



ORACLE®

GRC Applications Overview/ NCOAUG

Michael Harron, Specialty Sales Manager - GRC

Agenda



- Introductions
- GRC Solution Overview
 - GRC Intelligence
 - GRC Manager
 - GRC Controls
- Q&A

Oracle Solutions for GRC

GRC Reporting & Analytics

Dashboards

Reporting

KRI & Alerts

GRC Process Management

Audit

Management
Assessment

Issue &
Remediation

Event &
Loss Mgmt

GRC Application Controls

Application
Access
Controls

Configuration
Controls

Transaction
Controls

Preventive Controls

GRC Infrastructure Controls

Identity
Mgmt

Data
Security

Change
Mgmt

Records
Mgmt

Digital
Rights

ORACLE[®] Hyperion[®] | J D E D W A R D S[®] PeopleSoft[®]

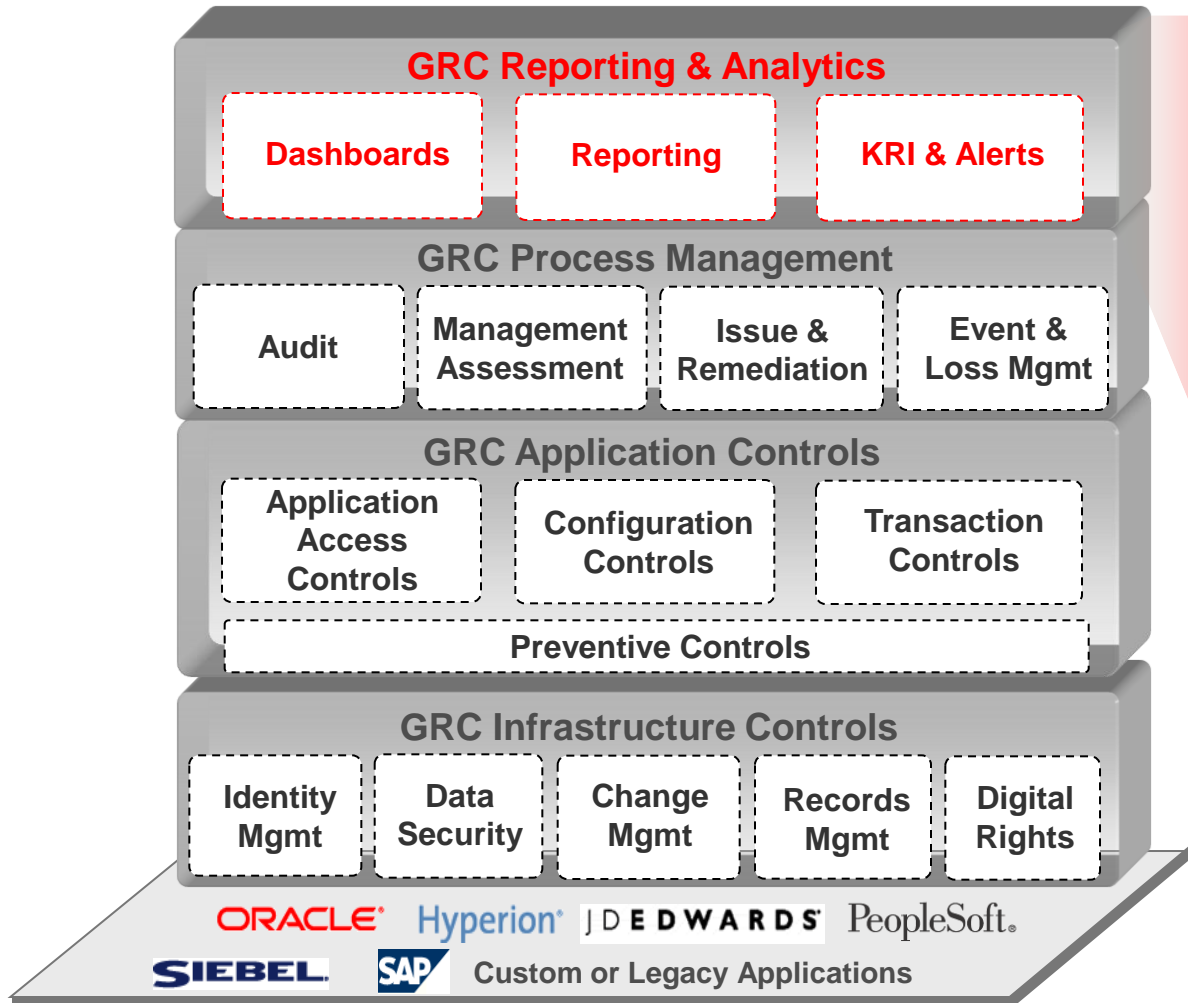
SIEBEL[®] SAP[®] Custom or Legacy Applications

