

# Segregation of Duty Control Monitoring Dashboard

Disclaimer: All data shown in the following dashboard are mock data and was randomly generated for demonstration purposes. None of the companies/applications/names/dates are real.

Here is the website used to generate the redacted data:  
<https://www.mockaroo.com/>

*Oasis Bank*

82  
Distinct Applications

8,598  
Distinct Users

11,535  
TA Requests

2/1/2018 - 2/27/2018  
Date Range

#### SOD CONTROL OBJECTIVES

**Segregation of Duty (SOD) - IT:** SOD must be established and maintained between users with persistent access to production environment and those with persistent access to development environment for the same application.

**Segregation of Duty (SOD) - Business:** SOD must be established and maintained among users with persistent access to production and/or development environment of different applications used in business processes that are required to be handled by separate individuals/teams.

**Temporary Access (TA) Management:** A complete and approved TA request must be documented before a user is granted temporary access to a role on an application. The duration of temporary access granted must be within the maximum duration applicable to the relevant role as defined by the access management policy.

#### DATA SOURCES

**Persistent Access User Listing:** Direct export from the IT Access Management system through direct access on 3/15/2018. The listing is available for everyone who has read access to the IT Access Management system.

**Temporary Access (TA) Request Listing:** Direct export of requests from the TA Archive Database, provided by XYZ (TA control lead). TA requests are stored in the TA archive database and the completeness and accuracy of the data was verified through an observation meeting on 3/15/2018 with XYZ during which a query was ran to extract the listing.

**Access Management Policy:** Roles, environment and TA duration policy information was obtained from the IT Access Management system through direct access. Such information is available for all employees of the company.

