

# Controls Framework

Ljupce Nikolov  
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 RiskTech  
100 2019 Gartner 2015  
Cool Vendor



## Summary

- What is a control?
- Control Framework view
- Define new control
- Simple vs. Advanced controls
- Advanced controls in Python
- Testing controls
- Controls administration



## What is a control?

- A control is aiming at modeling a specific situation in regards to
  - Specific rules in PBI controls
  - Important event characteristics in case of Profiling
- First focus on PBI (Pattern Based Intelligence)
- Profiling part of another presentation



## Notions of Risk Model

- Extension of a control
- Aim at modeling Risks and not specific situations
- One risk model covers several use cases
  - Based on customer/employee behavior



## Control Framework

- Objectives of control framework are:
  - Group different information in a single document
  - Scheduling of controls for periodic delivery and alerting purpose
  - Controls are grouped into Solutions



# Solutions



## Digital Banking Fraud

✓ Solution installed

CONTROLS 

Et04 - Ebanking Transactions

Total entries: 1



## Enterprise Fraud

✓ Solution installed

CONTROLS 

Nc03 - New Customer

Pr02 - Unusual Locations

Rd02 - Risky Destinations

Spt06 - Small Profiles Transaction

Ua05 - Unusual Amounts

Ut01 - SPC101 - Unusual Transactions

Ut01 - SPC103 - Unusual Transactions

Ut01 - SPC202 - COV - Unusual Transactions

Ut01 - SPS103 - Unusual Transactions

Total entries: 18



## Internal Fraud

✓ Solution installed

CONTROLS 

Am01 - SMS Profile Creations-Modification...

Am01 - Windows Group Changes - mswi

Am02 - Statistics on User Rights Creations...

Am02 - Windows Group Modifications - mswi

Am03 - Details on User Rights Creations a...

Am03 - Details on Windows Computer Acc...

Am04 - Details on Windows User Rights Cr...

Am04 - Reversals on User Access Rights - ...

Am05 - Details on Windows User Right Del...

Total entries: 87





## Type of controls

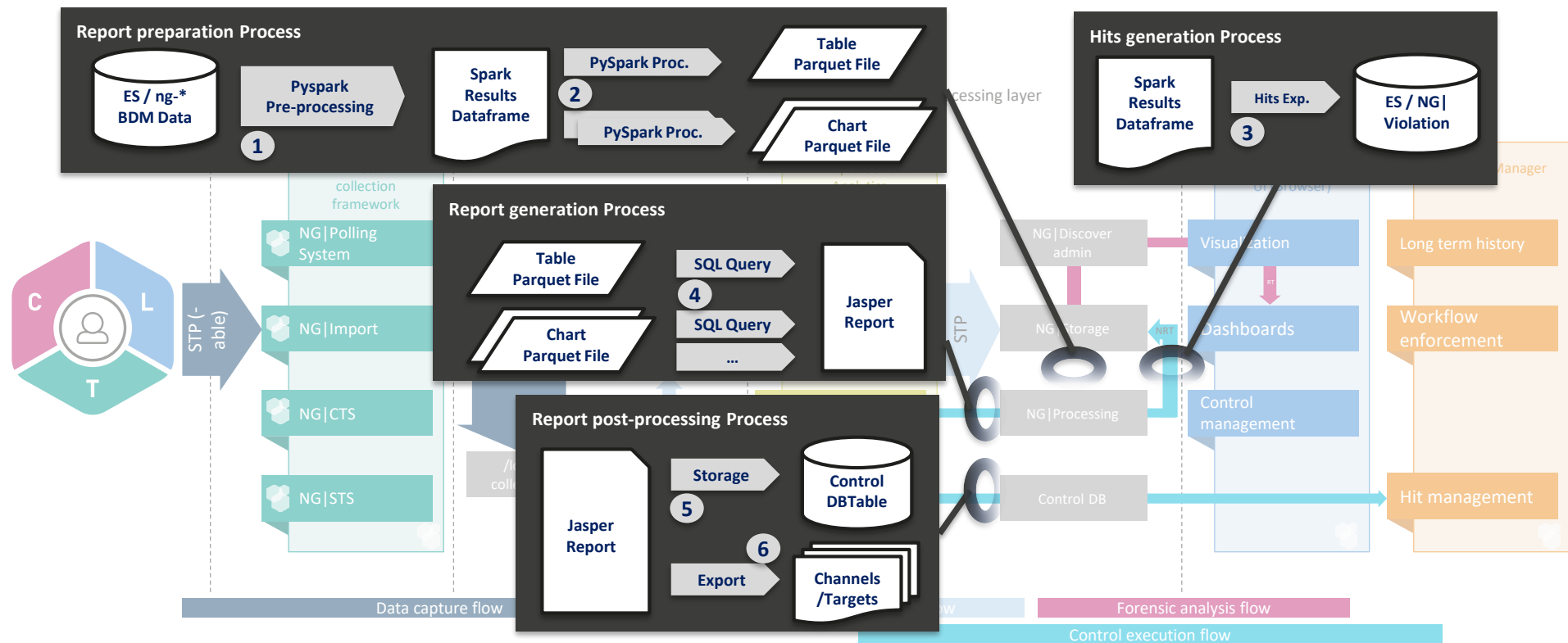
- Type of controls
  - Scheduled
    - Executed periodically
    - Result exported to predefined channels
  - On-demand
    - Execute control once from UI
    - Possible to export results of execution