✓ Purpose-built business solutions for key industries and GRC initiatives

✓ Best-in-class GRC core solutions to support all mandates and regulations

✓ Pre-integrated with Oracle applications and technology, supports heterogeneous environments

Oracle GRC Reporting & Analytics



- ✓ Pre-built dashboards aggregate information from all sources
- ✓ Combine performance & GRC information
- ✓ Respond to KRI and issues
- ✓ Produce attestations and disclosures
- ✓ Configure to meet your specific needs

Intuitive, graphical risk and control analytics.

Overall Activities Hyperion

Welcome, Administrator! Dashboards - Answers - More Products - Settings - Log Out

Page Options

Controls Summary

Select Dimension: Location

Location	Control Test Type	Control Type	Control Title	Count of Control Tests	Passed Control %	Failed Control %
New York	Process	Preventive	Formal Aged creditor analysis performed and investigation of item older than 6 months	14	7.14	57.14
Boston	Audit	Preventive	Monthly headcount analysis is completed and reconciled to the payroll report	2	50.00	50.00
New York	Process	Preventive	Unidentified matched to control account until matched to valid account	5	40.00	20.00
New York	Audit	Preventive	All accounts are reviewed by credit team on a monthly basis	11	72.73	18.18
New York	Process	Preventive	All accounts are reviewed by credit team on a monthly basis	14	71.43	14.29

Records 1 - 5

Control Failures > 50% Control Failures > 20% Control Failures < 20%

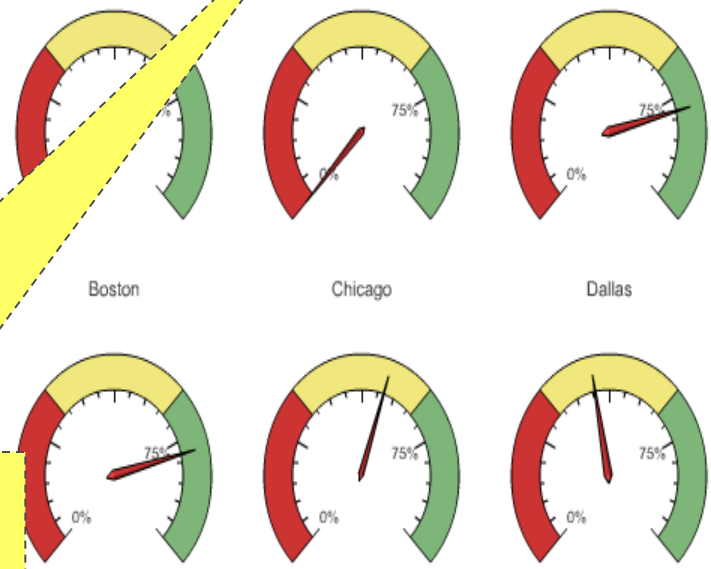
Modify Refresh Download Add to Briefing Book

Risks by Process - Issues Aging

Passed Control Tests By Organization

Select Dimension: Location

0% - 33% 33% - 66% 66% - 100%



View by location, regulation, due date, etc.