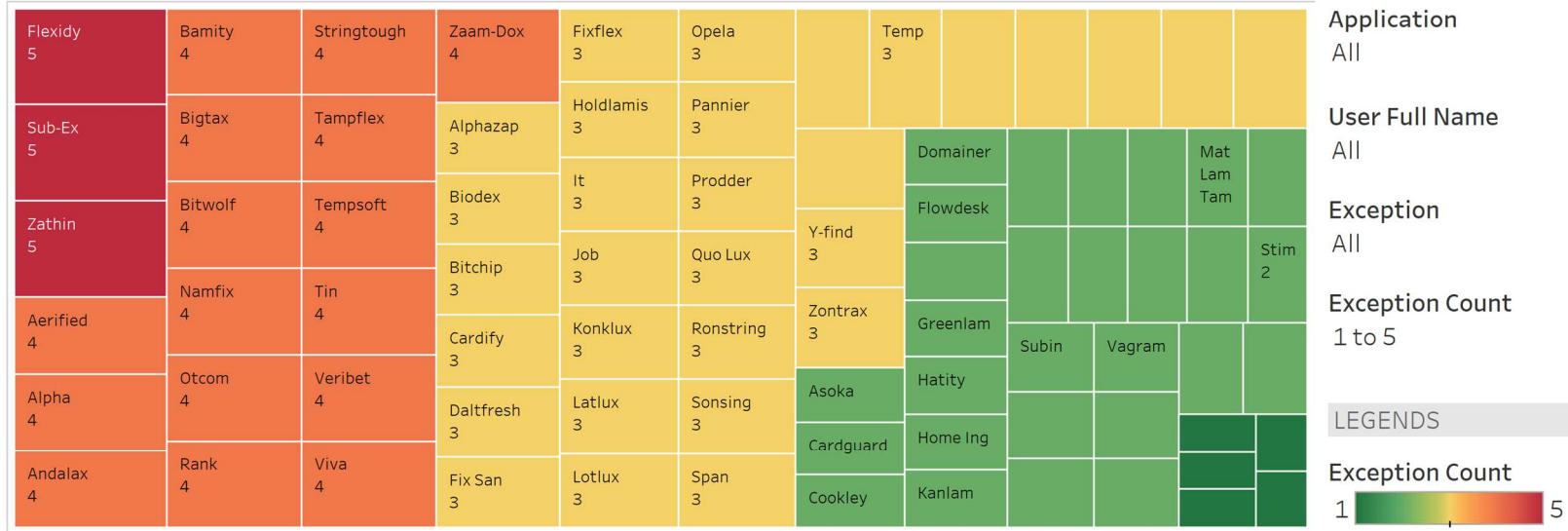
#### ROLES AND POLICIES SUMMARY

Role Name	Role Description	Environment	Temporary Access Allowed
Data-Reporting	Person/team who can read data in the production environment for reporting purposes.	Neutral	No
IT-Admin	IT person/team who can perform all controlled and uncontrolled activities in the production environment. This person has the ability to..	PROD	Yes - 12 hours
IT-Development	IT person/team responsible for developing technology solutions that address business needs.	DEV	Yes - 3 days
IT-Prod	IT person/team who can deploy configurations to production. This can be used for config-only related turnovers which are more operational i..	PROD	No
IT-UAT-QA	IT person/team who can perform all controlled and uncontrolled activities in the QA/UAT environment. This person has the ability to m..	Neutral	Yes - 7 days

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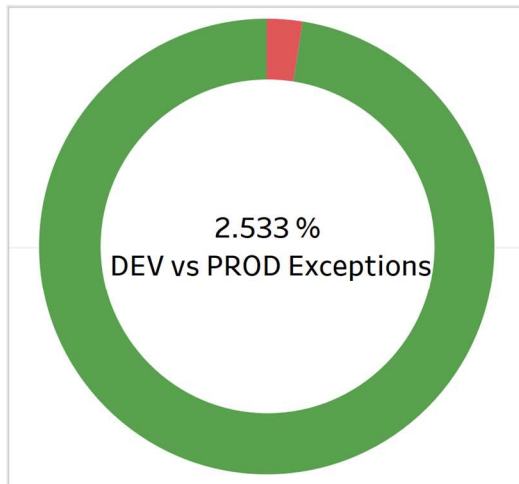
## SOD CONFLICT HEAT MAP BY APPLICATION

## FILTERS



## SOD CONFLICT PERCENTAGE

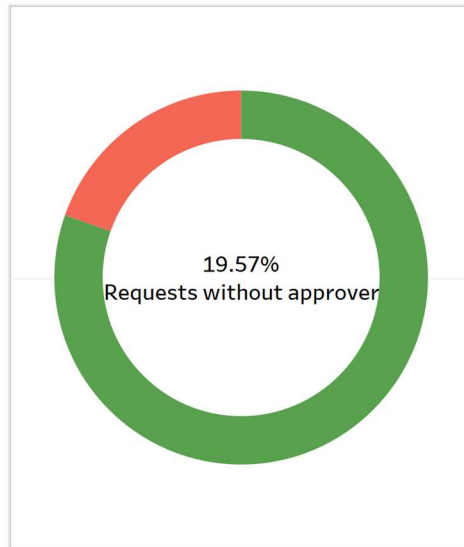
## DETAILS



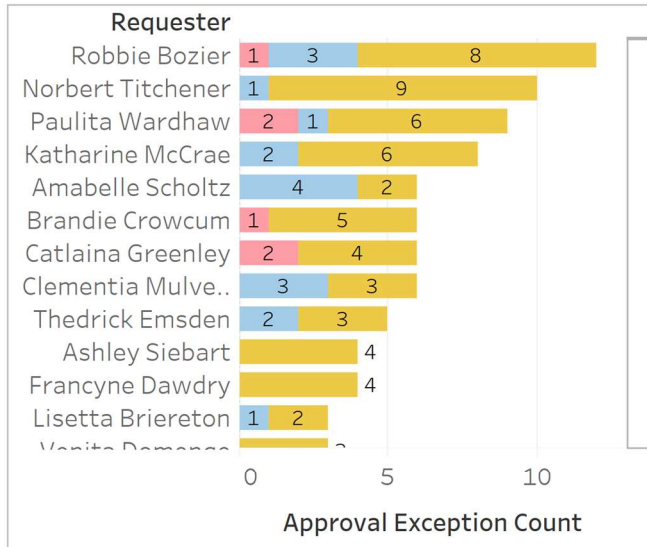
Applicati..	User Full Na..	Environment	Role Name	Exception Type	Start Date
Aerified	Abigale	Development	IT-Development	Dev vs. Prod	2/25/2016
	Quenell	Neutral	Data-Reporting	Dev vs. Prod	9/22/2017
		Production	IT-Prod	Dev vs. Prod	8/27/2017
	Adair Raggitt	Neutral	Data-Reporting	No Exception	8/30/2017
	Ado Stanley	Development	IT-Development	No Exception	4/6/2016
	Adriaens Ma..	Neutral	Data-Reporting	No Exception	2/1/2018
	Ajay Racine	Development	IT-Development	No Exception	8/22/2017
	Aldous Issac..	Development	IT-Development	No Exception	10/15/2016
	Allegra Gree..	Neutral	Data-Reporting	No Exception	12/2/2016
	Alphonso Tr..	Development	IT-Development	No Exception	9/8/2017
	Annalise Po..	Neutral	IT-QA	No Exception	6/1/2016
	Aurel Lindm..	Development	IT-Development	No Exception	5/12/2016
	Avrom Beta..	Development	IT-Development	No Exception	11/1/2016
	Bambi Mulles	Production	IT-Prod	No Exception	12/22/2016