# What is technically a control?

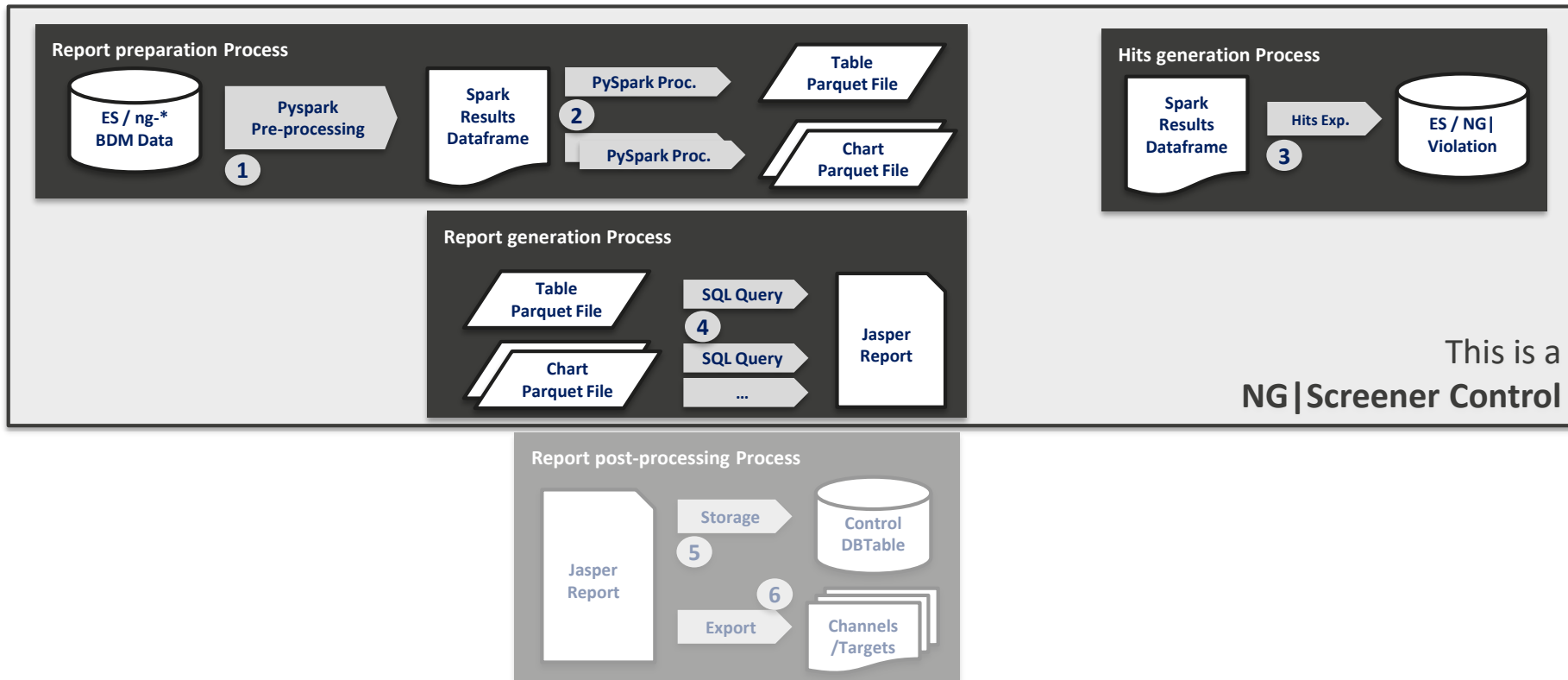




# NG|Screener Control



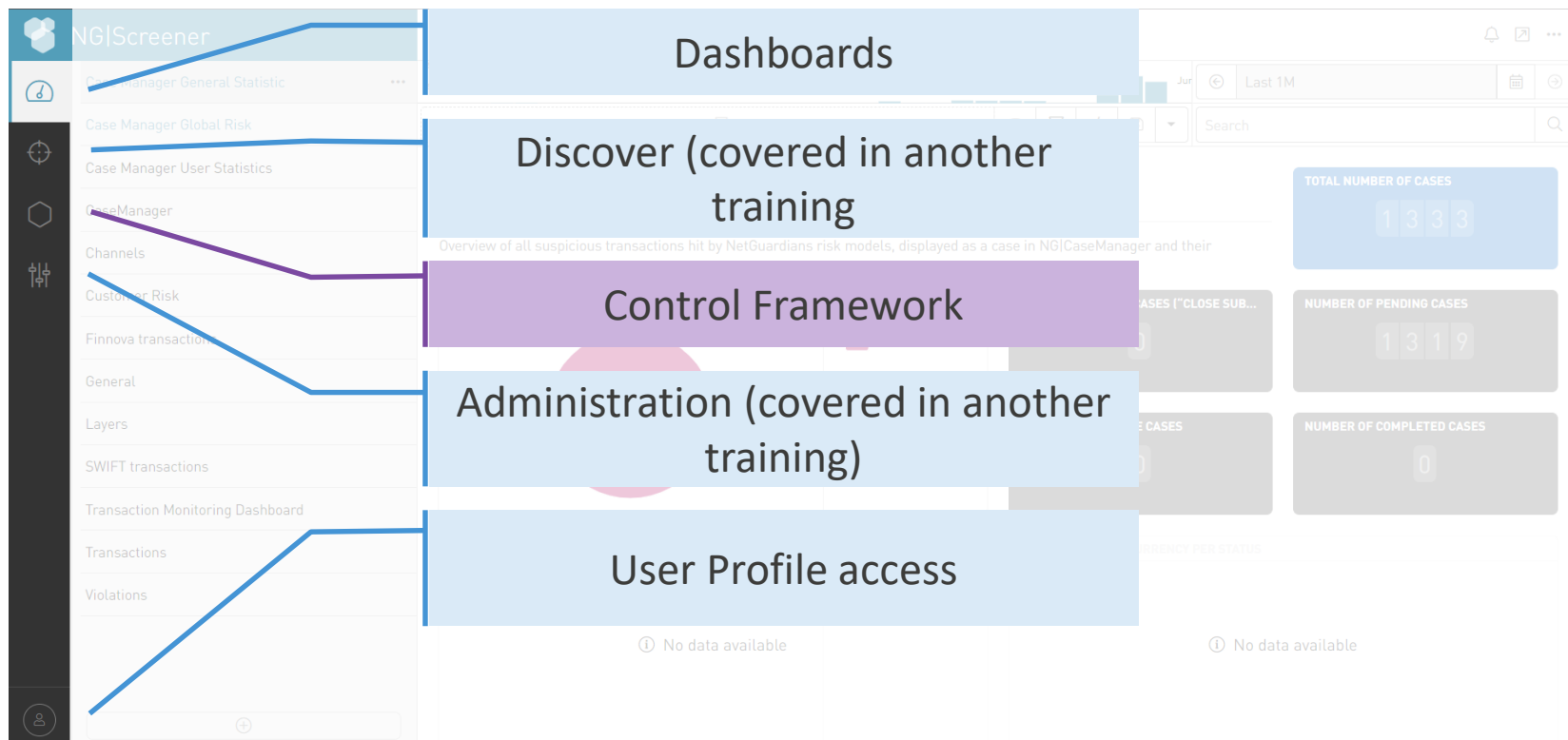
# NG|Screeener Control




# Control Framework view





# Access Controls Framework





# Control Framework view

 NGIScreener

 My controls





 Execution history



















 Solutions installed





My controls

CONTROLS



Favourite	Scheduled	Solution	Labels	Name	Tf	Type	Visibility	Owner
>				Am01 - SMS Profile Creations-Modifications - tet2		PBI		admin
>				Am01 - Windows Group Changes - mswi		PBI		admin
>				Am02 - Statistics on User Rights Creations and Changes - tet2		PBI		admin
>				Am02 - Windows Group Modifications - mswi		PBI		admin
>				Am03 - Details on User Rights Creations and Changes - tet2		PBI		admin
>				Am03 - Details on Windows Computer Account Changes - mswi		PBI		admin
>				Am04 - Details on Windows User Rights Creations - mswi		PBI		admin
>				Am04 - Reversals on User Access Rights - tet2		PBI		admin
>				Am05 - Details on Windows User		PBI		admin

Total entries: 106

 1 2 3 4 5 6 

# Control Framework view

The screenshot displays the NGIScreener interface. On the left is a sidebar with navigation options: 'My controls' (selected), 'Execution history', and 'Solutions installed'. The main area shows a table of controls. Annotations with blue lines point to specific elements:

- List of controls that are visible to my user:** Points to the 'My controls' header in the sidebar.
- Latest control executed:** Points to the first row in the 'CONTROLS' table.
- Installed Solution (Previous slide):** Points to the 'Solution' column of the first row.