Consolidated view of financial balances from Hyperion Financial Management and risk rating from GRC Manager

Account Status by Organization
(in the thousands of dollars)

By Risk Rating

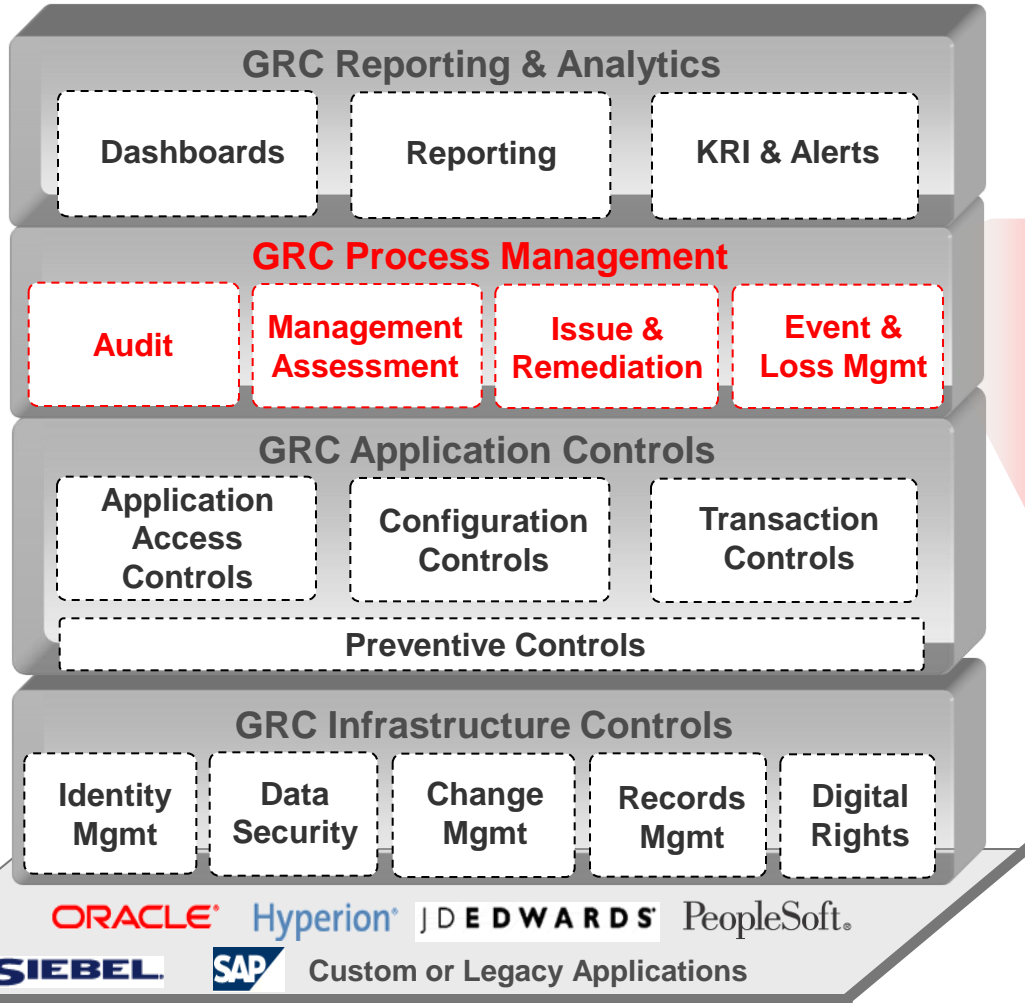
			Americas				Shared Services							
			North America				HR	Legal	IT					
			Boston	New York	Chicago	Dallas	HR	Legal	IT					
Statement Type	Account Name	Sub-Account Name	Amt	Risk Rating	Amt	Risk Rating	Amt	Risk Rating	Amt	Risk Rating	Amt	Risk Rating	Amt	Risk Rating
Operating cash	Operating cash	Operating cash	4,522	5	6,488	5	973	0	991	12	981	5	974	5
Investments	Investments	Investments	967	5	991	5	940	16	997	5	957	5	981	5
Accounts Receivable	Accounts Receivable	Accounts Receivable	988	12	994	5	988	5	990	12	981	0	952	0
Receivables	Receivables	Receivables	998	10	943	10	911	16	985	5	985	5	996	5
Liabilities	Liabilities	Liabilities	942	5	994	5	995	5	995	5	994	5	997	5
Accounts Payable	Equipment	Revenues	990	18	889	5	957	16	967	16	976	0	973	5
		Product sales	979	5	999	10	990	5	995	5	991	5	962	5

Modify - Refresh - Download - Add to Briefing Book

Account Distribution by Organization
(in the thousands of dollars)