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## APPROVER EXCEPTION PERCENTAGE



## APPROVER EXCEPTION BY REQUESTER



## FILTER

Application

All

LEGEND

Environment

DEV

Neutral

PROD

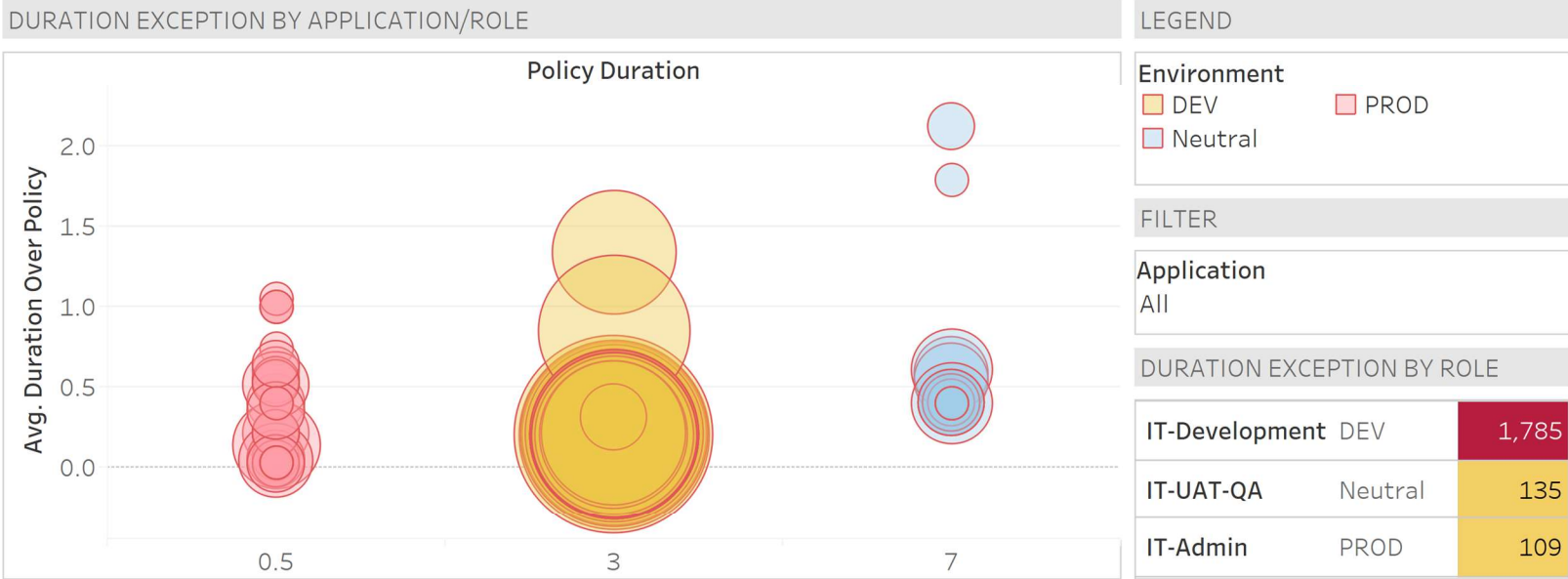
APPROVER EXCEPTION BY ROLE

IT-Development	DEV	1,672
IT-UAT-QA	Neutral	414
IT-Admin	PROD	171

## APPROVER EXCEPTION BY APPLICATION

Regrant 44	Overhold 34	Pannier 33	Y-find 32	Zontrax 31	Andalax 29	Tres-Zap 29	Lotlux 28	Tin 27	Subin 26	Latlux 25	Temp 25			
Bytecard 38	Redhold 34	Tampflex 33	Gembucket 31	Asoka 30	Blodex 29	Tresom 29	Prodder 28	Voltsillam 27			Rank 23			
Flexidy 37	Transcof 34	Lotstring 32	Greenlam 31	Bitwolf 30	Cookley 29	Trippledex 29	Sonsing 28	Fixflex 26	Zaam-Dox 24					
Alphazap 36	Alpha 33	Ventosanzap 32	Keylex 31	Ronstring 30	Fix San 29	Aerified 28	Bamity 27	Job 26	Zamit 24	Quo Lux	Opela 21			
Duobam 34	Namfix 33	Veribet 32	Mat Lam Tam 31	Tempsoft 30	Sonair 29	Domainer 28	Bitchip 27	Konklab 26	Zathin 24	Wrapsafe	Fintone			
	Otcom 33	Viva 32	Vagram 31	Voyatouch 30	Stim 29	Kanlam 28	Sub-Ex 27	Span 26	Bigtax 23	Zoolab	Home Ing			
									It	Cardify	Matsoft			

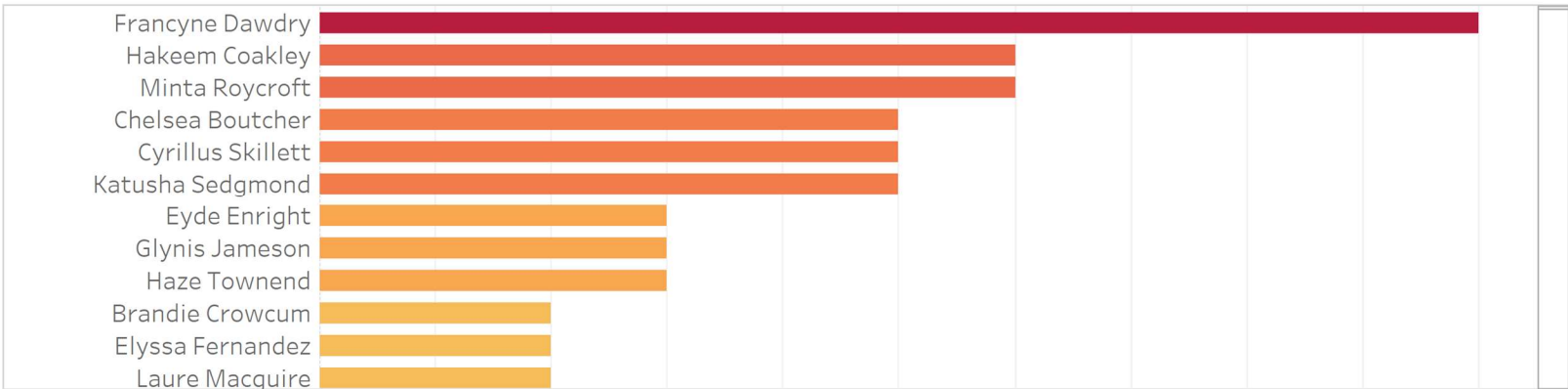
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DURATION EXCEPTION BY USER (Choose test type AND requester/approver view below)

Duration Exception Count

REQUESTER