The 'CONTROLS' table has the following columns: Labels, Name, Tr, Type, Visibility, and Owner. The first row is highlighted and contains the following data:

Labels	Name	Tr	Type	Visibility	Owner
>	- mswi				

Below the first row, there are several more rows, each starting with a chevron icon. The last row in the visible list is:

>	Am05 - Details on Windows User	PBI			admin
---	--------------------------------	-----	--	--	-------

At the bottom of the table, it says 'Total entries: 106'. There is a pagination bar at the bottom right with numbers 1 through 6, where 1 is highlighted.



# My Controls

CONTROLS											
Favourite	Scheduled	Solution	Labels	Name	TF	Type	Visibility	Owner			
>				Am01 - Windows Group Changes - mswi		PBI		admin			
>				Am02 - Statistics on User Rights Creations and Changes - tet2		PBI		admin			
>				Am02 - Windows Group Modifications - mswi		PBI		admin			
>				Am03 - Details on User Rights Creations and Changes - tet2		PBI		admin			
>				Am03 - Details on Windows Computer Account Changes - mswi		PBI		admin			
>				Am04 - Details on Windows User Rights Creations - mswi		PBI		admin			
>				Am04 - Reversals on User Access Rights - tet2		PBI		admin			
>				Am05 - Details on Windows User Right Deletions - mswi		PBI		admin			
>				Am05 - Reversals on Group Access Rights - tet2		PBI		admin			
>				Am06 - Details on Windows User Account Disables - mswi		PBI		admin			
>				Am07 - Details on Windows User Account Enablements - mswi		PBI		admin			
>				Cm01 - Country Statistical Report		PBI		admin			
>				Cm02 - Issue Statistical Report		PBI		admin			
>				Cm03 - Permission Matrix		PBI		admin			
>				Cm04 - User Statistical Report		PBI		admin			
>				Cm05 - Users per Projects		PBI		admin			
>				Et04 - Ebanking Transactions		Profiling		admin			
Total entries: 105										1 2 3 4 5 6	



# My Controls

CONTROLS

Favourite	Scheduled	Solution	Labels	Name	Type	Visibility	Owner
>				Am01 - Windows Group Changes - mswi	PBI		admin
>				Rights Creations and Changes - tet2	PBI		admin
>				odifications - mswi	PBI		admin
>				ghts Creations and Changes - tet2	PBI		admin
>				s Computer Account Changes - mswi	PBI		admin
>				ns - mswi	PBI		admin
>					PBI		admin
>				s - mswi	PBI		admin
>					PBI		admin
>				Am06 - Details	PBI		admin
>				Am07 - Details	PBI		admin
>				Cm01 - Countr	PBI		admin
>				Cm02 - Issue S	PBI		admin
>				Cm03 - Permission Matrix	PBI		admin
>				Cm04 - User Statistical Report			in
>				Cm05 - Users per Projects			in
>				Et04 - Ebanking Transactions			in

Total entries: 105

« 1 2 3 4 5 6 »

Filter view

Edit Selected control

Execute selected control

More Options





# My Controls

CONTROLS											
Favourite	Scheduled	Solution	Labels	Name	TF	Type	Visibility	Owner			
>				Am01 - Windows Group Changes - mswi		PBI		admin			
>				Am02 - Statistics on User Rights Creations and Changes - tet2		PBI		admin			
>				Am02 - Windows Group Modifications - mswi		PBI		admin			
>				Am03 - Details on User Rights Creations and Changes - tet2		PBI		admin			
>				Am03 - Details on Windows Computer Account Changes - mswi		PBI		admin			
>				Am04 - Details on Windows User Rights Creations - mswi		PBI		admin			
>				Am04 - Reversals on User Access Rights - tet2		PBI		admin			
>				Am05 - Details on Windows User Right Deletions - mswi		PBI		admin			
>				Am05 - Reversals on Group Access Rights - tet2		PBI		admin			
>				Am06 - Details on Windows User Account Disables - mswi		PBI		admin			
>				Am07 - Details on Windows User Account Enablements - mswi		PBI		admin			
>				Cm01 - Country Statistical Report		PBI		admin			
>				Cm02 - Issue Statistical Report		PBI		admin			
>				Cm03 - Permission Matrix		PBI		admin			
>				Cm04 - User Statistical Report		PBI		admin			
>				Cm05 - Users per Projects		PBI		admin			
>				Et04 - Ebanking Transactions		PBI		admin			
Total entries: 105											

More Options

- New control
- Duplicate control
- Delete control
- Toggle favourite
- Edit labels
- Show description

# Define new Control





# Define new control

CONTROLS									
Favourite	Scheduled	Solution	Labels	Name	TF	Type	Visibility	Owner	
>				Am01 - Windows Group Changes - mswi		PBI		admin	
>				Am02 - Statistics on User Rights Creations and Changes - tet2		PBI		admin	
>				Am02 - Windows Group Modifications - mswi		PBI		admin	
>				Am03 - Details on User Rights Creations and Changes - tet2		PBI			
>				Am03 - Details on Windows Computer Account Changes - mswi		PBI			
>				Am04 - Details on Windows User Rights Creations - mswi		PBI			
>				Am04 - Reversals on User Access Rights - tet2		PBI			
>				An		PBI			
>				An		PBI			
>				An		PBI			
>				An		PBI			
>				Cr		PBI			
>				Cr		PBI			
>				Cm03 - Permission Matrix		PBI			
>				Cm04 - User Statistical Report		PBI			
>				Cm05 - Users per Projects		PBI		admin	
>				Et04 - Ebanking Transactions		Profiling		admin	
Total entries: 105									

Create new control  
from scratch (or  
option to duplicate  
from existing)

New control

Duplicate control

Delete control

Toggle favourite

Edit labels

Show description



# Modify control

Control edition ×

General

Report

Dashboard

Scheduling

Description

**Name** (required)

Am01 - SMS Profile Creations-Modifications - tet2

**Owner** (required)

[USER] admin

**Solution** (required)

Internal Fraud

**Services** (required)

temenosT24Protocol@\*

**Type**

☐ Profiling ☒ PBI

☐ Public

☐ Violation

**Labels**

**DYNAMIC PARAMETERS**

Save

Cancel



# Modify control

Control edition ×

General Report Dashboard Scheduling Description

Name (required)  
Am01 - SMS Profile Creations-Modifications - tet2

Owner (required)  
[USER] admin

Type  
☒ Profiling ☒ PBI

☐ Public ☐ Version

Solution (required)  
Internal Fraud

Services (required)  
Personalized Content

**Tabs for different part of configuration of control**

**DYNAMIC PARAMETERS**

Label	Type	Default value
Total entries: 0		

Save Cancel



# Modify control - General

Control edition ✕

General Report Dashboard Scheduling Description

**Name** (required)  
Am01 - SMS Profile Creations-Modifications - tet2

**Owner** (required)  
[USER] admin

☐ Public

**Type**  
☐ Profiling ☒ PBI

☐ Violation

**Solution** (required)  
Internal Fraud

**Labels**

## General Information about the control

- Name
- Type (PBI vs Profiling)
- Owner
- Generate Violation
- Solution
- Labels