			Americas				SHARED SERVICES					
			North America				HR	Legal	IT			

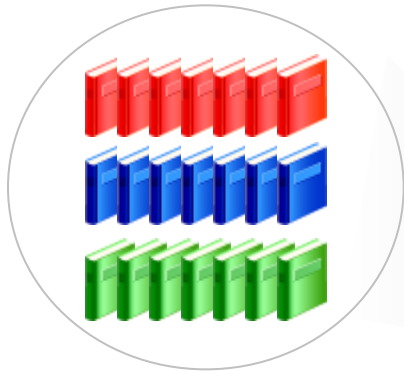
Oracle GRC Process Management



- ✓ GRC system of record
- ✓ End-to-end GRC process management
- ✓ Platform independent
- ✓ Integrated control management
- ✓ Closed-loop issue remediation

Manage Regulations, Policies and Procedures

Align Regulations to policies to best-practice frameworks



Manage Multiple Regulations/Standards

ORACLE Governance, Risk and Compliance Manager

Home

- My Inbox
- Business Processes
- Assessments
- Self Testing
- Audit Test Plans
- Audit Testing
- Walkthroughs
- Issues
- Action Items
- Reports
- Advanced Reporting
- Organization
 - Open Hierarchy
 - Create Hierarchy
- Administration
- Library
- User