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This dashboard displays information about users who violate business SOD rules, which means having production and/or development access to more than one of the following three applications: Alpha, Flexidy, and Y-Find. See below for further descriptions on the business function of each application.

210  
Distinct Users

## BUSINESS FUNCTION DEFINITION

**Alpha** : Cash Function - making payment to vendors.

**Flexidy**: Record Keeping Function - recording accounting information and reconciling bank statements.

**Y-Find**: Vendor Management Function - creating and maintaining vendor information in the company's database.

## FILTERS

User Full Name

All

PROD/DEV Access Only?

YES

# of Applications Per User

All

## USER COUNT BY ACCESS TO NUMBER OF APPLICATIONS



## LEGEND

# of Apps users have access to

- 1
- 2 (Exceptions)
- 3 (Exceptions)

## DETAILS

User Full Name	Application	PROD or DEV Access to Application?	Environment	Role Name	Start Date
Abigale Quenell	Alpha	YES	Development	IT-Development	11/29/2017
			Neutral	Data-Reporting	3/9/2016
	Flexidy	YES	Development	IT-Development	9/30/2016
			Neutral	Data-Reporting	5/12/2016
				IT-QA	4/10/2016
	Y-find	YES	Production	IT-Admin	3/29/2017
			Development	IT-Development	3/26/2016
			Neutral	Data-Reporting	5/10/2016
			Production	IT-Admin	1/12/2017

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