Save Cancel



# Modify control - General

Control edition ✕

General

Report

Dashboard

Scheduling

Description

**Name** (required)

Am01 - SMS Profile Creations-Modifications - tet2

**Owner** (required)

[USER] admin

**Type**

☒ Profiling ☒ PBI

☐ Public

☐ Violation

**Solution** (required)

Internal Fraud

**Labels**

Select Data source(s) on which to apply control

**Services** (required)

temenosT24Protocol0\*

**DYNAMIC PARAMETERS**

Label	Type	Default value
Total entries: 0		

Save

Cancel



# Modify control - General

Control edition ✕

General

Report

Dashboard

Scheduling

Description

Name (required)

Am01 - SMS Profile Creations-Modifications - tet2

Owner (required)

[USER] admin

Public

Solution (required)

Internal Fraud

Type

☒ Profiling

☒ PBI

☐ Violation

Labels

+

✕

Services (required)

Internal Fraud

+

✕

Parameters to be provided at execution time

DYNAMIC PARAMETERS

+

✕

🗑

Label	Type	Default value

Total entries: 0

Save

Cancel





# Dynamic Parameters

- Parameters to be provided at execution time
  - Ex: Listing of all transaction above a million CHF for a specific customer
- Defined in control filter with the following syntax
  - `${PARAMETER_NAME}`
- Example filter
  - `transaction_currency:${CURRENCY} AND transaction_amount:>10000000`
  - Where CURRENCY is the dynamic parameter

## Dynamic parameter edition



**Label** (required)

**Type** (required)



**Default value** (required)

Save

Cancel



# Modify control – Report (Simple)

Control edition ×

General

Report

Dashboard

Scheduling

Description

Selection

☐ Advanced

**Report type**

☒ Status ☐ Export

☒ Timeline

**Chart**

☐ None ☒ Bar chart ☐ Pie chart

☐ Table

Configuration

☐ Alert report

**Not available value**

N/A

**Filter**

business\_application:USER.SMS.GRO ✎

Am01 - SMS Profile Creations-Modifications - tet2

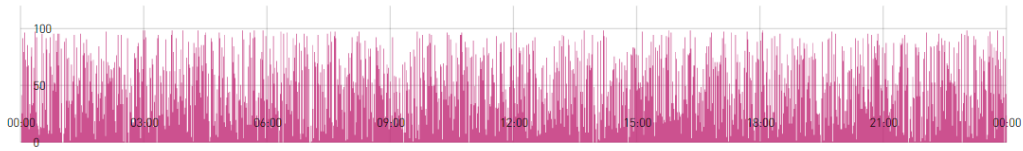
IT Risk Metrics – COBIT Access to Programs and Data / User Access Management

From Tue, 25 Jun 2019 00:00 to Wed, 26 Jun 2019 00:00

NetGuardians

This control lists all creations or modifications of SMS groups. This may identify unauthorised granting of access rights at the Group level.

Profile Creation/Modification Trend



NetGuardians

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# Modify control – Report (Simple)

Control edition

General Report Dashboard Scheduling Description

**Selection**

☐ Advanced

**Report type**

☒ Status ☐ Export

☒ Timeline

**Chart**

☐ None ☒ Bar chart ☐ Pie chart

☐ Table

**Configuration**

☐ Alert report

**Not available value**

N/A

**Filter**

business\_application:USER.SMS.GRO

**General configuration of the report**

- Simple or advanced
- Status (PDF) or Export (CSV)
- Chart elements to be included
- Alert Report (generate report if no data highlighted)
- Value to be provided if null
- Filter (rules) to be applied on the control (PBI)

NetGuardians

IT Risk Metrics – COBIT Access to Programs and Data / User Access Management

From Tue, 25 Jun 2019 00:00 to Wed, 26 Jun 2019 00:00

Profile Creation/Modification Trend

This control lists all creations or modifications of SMS groups. This may identify unauthorised granting of access rights at the Group level.



# Simple Control Filters

- Adapting filter
  - Make use of **Elastic Search's query string syntax:**
  - Examples:
    - Value contained → `status:active`
    - Wildcard → `status:act*`
    - OR → `title:(quick OR brown)`
    - Exact phrase → `author:"John Smith"`
    - Non null-value → `_exists_:title`
    - Ranges → `count:[1 TO 5]`
  - Documentation:  
<https://www.elastic.co/guide/en/elasticsearch/reference/current/query-dsl-query-string-query.html#query-string-syntax>
- Alert Report
  - Yes → Control output sent to target only if filter matches
  - No → Control output sent to target event if empty

## Configuration

☐ Alert report

Not available value

N/A

Filter

transaction\_currency:\${CURREN



# Modify control – Report (Simple)

## Presentation and component configuration

- Description and subtitle
- Chart component configuration

☐ Advanced

Report type

☒ Description

☐ Table

Chart

☐ None

☒ Bar chart

☐ Pie chart

☐ Table

Not available value

N/A

Filter

business\_application:USER.SMS.GRO

☐ Preview



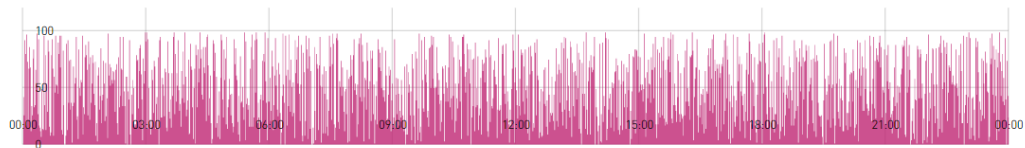
### Am01 - SMS Profile Creations-Modifications - tet2

IT Risk Metrics – COBIT Access to Programs and Data / User Access Management

From Tue, 25 Jun 2019 00:00 to Wed, 26 Jun 2019 00:00


This control lists all creations or modifications of SMS groups. This may identify unauthorised granting of access rights at the Group level.

Profile Creation/Modification Trend





# Modify Table format


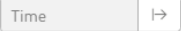
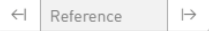
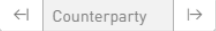
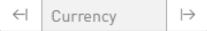

 **NetGuardians**

Tn01 - Transactions over 10 millions in Specified currency

Transaction Monitoring

From Tue, 6 Aug 2019 00:00 to Wed, 7 Aug 2019 00:00

All transactions done in CHF above 10 millions

Section				
	@timestamp	transaction_id	counterparty_customer_name	transaction_currency
	@timestamp	transaction_id	counterparty_customer_name	transaction_currency
		transaction_id	counterparty_customer_name	transaction_currency
	@timestamp	transaction_id	counterparty_customer_name	transaction_currency

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Edit Table structure

Change columns order



# Modify Control - Table Edition

- Modify Column name as well as field displayed
- Other parameters
  - Section field
  - Sorting options
  - Maximum number of rows
    - 0 for all rows
- Configuration specific when other kind of object (charts, timelines, etc...)

