Business Problem   **Date: 1/12/2023**

The GRC department goes through countless of hours tracking controls which are in place and ones which are not through a manual process in excel. Modern technological tools like ServiceNow, ZenGRC and several others have been made to solve this manual process and automate it. However not all companies have the funds to purchase these tools. Our GRC department is on a limited budget and wants to find out controls which are in place in the several departments: Finance, IT and HR without purchasing these tools. These Controls are documented and extracted from three separate sources. One in CSV, Excel and the other in SQL database.

Describing the Work Solution.

The data analytics team creates a workflow that follows this analysis:
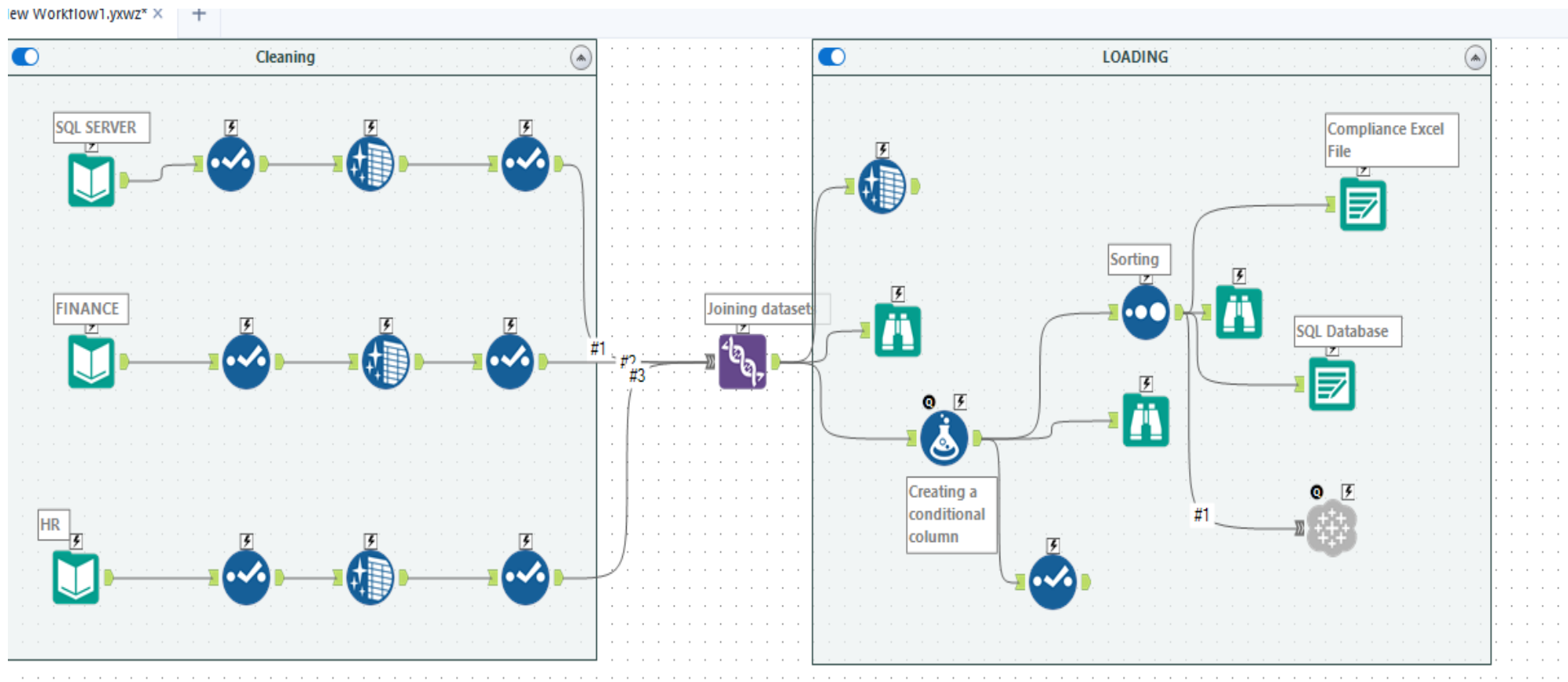
We begin by extracting our IT Compliance data from the SQL database using the input tool in the In/Out Palette.

