



IT SOX Update

September 9, 2019

Walkthrough Status

Business Unit	Not Started	Meeting Scheduled	Meeting Held	Submission to Management	Management Sign Off	Grand Total	% Signed Off
Corporate				5	37	42	88%
EMEA					16	16	100%
GI Domestic			2	2	35	39	90%
IAM					14	14	100%
Infrastructure Services			2		18	20	90%
Investments				10	18	28	64%
Japan			15			15	0%
Life & Retirement				1	157	158	99%
SAP					30	30	100%
Grand Total	0	0	19	18	325	362	
% Total	0%	0%	5%	5%	90%		

Changes in % signed-off since last report:

- Corporate +8%
- GI Domestic +13%
- Infrastructure Services + 10 %
- Investments +14%

Test of Design – Sign-Off

Business Unit	Pending	Prepared	Signed Off	Grand Total	% Signed Off
Corporate	8		35	43	81%
EMEA			13	13	100%
GI Domestic	11		20	31	65%
IAM	6		7	13	54%
Infrastructure Services	6	1	15	22	68%
Investments	7		12	19	63%
Japan	10	16	5	31	16%
Life & Retirement			55	55	100%
SAP			13	13	100%
Grand Total	48	17	175	240	
% Total	20%	7%	73%		

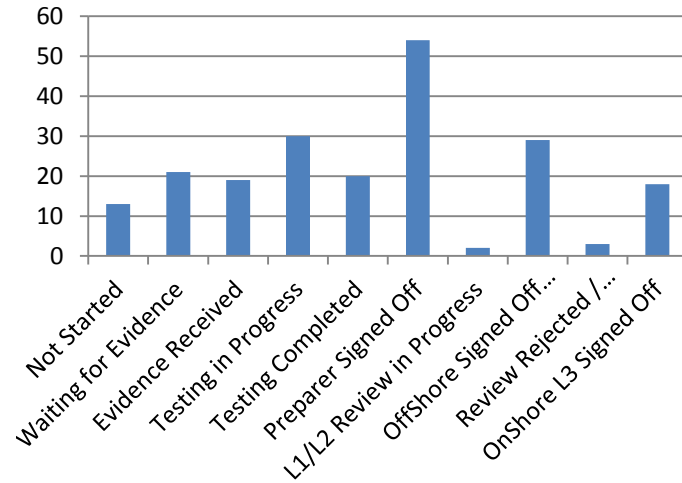
Changes in % signed-off since last report:

- Corporate +9%
- IAM +16%
- Infrastructure Services -3 %
- Investments +10%
- Life & Retirement +2%
- Japan +3%

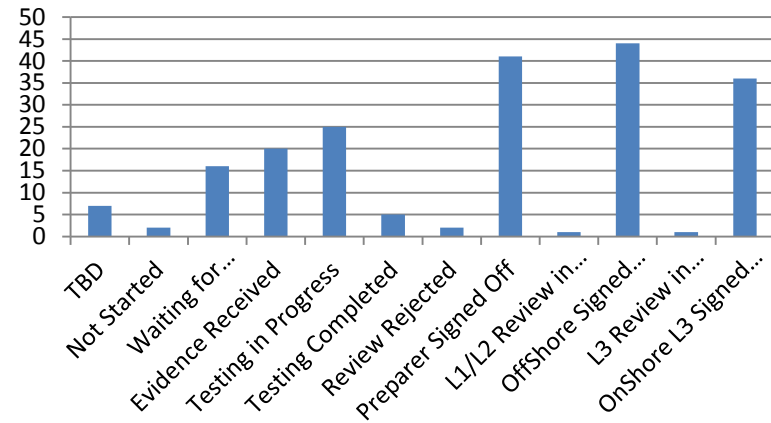
Test of Effectiveness – ITGC PwC Reliance Controls

Key Focus Areas – ITGC Testing – PwC Reliance (Excluding Japan)