Table edition ×

General

Section field (required)	customer_name	Section order (required)	Ascending
Sorting field (required)	transaction_amount	Sorting order (required)	Descending
Max rows (required)	200		

Columns

Column title (required)	1	Time	Column field (required)	@timestamp
Column title (required)	2	Reference	Column field (required)	transaction_id
Column title (required)	3	Counterparty	Column field (required)	counterparty_customer_name
Column title (required)	4	Currency	Column field (required)	transaction_currency
Column title (required)	5	Amount	Column field (required)	transaction_amount

# Simple VS Advanced controls Basic concepts







## Fundamental definitions

A **simple control** is

- A control for which no python custom code has to be supplied
- A control for which configuration makes it all

An **advanced control** is

- A control for which python custom code has to be supplied
- A control for which plain configuration does not suffice

# Examples





## What can be done with simple controls?

### Filter input data?

- Yes, as long as the filter is a simple one, i.e. as long as the element to be filtered contains all the necessary information for the filtering

```
transaction_amount > 100'000
```

- Not possible any more if filter needs external data or data computed with more than just the element currently under scope

```
transaction_amount > 2 * average of  
transaction_amount over last month
```



## What can be done with simple controls?

Show derived attributes in report?

- Not though the control itself (only a «select» kind of query)
- **But** the derived attribute can be added to the incoming event in the normalization phase (scripted fields), so that the controls see it as any other plain attribute



## What can be done with simple controls?

Add fields to the report/violation?

- Yes, as long as the fields to add are already present in the data seen by the control (may be added during normalization phase, of course)
- The number of columns in the report/violation is only limited by the number of fields in the input data



## What can be done with simple controls?

Combine several data sources?

- Yes, if the datasources actually belong to the same logical service
- No if the services are different and have to be joined

**Example** in the case of protocol and transaction events joined together to associate more technical information to the financial transaction

**Note** that this can also be mitigated by using a *join script* (external processing) which result is merged as one service



## What can be done with simple controls?

Add a basic rule inside a profiling control?

- Depends on the rule and on what is expected of the solution as a whole...
- If rule is «don't score little amounts»
  - Can be achieved with a filter
  - **but** cannot be done in case transactions have to be explicitly **granted**/blocked (Swisscom example)
- If rule is «always raise a hit if amount is big enough»
  - No (separate PBI control, actually)
- If rule is «never raise a hit if the profile size is too low, resp. too high»
  - Yes, using the configuration of the «profile size limitation»



## What can be done with simple controls?

Define whitelisting/blacklisting in profiling controls?

- Yes, if the trigger is a given attribute having a given value
- Triggering attribute/value can be set on each profiling variable separately





## What can be done with simple controls?

### Define hybrid controls?

- Hybrid control? What's that?
  - Mix of profiling control with external influence
  - Example:
    - Once a day a plain PBI control (probably advanced) computes a kind of score for bank employees → pushed to ngv
    - Then a process regularly exports those violations to CSV ...
    - ... and this CSV is loaded into some reference data ...
    - ... which can then be used for transaction enrichment
    - The new «\*\_score» attribute can be integrated as any other (not really profile-related, i.e. *artificial*) variable in the profiling scoring mechanism



## What can be done with simple controls?

Define hybrid controls?

- Yes (at least for the profiling control part)
- Probably not for the artificial score computation part



## And when not?

- Simple controls can be transformed to **advanced** ones
- Functionally equivalent skeleton generated on transformation
- Skeleton can be modified manually afterwards

# Advanced controls

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## Advanced controls

- Overcome limitation of standard templates
  - Usage of multiple data sources
  - Dealing with specific algorithms
- First select fields needed for the control
  - Both for display and logic
- Then python code to define the business logic of the control
  - One common code
  - One code per each element in the report (Table, piechart, etc...)

Selected fields

customer_name	transaction_amount	@timestamp	transaction_id	counterparty_customer_name
transaction_currency				

Common code

```
df = None
for key, value in dfMap.items():
```

Tn02 - Transactions over 10 millions in Specified currency Advanced

Transaction Monitoring

From Wed, 7 Aug 2019 00:00 to Thu, 8 Aug 2019 00:00

All transactions done in CHF above 10 millions



# Advanced controls

## Selected fields

customer\_name transaction\_amount @timestamp transaction\_id counterparty\_customer\_name transaction\_currency

## Common code

```
df = None
for key, value in dfMap.iteritems():
```

Common code area  
(Always present)

Select fields for the  
control

Tn02 - Transactions over 10 millions in Specific

From Wed, 7 Aug 2019 00:00 to Thu, 8 Aug 2019 00:00

All transactions done in CHF above 10 millions

Specific code area (depending  
on elements in the report)



Time



Reference



Counterp



Currenc



```
columns = list()
columns.append('customer_name')
```

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## Advanced controls


- Selected fields
  - List of fields from the input data frame (business model) that will be presented in the data frames (matrices)
  - Search available through fields
  - Missing values in the source data will be transcribed into «*null*» values in the data frames

### Selected fields

customer_name	transaction_amount	@timestamp	transaction_id	counterparty_customer_name	▼
transaction_currency					



## Advanced controls

- Python text area
  - Pencil to edit python code 
  - Each area is a mapping for a given python function
  - Common code area & other graphical element
  - Parameter – provided cannot be modified
    - Prototype of the function provided
  - **Function's body** must be modified
    - Skeleton provided as sample





## Advanced controls

- **Common code function**
  - Always present regardless the chosen report type
- **Input** parameter: '**dfMap**'
  - Dictionary of data frames indexed by service name
    - Source data coming from the corresponding service
  - All data frames have the same structure
    - Using configured selected fields
- **Output**:
  - Dict of data frames or Single data frame (key structure is free)
  - Used as input parameter for the other custom functions



## Advanced controls

- Common code small example

def proceed\_common\_code(dfMap):



```
1 df = None
2 for key, value in dfMap.iteritems():
3     if df is None:
4         df = value
5     else:
6         df = df.union(value)
7
8 df = df.filter(col('transaction_currency') == '${CURRENCY}').filter(col('transaction_amount') > 10000000)
9
10 return df
```



## Advanced Template Configuration

- **Other functions**
  - Dependent of the chosen report type (*table, timeline, bar/pie chart*)
  - **Input** parameter: **'df'**
    - Whatever was returned by the common **code function**
  - **Table Output** :
    - One data frame with the table's content
    - First column is used for the section, others for the table itself

# Advanced Template Configuration

- Table Output example:

```
def proceed_table_code(df):
```

×

```
1 columns = list()
2 columns.append('customer_name')
3 columns.append('@timestamp')
4 columns.append('transaction_id')
5 columns.append('counterparty_customer_name')
6 columns.append('transaction_currency')
7 columns.append('transaction_amount')
```

```
9 df = df.select([col(xx) for xx in columns])
```

```
10 sortColumns = list()
```

```
11 sortC
```

