done
- What’s changed in the environment
- What are the execution patterns

Preventive Controls
- ACCESS Controls
  - What users can do
- CONFIGURATION Controls
  - How the environment is setup
- TRANSACTION Controls
  - How users execute processes

Enforce Policies in Context

Monitor Control Effectiveness
ORIENTATION OVERVIEW
- Established in 1817
- Total assets of $658 Billion
- 35,000 employees
- World's largest implementation of Oracle E-Business Financials

CHALLENGES / OPPORTUNITIES
- User access was too broad
- Privacy Act violations
- No way to track changes to data, including who, what, when and why changes were made
- SOD analysis process was expensive and ineffective

SOLUTIONS
- GRC Controls

RESULTS
- Resolved 85% of SOD conflicts across ERP system; implemented mitigating controls for remainder
- Resolved privacy issues with access to SSN information
- Created detailed access rules and comprehensive audit trails to ensure A-123 compliance
Oracle GRC Infrastructure Solutions

- GRC Intelligence
  - Dashboards
  - Reporting
  - KRI & Alerts

- GRC Manager
  - Audit
  - Management Assessment
  - Issue & Remediation
  - Event & Loss Mgmt

- GRC Application Controls
  - SOD & Access
  - Application Configuration
  - Transaction Monitoring

- GRC Infrastructure Solutions
  - Identity Mgmt
  - Data Security
  - Systems Mgmt
  - Records Mgmt
  - Digital Rights

- Custom or Legacy Applications
  - Event & Digital

- ✓ Enterprise-wide identity management
  - ✓ Information security
  - ✓ Systems configuration management
  - ✓ Records and digital rights management
Modernize the IT Infrastructure

- Ensure Security and Controlled Access
- Automate your IT Governance Risk Controls
Oracle Identity & Access Management

End Users
- Strong Authentication
- Risk Based Authorization
- Federation
- Self-Service

Administrator
- Identity Admin
- Account Admin
- Organization Admin
- Role Management
- Delegated Admin

Info. Sec, Auditor
- Reporting & Analytics
- Attestation
- Segregation of Duties
- Fraud Detection

Oracle Identity Management & Security Platform

Oracle Identity Management & Security Platform

Provisioning
- Reconciliation
- Password Mgmt.
- WS Security

LDAP Storage
- LDAP Synchronization
- LDAP Virtualization
- DB User Security

Java Platform Security
- Authentication For Operating Systems

Business Apps, HR

Directories, DB

App Server, OS
Oracle Database Security
Defense-in-Depth for Security and Compliance

Configuration Management
Audit Vault
Total Recall
Database Vault
Secret
Label Security
Advanced Security
Secure Backup
Data Masking
Edge to Core Segregation of Duties

1. Create or change User Access
   - Oracle Identity & Access Management (IAM)

2. Propose User Access request for Applications Managed by a SoD engine
   - GRC Controls Management
      - Access Controls
      - Configuration Controls
      - Transaction Controls

3. Analyze impact and policy overrides if needed

4. Return Policy with Actions & approvals

5. Update User Account

6. Enforce DBA SoD Policy w/ Oracle Database Vault

Application Logos:
- Oracle Retail
- Oracle Financial Services
- PeopleSoft
- Siebel
- SAP
- Custom, Legacy, …
Oracle GRC Reporting & Analytics

- Pre-built dashboards aggregate information from all sources
- Produce Attestations & disclosures
- Configure to meet your needs

**GRC Reporting & Analytics**
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- Risk & Control KPIs
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**GRC Process Management**
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Custom or Legacy Applications
GRC Intelligence
Timely access to GRC information, better decisions

✓ 100+ pre-built KPIs for Risk, Certification, Controls, and Issues enable personalized reporting
✓ Self-service analysis and reporting with interactive dashboards and automated alerts
✓ Integrated financial statement and GRC information

GRC Reporting & Analysis

- Review GRC Dashboards
- Configure Risk and Control KPIs
- Investigate Troubling KPIs
- Monitor All Open Issues
Oracle GRC Product Set

GRC Reporting and Analytics
- Fusion GRC Intelligence

GRC Process Management
- GRC Manager

GRC Application Controls
- Application Access Controls Governor
- Configuration Controls Governor
- Transaction Controls Governor
- Preventive Controls Governor
- Mantas Behaviour Detection
- Reveleus Operational Risk

GRC Infrastructure Controls
- Identity Manager
- Access Manager
- Role Manager
- Database Vault
- Audit Vault
- Advanced Security
- Secure Backup
- Enterprise Manager
- Universal Content Management
- Universal Records Management
- Information Rights Management