Last Report – Mid Week



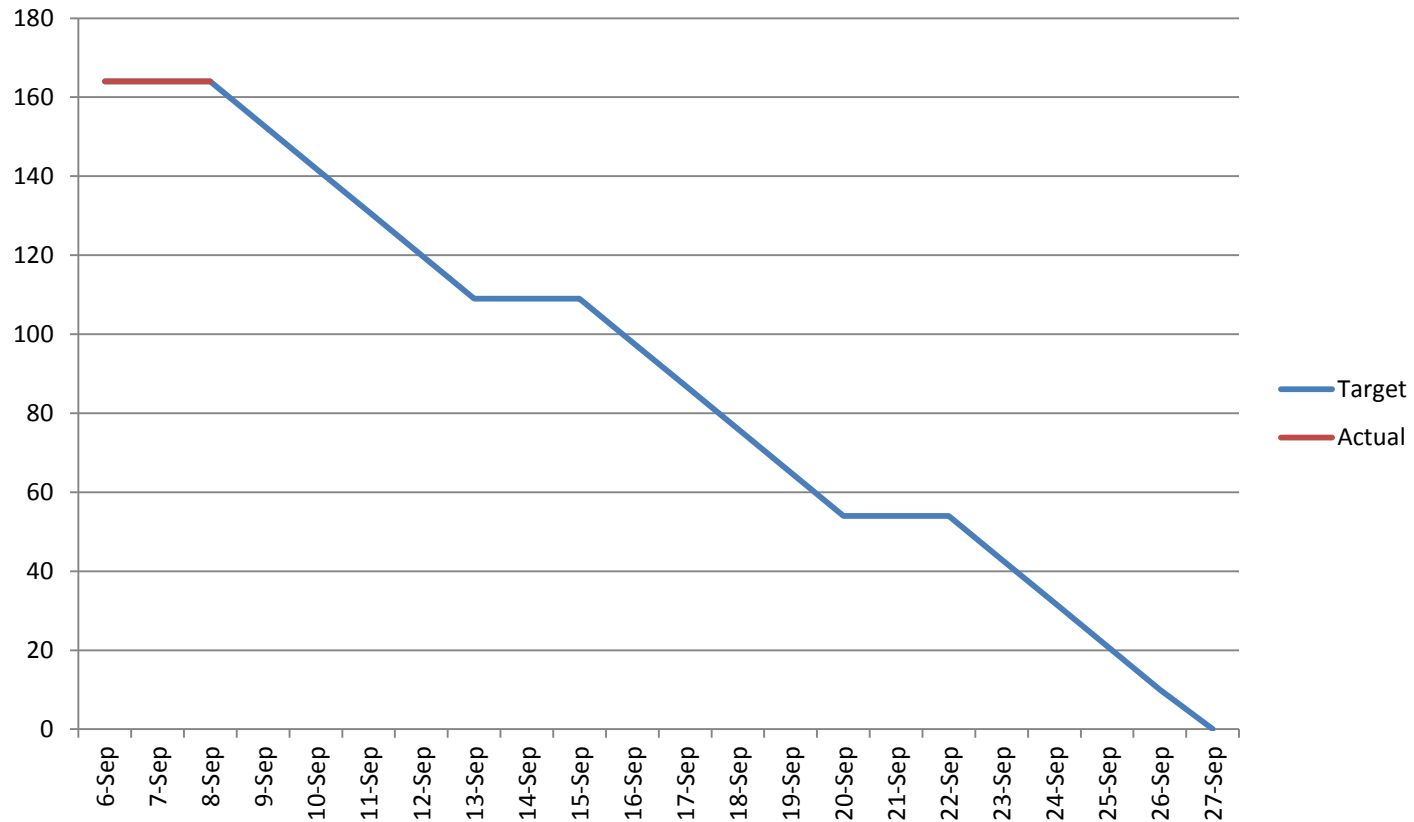
This Report – End of Week



Business Unit	TBD	Not Started	Waiting for Evidence	Evidence Received	Testing in Progress	Testing Completed	Review Rejected	Preparer Signed Off	L1/L2 Review in Progress	OffShore Signed Off (L1/L2)	L3 Review in Progress	OnShore L3 Signed Off	Grand Total
Corporate			2	2	2			5		4		6	21
EMEA					2	1		6	1	3			13
GI Domestic					1	1		3		6		5	16
Infrastructure Services		1	1		1							1	4
Investments			1				2			4	1	4	12