Time

Reference

Counterparty

Currency

Amount

```
12 sortC
```

```
13 sortC
```

```
14 sortC
```

```
15 sortC 6928922
```

```
16 df =
```

```
17
```

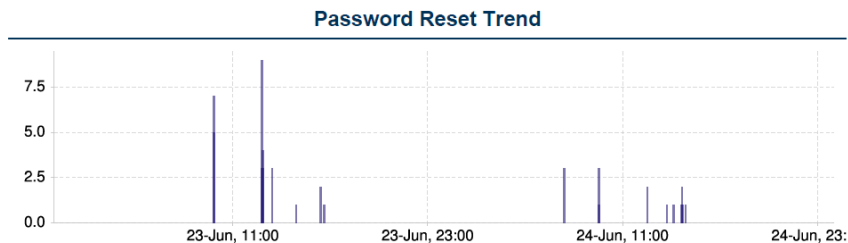
```
18 return
```

2019-07-01 09:37:53	643188857869586	(anonymized); rue Bugnon; 5324 Menthonnex am Rhein	CHF	36725296.00
2019-06-30 16:56:23	103038817597692	(anonymized); rue Bugnon; 5324 Menthonnex am Rhein	CHF	29245180.00
2019-06-30 10:21:53	815125430676658	(anonymized); rue Bugnon; 5324 Menthonnex am Rhein	CHF	24855396.00
2019-06-30 15:57:44	186126364406933	(anonymized); rue Bugnon; 5324 Menthonnex am Rhein	CHF	12513099.00
2019-06-30 17:37:13	221436978786552	(anonymized); rue Bugnon; 5324 Menthonnex am Rhein	CHF	10324022.00



# Advanced Template Configuration

- **Other functions**
  - **Timeline Output:**
    - One data frame with at least 2 columns
    - First column is used for the **time dimension**
    - Second for the **associated amplitude**



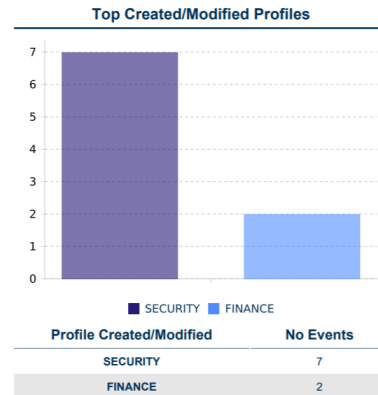
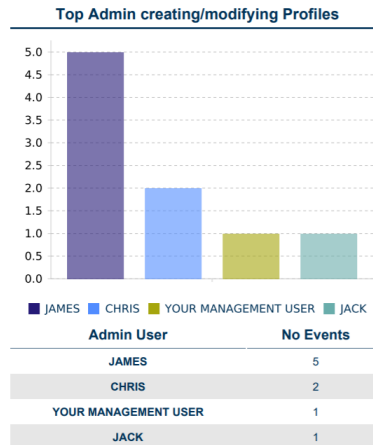


# Advanced Template Configuration

- **Other functions**

- **Bar & Pie chart Output**

- One data frame with at least 2 columns
    - First columns used for **categories**
    - Second : for the **associated size**



# Python code for Advanced Templates





## External code import (python)

- Load new python libraries for implementing other algorithms
- Import:
  - File extension supported: \*.py
  - Location: /etc/ng-screener/daemon/modules/controlScriptTemplates
  - Packaged with actual python control script
    - And available for import
- Default:
  - Provided file: spark\_template\_commons.py
  - Contains utilities methods used by control script embedding the custom functions





## Provided imports

- PySpark SQL API:

<http://spark.apache.org/docs/2.4.0/api/python/pyspark.sql.html>

- Import packages:

```
from pyspark.sql.functions import *  
from pyspark.sql.types import *
```

- Supplies fonctions :

Examples	
lit: 'literal'	Transform a constant into a constant column
col	Access to a column from its name
udf	Build a user-defined function from a python function



## Data frame manipulation

- Types:
  - Filtering
  - Selecting
  - Sorting
  - Aggregating / reducing
  - Joining
- Data frames are READ only & Lazy



# Data frame manipulation

- Filtering:
  - Row-wise selection according to predicate

```
df = df.filter(df.score > 0.7)
df = df.filter(col('business_reference').like('CUST%'))
df = df.filter('score > 0.7 and score < 0.8')
df = df.limit(100)
```

- Selecting:
  - Manipulations on columns
    - Choosing columns to keep
    - Adding new computed columns

```
cols = ('@timestamp', 'source_user', ...)
df = df.select(cols)
```

```
def myfn(col1, col2):
    return ...

myudf = udf(myfn, StringType())
df = df.withColumn('new_col',
    myudf(df['col_a'], df['col_b']))
```

```
df = df.withColumn('new_col', lit(42))
```

```
df = df.withColumn('new_col',
    col('col_a') + col('col_b') * 2)
```



## Data frame manipulation

- Sorting:
  - Changing the row's sorting order

```
df = df.orderBy(df['col_a'].desc())
```

```
sorting_columns = ('currency', '@timestamp')  
# 1 for ascending, 0 for descending order  
sorting_orders = (1, 0)  
df = df.orderBy(sorting_columns, sorting_orders)
```

- Aggregating / Reducing

```
key_cols = ('user_id', 'trans_type')  
per_user_and_trans_type = df.groupBy(key_cols).agg(  
    sum('amount').alias('sum_of_amounts'),  
    mean('amount').alias('avg_of_amounts')  
)
```



## Data frame manipulation

- Joining
  - Generates a data frame by merging two others
  - Rows from both frames being associated together using a join expression
  - Expression verbosity depends on
    - column names in both source data frames
    - Join expression itself

```
df3 = df1.join(df2, ['col_a', 'col_b'])
```

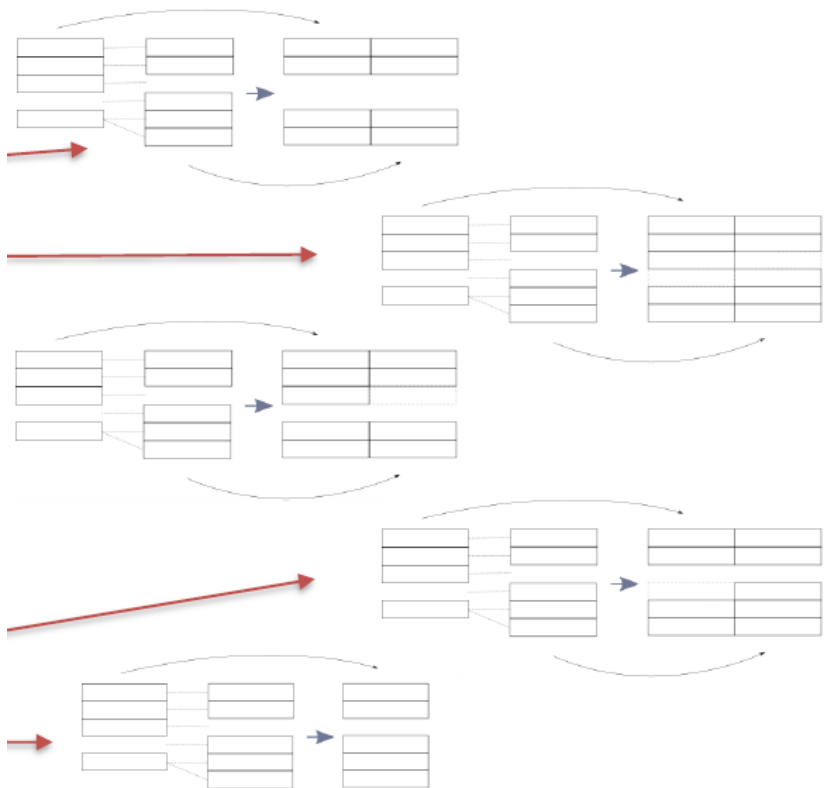
```
df3 = df1.join(df2,  
              (df1.col_a == df2.col_a) & (df1.col_b == df2.col_b),  
              'left_outer')
```