After setting up the connection to extract data from the SQL database, we continued with the extraction of the other two files needed for the compliance tracking project. We began our data transformation on all three by first cleaning the data by changing incorrect data types into appropriate ones and used the data cleansing tool to remove all null values and white spaces from the field. We also used the select tool to rename column headers as they were longer, they needed. We used the Union tool in the Join palette to combine all the datasets into a single data stream and set the configuration to Autoconfigure by name since the column headers are the same for all datasets. We performed another data cleansing

and created a conditional column that will populate whether a control at a particular department is in compliance or not.
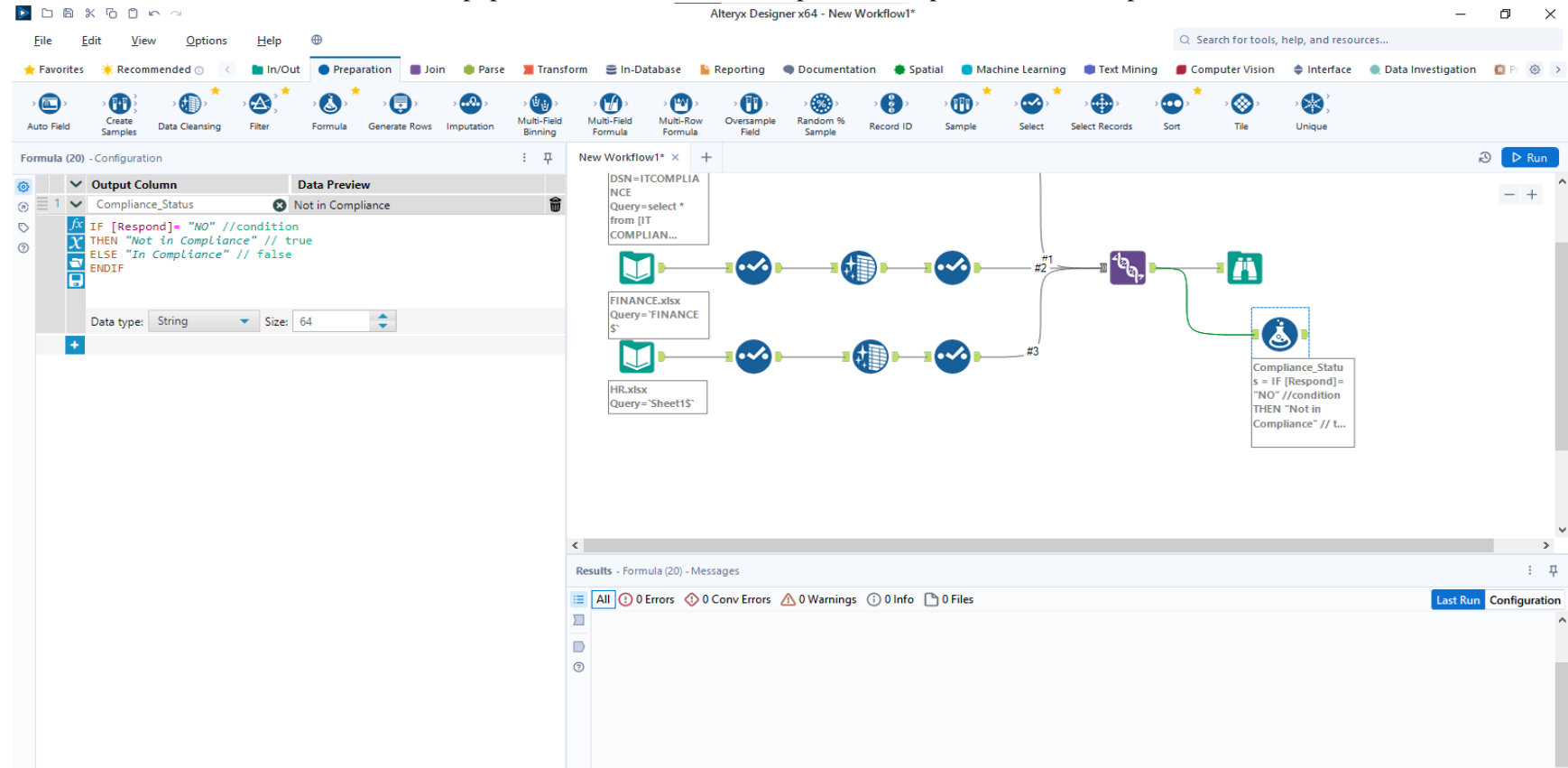
We then use the Output tool in the In/out palette to load the data into a new excel file, the SQL database and Tableau Cloud for further visualization.