Life & Retirement	7		8	11	16			25		2		19	88
SAP		1	4	7	3	3		2		25		1	46
Grand Total	7	2	16	20	25	5	2	41	1	44	1	36	200
% Total	4%	1%	8%	10%	13%	3%	1%	21%	1%	22%	1%	18%	

Test of Effectiveness – ITGC PwC Reliance Controls

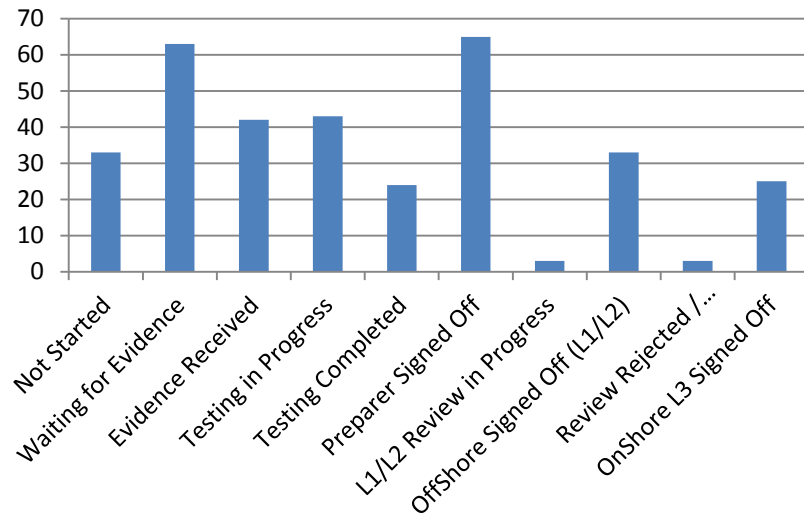
Burndown Chart – Need to Complete 11 Tests Per Day for Next 3 Weeks



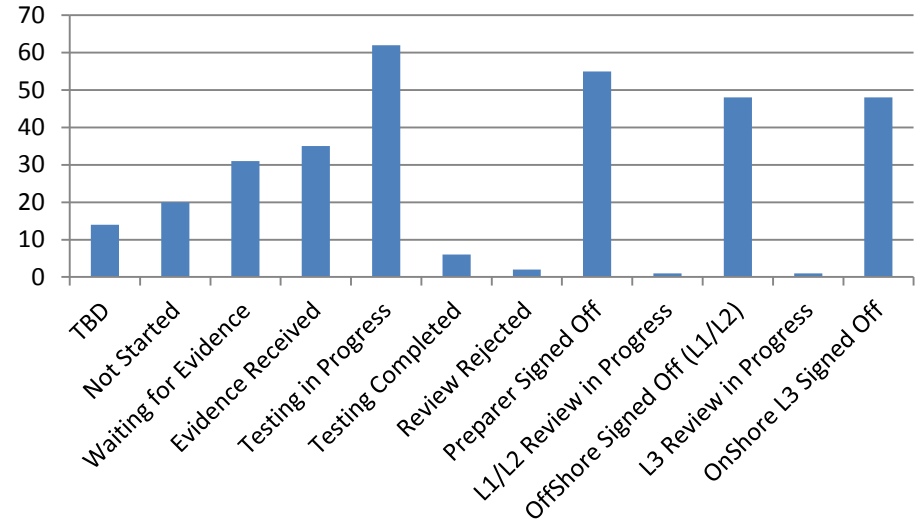
Test of Effectiveness – All ITGC Controls

Key Focus Areas – ITGC Testing – All ITGC Tests (Excluding Japan)