See next slide for details on this last parameter



# Data frame manipulation

- Joining strategies:
  - Inner
  - Outer
  - Left\_outer
  - Right\_outer
  - Leftsemi



# Controls testing



## Controls testing

If errors, Status will be RED

On erroneous occurrence, show contextual menu

Execution History

Status	User	Execution da...	Start time	Finish time	Period
ERROR	admin	2019-07-05	18:13:40	18:14:07	From 2019-01-05 18:13 to 2019-07-05 18:13
COMPLETED	admin	2019-07-05	16:56:28	16:57:48	From 2019-01-05 16:56 to 2019-07-05 16:56
COMPLETED	admin	2019-07-05	11:01:50	11:02:47	From 2019-01-05 11:01 to 2019-07-05 11:01

Total entries: 3

Cancel execution

Delete completed executions

Delete failed executions

Show errors

```
Building a jail environment in /tmp/tmp.S4Fhr6TGwD
Mounting /usr/bin read-only on /tmp/tmp.S4Fhr6TGwD/bin
Mounting /etc read-only on /tmp/tmp.S4Fhr6TGwD/etc
Mounting /usr/lib read-only on /tmp/tmp.S4Fhr6TGwD/lib
Mounting /usr/lib64 read-only on /tmp/tmp.S4Fhr6TGwD/lib64
Mounting /srv read-only on /tmp/tmp.S4Fhr6TGwD/srv
Mounting /usr read-only on /tmp/tmp.S4Fhr6TGwD/usr
Mounting /var read-only on /tmp/tmp.S4Fhr6TGwD/var
Remounting /tmp/tmp.S4Fhr6TGwD/var/lib/nfs/rpc_pipefs read-only
Remounting /tmp/tmp.S4Fhr6TGwD/var/log read-only
Switching /var/log mount to /tmp/tmp.S4Fhr6TGwD/var/log as read-only
Mounting /dev read-write on /tmp/tmp.S4Fhr6TGwD/dev
Mounting /sys read-write on /tmp/tmp.S4Fhr6TGwD/sys
Mounting /proc read-write on /tmp/tmp.S4Fhr6TGwD/proc
Mounting /var/log/ng-screener/ngprocessing/ngspark read-write on /tmp/tmp.S4Fhr6TGwD/var/log/ng-screener/ngprocessing/ngspark
Mounting /usr/local/ng-screener/ngprocessing/ngspark read-only on /tmp/tmp.S4Fhr6TGwD/tmp/spark
Mounting /data/spark read-write on /tmp/tmp.S4Fhr6TGwD/data/spark
Mounting /usr/local/ng-screener/ngprocessing/ngspark/history read-write on /tmp/tmp.S4Fhr6TGwD/usr/local/ng-screener/ngprocessing/ngspark
Mounting /data/control/20190705/2682 read-write on /tmp/tmp.S4Fhr6TGwD/data/control/20190705/2682
Running python script
WARNING: Logging before InitGoogleLogging() is written to STDERR
W0705 18:13:51.359792 201 sched.cpp:1714]
*****
Scheduler driver bound to loopback interface! Cannot communicate with remote master(s). You might want to set 'LIBPROCESS_IP' environment
*****
```





## Controls testing

- In advanced mode, `print python` statement can be used to build some unit tests
  - Do not forget to remove them afterward → decrease performances
- When control execution is finished, output of control execution (for example python stack trace) is available in `daemon-all.log`



# Control Testing

- When done writes a control execution summary in daemon-all.log:

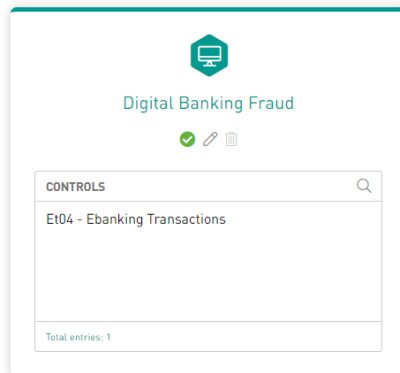
Finishing execution of control ID 530 with name [Am01 - Windows Group Changes - mswi] in solution [Internal Fraud] (context 5502)

- Control is a simple PBI control
- Control is not a violation control, as such no ngv hits were exported
- No target exporting has been configured for this execution
- Control execution period was configured as [last 6 month(s)], hence from 2019-02-13T10:22:36.035 to 2019-08-13T10:22:36.035
- Control sources were:
  - microsoftWindows2008SecurityAccountManagement@\*
  - microsoftWindows2003SecurityAccountManagement@\*
- The user who triggered the execution is [admin]
- The tenant was [DEFAULT]
- Spark script executed from /data/control/20190813/5502/scripts
- The control was configured to use dashboard ID [null]
- The control started execution at 2019-08-13T10:22:41.082 and completed at 2019-08-13T10:23:25.522 (total execution time was 44 seconds)
- Detailed execution statistics
  - Control preparation time was < 1 second
  - Control execution time was 30 seconds
  - Report generation time was 13 seconds

# Controls Administration



# Controls Administration – Create new solution



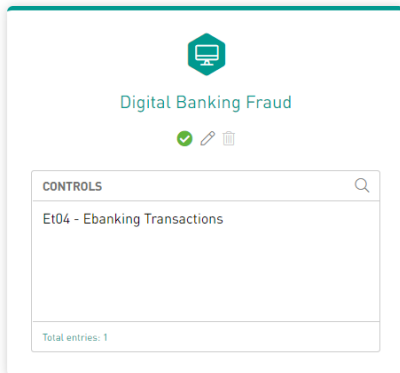
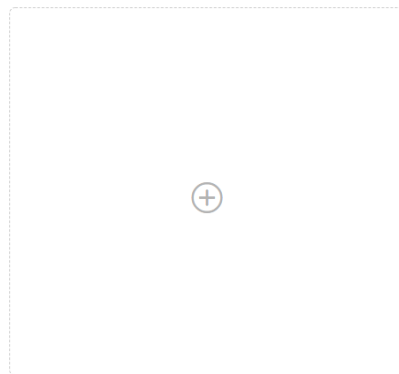
Digital Banking Fraud