Tableau link here : https://prod-useast-a.online.tableau.com/t/cyber/views/TrackingControls/Dashboard1 (All permissions are granted with no restrictions to access the data. Workflow will be scheduled to refresh whenever a compliance status changes). To access this link, the user will need to create a cloud account to interact with the dashboard. **See pic below for Tableau Visualization.**

Benefits

1. Time Saving.

2. 2. Money Saved till the organization is ready to invest in other tools.

Future projects will be expanding this through all departments

COMPLIANCE STATUS

DEPARTMENT
FINANCE ▼

RISK ANALYSIS

DEPARTMENT
FINANCE ▼

Compliance Status
■ In Compliance
■ Not in Compliance

16.12%

83.88%

15.29%

84.71%

Compliance Status	Control Name	Control Identifier	Risk	Department
(All) ▼	(All) ▼	(All) ▼	(All) ▼	(All) ▼

Highlight Control Identifier
Highlight Control Identi... 🔍

Tracking Control

Control Ide..	Control Name	Control Text	Related Controls	Department	Risk	Compliance Status	
AC-1	Policy and Procedures	a. Develop, document, an..	IA-1, PM-9, PM-24, PS-8, S..	IT	HIGH	In Compliance	■
AC-2	Account Management	a. Define and document th..	AC-3, AC-5, AC-6, AC-17, A..	IT	HIGH	Not in Compliance	■
AC-2(1)	Account Management	A..	Support the management ..	None.	IT	HIGH	In Compliance	■
AC-2(2)	Account Management	A..	Automatically [Selection: ..	None.	IT	HIGH	Not in Compliance	■
AC-2(3)	Account Management	Di..	Disable accounts within [..	None.	IT	HIGH	Not in Compliance	■
AC-2(4)	Account Management	A..	Automatically audit accou..	AU-2, AU-6.	IT	HIGH	In Compliance	■
AC-2(5)	Account Management	In..	Require that users log out..	AC-11.	IT	HIGH	Not in Compliance	■
AC-2(6)	Account Management	D..	Implement [Assignment: ..	AC-16.	IT	HIGH	In Compliance	■
AC-2(7)	Account Management	Pr..	(a) Establish and administ..	None.	IT	HIGH	In Compliance	■
AC-2(8)	Account Management	D..	Create, activate, manage,..	AC-16.	IT	HIGH	In Compliance	■
AC-2(9)	Account Management	Re..	Only permit the use of sha..	None.	IT	HIGH	In Compliance	■
AC-2(10)	Account Management	Sh..	[Withdrawn: Incorporate..	Null	IT	MODERATE	In Compliance	■
AC-2(11)	Account Management	Us..	Enforce [Assignment: org..	None.	IT	HIGH	In Compliance	■
AC-2(12)	Account Management	Ac..	(a) Monitor system accou..	AU-6, AU-7, CA-7, IR-8, SI-4.	IT	HIGH	In Compliance	■

Risk
■ HIGH
■ LOW
■ MODERATE