Edit | Close | Move Business Processes | Copy |

Standards

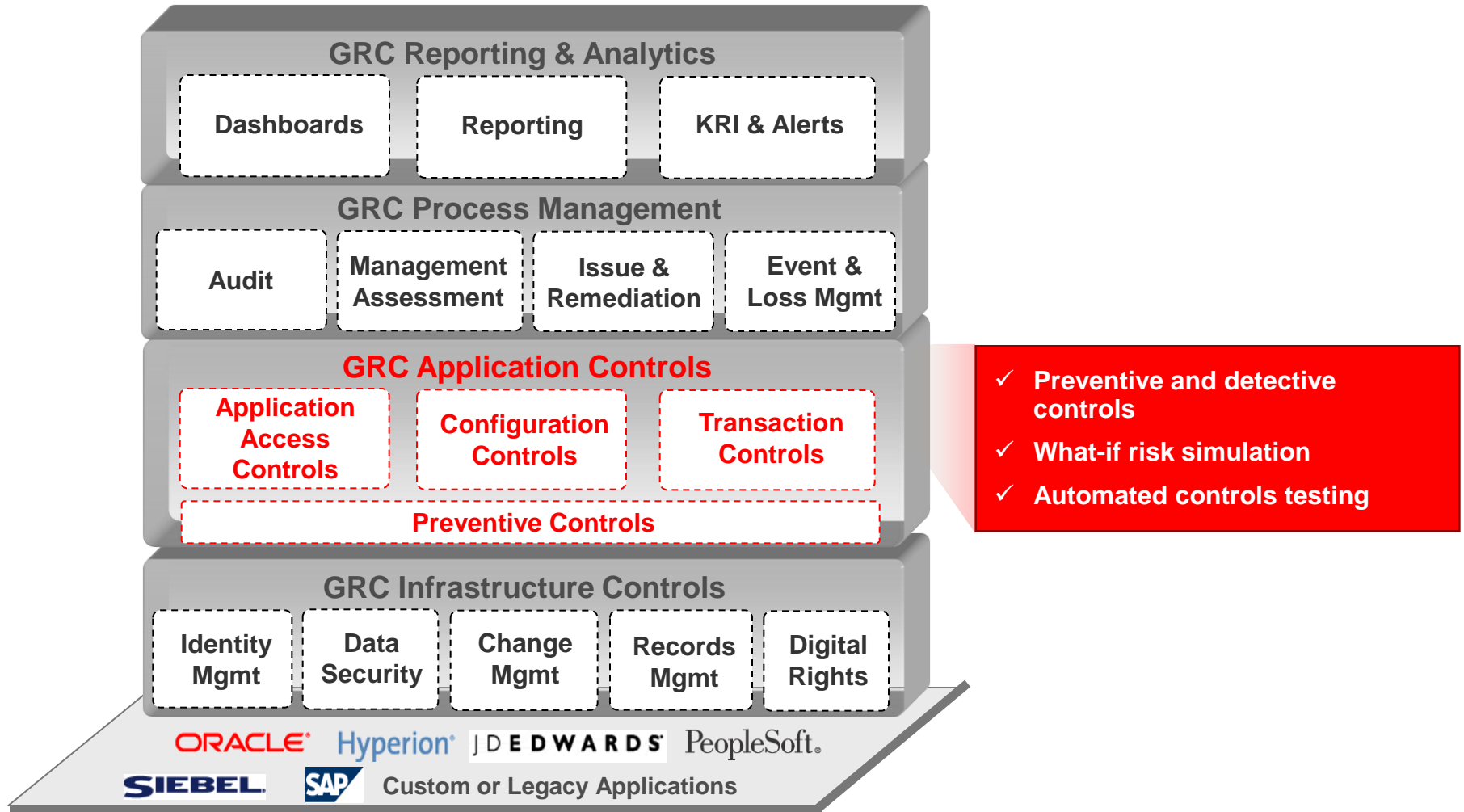
Audit - View 404-Management As

Current language of the hierarchy
English* The default language will be displayed when local translation is not available.

Standards	Doc ID	Title
Sarbanes-Oxley		
302-Corporate Responsibility for Financial Reports		
404-Management Assessment of Internal Controls	007621	Acquire Physical Assets
906-Real Time Issuer Disclosures	008625	Code of Conduct
PCI		
Build and Maintain a Secure Network	007593	Employee Exit Interview Process
Protect Cardholder Data		
Maintain a Vulnerability Management Program	007644	End of Month Close
Implement Strong Access Control Measures		
Regularly Monitor and Test Networks	007149	End of Month Close
Maintain an Information Security Policy		
ITG		
NERC	008578	Manage Invoices
AML		

- ➔ Frameworks align corporate policies and associated controls to standards
- ➔ Link shared policies and controls in master libraries for easy maintenance