✓ ✎ 🗑

CONTROLS

Et04 - Ebanking Transactions

Total entries: 1



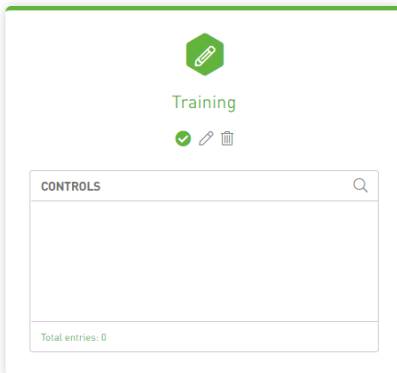
Digital Banking Fraud

✓ ✎ 🗑

CONTROLS

Et04 - Ebanking Transactions

Total entries: 1



Training

✓ ✎ 🗑

CONTROLS

Total entries: 0

Solution

**Name** (required)  
Training

**Icon** (required)  
fal fa-pencil-alt

**Color** (required)  
success

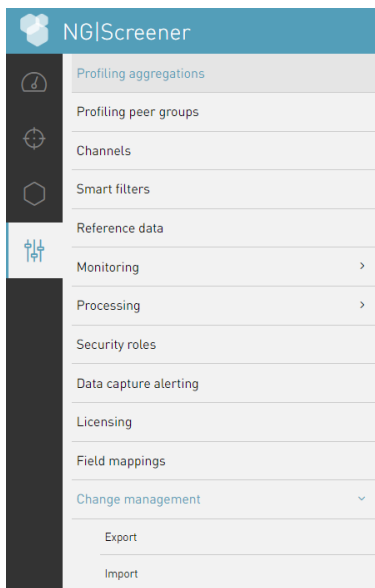
**Description**  
# 1 Training Solution

Save Cancel



# Controls Administration

- Import/Export Controls (Solutions) from UI



Import and export controls while keeping track of the changes

Export Controls

Import Controls



# Controls Administration

## Import Solution from UI

**IMPORTED PACKAGES**

Status	Timestamp	IP	Name	Content	User	Comment
FINISHED	2019-08-27 11:11		IB-Digital_Banking_Fraud-pngswisscomFinnovaCorebanking-1.3.13-v7.zip		admin	Test

Import package

☐ Upload package from your local machine

**Packages**

**AVAILABLE PACKAGES**

File	Timestamp	IP	Imported
Digital Banking Fraud	2019-08-28 00:00		No
Test.zip	2019-08-27 00:00		No

Total entries: 2

Comment (required)  
Import of controls

Import Cancel

## Export Solution from UI

**EXPORTED PACKAGES**

Status	Timestamp	IP	Name	Content	User	Comment
FINISHED	2019-08-27 11:19		Test.zip		admin	Test

Export package

**Name** (required)  
MyExport.zip

**Content** (Field is required)

**AVAILABLE CONTROLS**

> Et04 - Ebanking Transactions

**SELECTED CONTROLS**

Total entries: 1

Comment (required)  
Export Controls

☐ Download package to your local machine

Export Cancel



# Controls Administration

## Import Solution from UI

**IMPORTED PACKAGES**

Status	Timestamp	IP	Name	Content	User	Comment
FINISHED	2019-08-27 11:11		IB-Digital_Banking_Fraud-p-ngswisscomFinnovaCorebanking-1.3.13-v7.zip		admin	Test

Import package

☐ Upload package from your local machine

**Packages**

**AVAILABLE PACKAGES**

File	Timestamp	IP	Imported
Digital Banking Fraud	2019-08-28 00:00		No
Test.zip	2019-08-27 00:00		No

Total entries: 2

Comment (required)  
Import of controls

Import Cancel

## Export Solution from UI

**EXPORTED PACKAGES**

Status	Timestamp	IP	Name	Content	User	Comment
FINISHED	2019-08-27 11:19		Test.zip		admin	Test

Export package

**Name** (required)  
MyExport.zip

**Content** (Field is required)

**AVAILABLE CONTROLS**

> Et04 - Ebanking Transactions

**SELECTED CONTROLS**

Export Controls

☐ Download package to your local machine

Export Cancel

Packages (zip files) location:  
`/usr/local/ng-screener/ui/packages/`



# Controls Administration

- Changing controls logo
  - Using **WinSCP** copy the company logo to **NG|Screener** Appliance
  - Connect to the appliance with admin login using **PuTTY**
  - Escalade to root user: `su -`
  - The logo should be named `logo.png` (overwrite existing) and should be placed in `/etc/ng-screener/daemon/modules/controlReportTemplates/`
  - Example (logo in `/home/admin`)
    - `cd /home/admin`
    - `cp logo.png /etc/ng-screener/daemon/modules/controlReportTemplates/`





## Controls Administration

- Export Controls with ngadmin command
  - Export controls:
    - `ngadmin --tenant=TENANT_NAME control_extractControls -f /path/to/file.zip '*/*'` (Extract all reports)
    - `ngadmin --tenant=TENANT_NAME control_listControls 'SOL*/Control*'` (To test search criteria)
    - `ngadmin --tenant=TENANT_NAME control_extractControls -f /path/to/file.zip 'SOL*/Control*'`
  - Warning: `File.zip` in this example should be in a location accessible to user `ng-screener`
    - For example: `/tmp` or `/home/ng-screener/`



## Controls Administration

- Import Controls with ngadmin command
  - Import controls:
    - `ngadmin --tenant=TENANT_NAME control_addControls -f /path/to/file.zip`
  - Import Solution:
    - `ngadmin --tenant=TENANT_NAME control_importSolution -f /path/to/solution/file.zip`
- Warning: `File.zip` in this example should be in a location accessible to user `ng-screener`
  - For example: `/tmp` or `/home/ng-screener/`



## Controls Administration

- Other useful controls related ngadmin commands
  - `ngadmin control_removeOldExecutions`
    - Free up some space and clean control execution history
  - ...



# Thank you!

## NetGuardians



+41 24 425 97 60



[info@netguardians.ch](mailto:info@netguardians.ch)



[www.netguardians.ch](http://www.netguardians.ch)



[Linkedin.com/company/netguardians](https://www.linkedin.com/company/netguardians)



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[@netguardians](https://twitter.com/netguardians)



<https://www.youtube.com/netguardians>

## Ljupce Nikolov



+41 24 425 97 60



[nikolov@netguardians.ch](mailto:nikolov@netguardians.ch)



## Contact us

### NetGuardians Headquarters

Y-Parc, Av. des Sciences 13  
1400 Yverdon-les-Bains  
Switzerland

T +41 24 425 97 60

### NetGuardians Africa

Vienna Court  
State House Rd  
Nairobi, Kenya  
  
+254 205 138539



### NetGuardians Germany

Rhein-Main Gebiet  
Germany

T +49 172 3799003

### NetGuardians Eastern Europe

Koszykowa 61, 00-667  
Warsaw, Poland

### NetGuardians Asia

143 Cecil Street  
#09-01 GB Building  
069542 Singapore  
  
T +65 6224 0987