Last Report – Mid Week



This Report – End of Week



Business Unit	TBD	Not Started	Waiting for Evidence	Evidence Received	Testing in Progress	Testing Completed	Review Rejected	Preparer Signed Off	L1/L2 Review in Progress	OffShore Signed Off (L1/L2)	L3 Review in Progress	OnShore L3 Signed Off	Grand Total
Corporate			4	3	4	1		13		4		8	37
EMEA					2	1		6	1	3			13
GI Domestic		1	3	2	7	1		3		8		8	33
IAM		4	1	1	1			3					10
Infrastructure Services		13	6	3	4							2	28
Investments	2	1	4	5			2	1		4	1	6	26
Life & Retirement	12		9	14	41			27		2		23	128
SAP		1	4	7	3	3		2		27		1	48
Grand Total	14	20	31	35	62	6	2	55	1	48	1	48	323

TOD / TOE – Ineffective Controls

Test of Design - Ineffective							
Control	Business Unit	Process L2 Name	Process L3 Name	Control Name	PWC Reliance	Test of Design	Issue ID
CA-1402965	Corporate	Logical Security	User Access Provisioning	Approve and provision computing resource access via ServiceNow configured workflow	No	Ineffective	N/A - marked ineffective in error. Janet is following up to correct
CA-1403150	EMEA	Logical Security	Access Recertification	Manually recertify computing resource access	Yes	Ineffective	4000017
CA-1403281	EMEA	Logical Security	Privileged Access	Monitor privileged access activity (Other)	Yes	Ineffective	2611004
CA-2537890	EMEA	Logical Security	User Access De-Provisioning	De-provision application access via SailPoint-ServiceNow configured workflow	Yes	Ineffective	1702786
CA-2516203	Investments	Logical Security	Privileged Access Logging And Monitoring	Monitor privileged access activity (Keepass)	No	Ineffective	3161316
CA-1402537	Life & Retirement	Logical Security	Segregation Of Duties	Segregation of duties between developers and implementers	Yes	Ineffective	
CA-1402786	Life & Retirement	Logical Security	Access Recertification	Manually recertify computing resource access	No	Ineffective	
CA-2560672	SAP	Logical Security	Privileged Access Logging And Monitoring	Monitor HANA database privileged access activity	Yes	Ineffective	
Phase 1 Test of Operating Effectiveness - Ineffective							
Control	Business Unit	Process L2 Name	Process L3 Name	Control Name	PWC Reliance	Test Plan	Phase 1 TOE
CA-1402831	GI Domestic	Logical Security	Segregation Of Duties	Segregation of duties between developers and implementers (Aldon production releases)	Yes	TP-1412248	Ineffective
CA-1613917	GI Domestic	Logical Security	User Access Provisioning	Approve and provision computing resource access via internal request system or email	Yes	TP-1606077	Ineffective
CA-1402991	Infrastructure Services	Logical Security	Server Configuration Monitoring	Windows & UNIX Password Settings	No	TP-1412924	Ineffective
CA-1403840	Japan	Logical Security	Privileged Access Logging And Monitoring	Monitor privileged access activity (Other)	Yes	TP-1412474	Ineffective
CA-1403912	Japan	Logical Security	User Access Provisioning	Approve and provision computing resource access via internal request system or email	Yes	TP-1412475	Ineffective
CA-1403912	Japan	Logical Security	User Access Provisioning	Approve and provision computing resource access via internal request system or email	Yes	TP-1412476	Ineffective
CA-1403912	Japan	Logical Security	User Access Provisioning	Approve and provision computing resource access via internal request system or email	Yes	TP-1412477	Ineffective
CA-1403912	Japan	Logical Security	User Access Provisioning	Approve and provision computing resource access via internal request system or email	Yes	TP-1412478	Ineffective
CA-1403912	Japan	Logical Security	User Access Provisioning	Approve and provision computing resource access via internal request system or email	Yes	TP-2618359	Ineffective
CA-1403914	Japan	Logical Security	Server Configuration Monitoring	Non-SSO password parameters comply with requirements	Yes	TP-3341635	Ineffective