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#### General IT Controls

### Q3 2017 – Highly Privileged Accounts Review (SOx Assets)

##### Test Plan & Results

**SOx**

**Category: Application**

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| --- | --- | --- | --- |
|  | **Name** | **Email** | **Date Reviewed** |
| Test Plan Prepared by | **Sripriya M Kizhakkepate** | Sripriya.Kizhakkepate@ge.com | 10/24/2017 |
| QA Reviewed by | **Balaraman, Bhuvaneswari** | Bhuvaneswari.Balaraman@ge.com | 10/24/2017 |

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| Applications  Covered | Refer below is the list of all SOx applications.   |  |  |  |  | | --- | --- | --- | --- | | **Asset Id** | **ServiceNow CI** | **Asset Owner** | **Asset Owner SSO** | | 1000373626 | CLEARVIEW (aka onpoint) | Webber,Donald | 212476744 | | 1000428493 | cms | Fowler,Geralyn | 212395920 | | 1000376893 | det-fm | Jagdale,Sunil | 212415831 | | 1000371842 | ebs2 | Bhatnagar,Rahul | 212547069 | | 1002699082 | hyperion-av-hfm | Moody,Ryan | 212553075 | | 1328820 | icama | Hullehalli Shetty,Anitha | 212590215 | | 1000375667 | informatica-av1 | Scott,Gregory | 208011844 | | 1000376730 | move | Bru,Jose | 204064419 | | 1210356 | sap-as-wales | Govindarajan,Santhosh | 108013633 | | 1002000043 | smartprice-csa | Jagdale,Sunil | 108013633 | | 1000377237 | webmethods-av | Hilton,Samuel | 212482357 | | 1000375324 | ebs2dbsrptg | Bhatnagar, Rahul | 212547069 |   Special Note:   * For the below application IM owner confirmed that there is no HPA user hence marked as Out of Scope from Q3 HPA reviews. * ebs2dbsrptg |
| Control Number | DS5.4.16 |
| Control  Objective | A documented process exists and is enforced for periodically reviewing all personal and non-personal highly privileged accounts. |
| Key  Control(s)  Tested | All active highly privileged application accounts are reviewed periodically to ensure access appropriateness. |
| Control  Frequency | Quarterly |
| Sample  Size | Full Population |
| Sample Size  Rationale | GE Corporate |
| Test(s)  Description | The audit process is as detailed below:   * Application team to extract all highly privilege role based active user list along with screen shot evidences from the application with appropriate authorized owner information. * PMO to upload all HPA accounts in OIA and initiate Data Owner review (authorized owner review) * PMO to download report from OIA and roll-out report to Application Owners highlighting discrepancies * Application Owner removes/alters HP access of any defect/discrepancy identified during review and submits complete role based active users list along with screen shot evidences from the application. * PMO to document/report test plan. |
| Expected Result | All the highly privileged accounts have appropriate level of access. |
| Actual Result | **Highly Privileged accounts : 1004**  There are total 1004 highly privileged users for below mentioned applications. Refer to below snap shot for details on application user count and responses obtained through OIA tool (Oracle Identity Analytics).   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Asset name** | **CERTIFIED(A)** | **INACTIVE(B)** | **NO\_ACTION\_TAKEN(C )** | **REVOKED(D)** | **Grand Total** | | CLEARVIEW (aka onpoint) | 682 | 16 | 44 | 41 | 783 | | CMS | 2 | 1 |  |  | 3 | | DET-FM | 11 |  |  |  | 11 | | EBS2 | 8 |  |  |  | 8 | | hyperion-av-hfm | 28 | 1 |  |  | 29 | | ICAMA | 33 |  |  | 3 | 36 | | informatica-av1 | 7 |  |  |  | 7 | | move | 5 |  |  | 2 | 7 | | SAP-AS-WALES | 89 | 5 |  | 7 | 101 | | smartprice-csa | 6 |  |  | 5 | 11 | | webmethods-av | 7 | 1 |  |  | 8 | | **Grand Total** | **878** | **24** | **44** | **58** | **1004** |  |  |  |  | | --- | --- | --- | | **HP review Result Summary** | **HPA Review Summary** | **Count** | | Certified (Col A from above) | 878 | | Revoked (Col D from above) | 58 | | Inactive (Col B from above) | 24 | | NO\_ACTION\_TAKEN(Col C from above ) | 44 | | **Total** | **1004** | | **Discrepancies & Final Summary** | Total Discrepancies identified (B+C+D) | 126 | | Access Removed | 125 | | Access Retained (email approval obtained for access retention) | 01 | | **Total Defects** | **125** |   **Out of the 1004 highly privileged accounts, 125 were identified as defects and access removed as part of this exercise.** |
| #Removed / Modified | 125 |
| Test Date | 10/24/2017 |
| Tester Name | Sripriya M Kizhakkepate |
| Conclusion | Complete |

Detailed Evidence and Documentation

Testing documentation must include all evidence used to perform testing and reach conclusions. Please list all evidence and documentation used below and attach related items to the related folder.

|  |  |  |
| --- | --- | --- |
| Reference Name | Description of Evidence | Date Obtained |
|  | Initial Active users list  Attach active user list obtained from the production instance/s of the application. Highlight ALL highly privileged accounts in the active user list extract. | 08/30/2017 |
|  | Q3 HPA Review Report  **Q3 HPA Review Report- SOx:** This sheet has list of all HPA users and authorized owner responses (column K). Refer to final action taken by asset owner (column O)  **Summary:** This sheet has the summary of review results  **OIA Report:** This sheet is the extract of data certified through OIA.  **Bulk Data**: This sheet has the result from Bulk. | 09/25/2017 |
|  | Defects Report  Attached sheet has the list of defects that are identified and removed as part of this Q3 HPA reviews. | 10/20/2017 |
|  | Attached is the approval email from authorized owner for user whose access is retained | 10/20/2017 |
|  | Final Active user list  Attach complete active user list obtained from the production instance/s of the application.  NOTE: Final active users list is obtained only for application which has defects removed as part of this review. | 10/20/2017 |