Oracle GRC Applications Controls

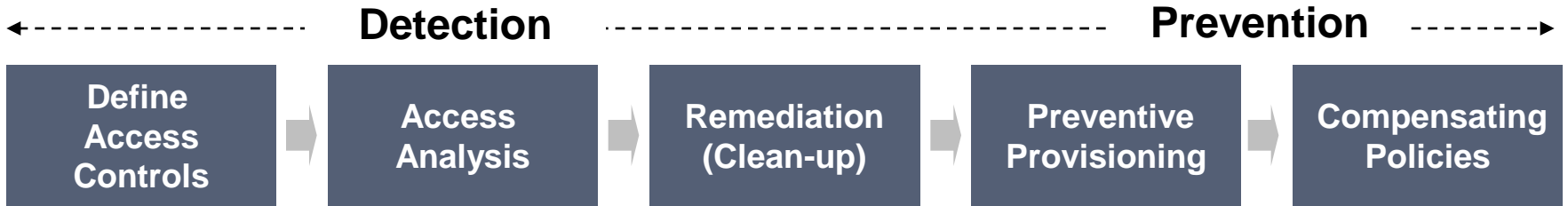


Oracle Application Access Controls Governor

Enforce proper segregation of duties

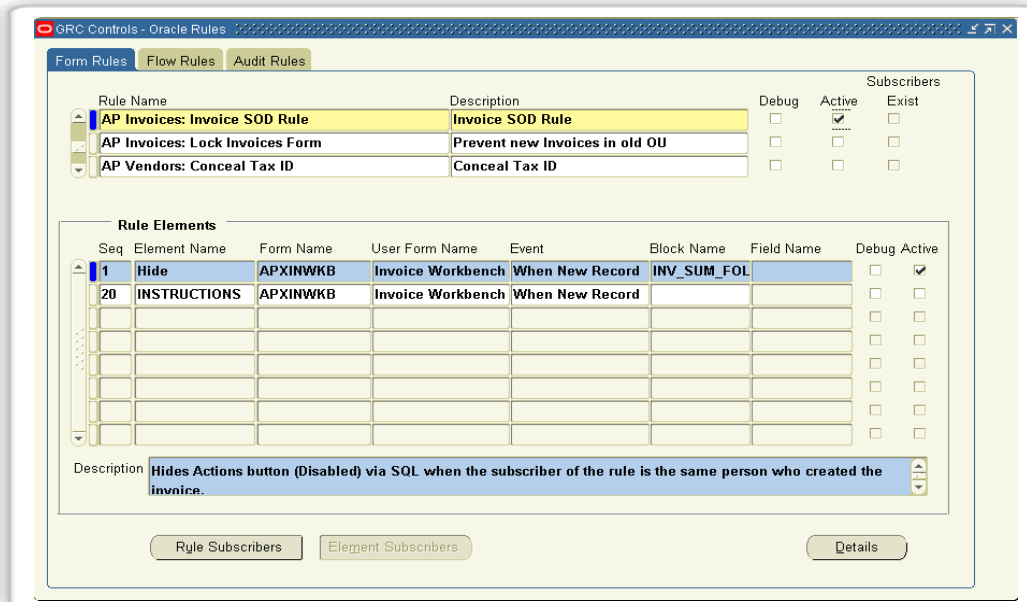
The screenshot displays the Oracle Application Access Controls Governor interface. On the left is a navigation pane with categories like Access Policies, Policy, Definition, Entitlements, Global Conditions, Global Path Conditions, Remediation, Report Center, User Provisioning, Jobs, and Administration. The main area shows a table of policies with columns for Policy Name, Description, Policy Type, Priority, Status, Effective Date, Analysis Run, and Results. A red box highlights the 'Policy Library' section, showing a search for 'Create Suppliers & Create Invoices'. Another red box highlights the 'Conflict Paths' section, which is a tree diagram showing relationships between various elements (U, R, M, F) representing users, roles, and functions.

- ✓ Simplify segregation of duties enforcement with simulation and remediation
- ✓ Mitigate risk of privileged user access to enterprise applications with approval workflow and audit trails
- ✓ Accelerate deployment and time to value with pre-delivered controls library



Oracle Preventive Controls Governor

Enforce granular controls conditionally



- ✓ Implement field-, block- and/or form-level controls to hide, mask or validate information
- ✓ Enforce business policy through additional automated processes
- ✓ Mitigate risk of application changes with approval workflow and audit trails

Prevention

Secure & Audit Fields

Add Navigation & Extend Forms

Add Messages & Default Values

Enforce LOVs & Field Attributes

Add Approval Workflows

Oracle Configuration Controls Governor

Ensure integrity of critical application setups

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Change Tracking by Setup Object

Query Definition:

Database Instance: VD11 Date Range: 14-MAR-00 to 14-MAR-00
 Application: Oracle GL 11.0.3 Changes Made By: All
 Object: Set of Books

When? **Who?**

Application & Object Information:

Owning Application Name: GL 11.0.3 Object Name: Set of Books
 Shared Application Name: Oracle GL 11.0.3 Object Description: Definition of Set of Books (VD11)

Change Session Information:

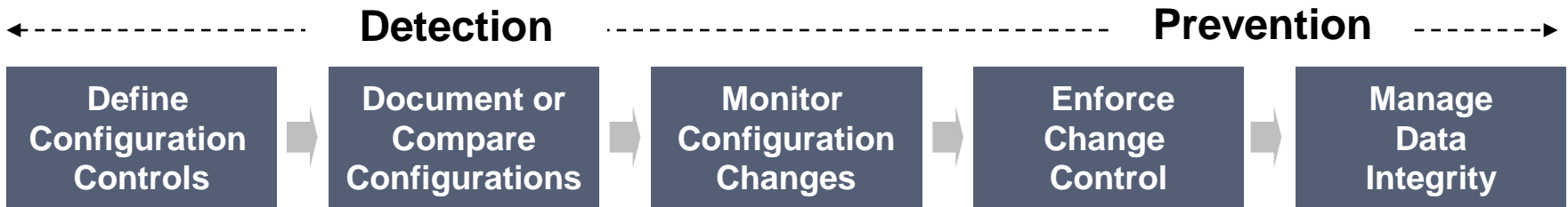
Change Date: 14-MAR-00 13:39:45 **App User Name:** FPOTTER
Set of Books Name: Vision Operations (USA)1 **Responsibility Name:** General Ledger, Vision Operations (USA)

Set of Books Information

Table Name: GL_SETS_OF_BOOKS **Where?**
Set of Books Name: Vision Operations (USA)1 **What?**

Field Information	Old Value	New Value	Changed?
Description (DESCRIPTION)	XYZ Company Set of Books	Vision Operations Books	*
Future Periods (FUTURE_ENTERABLE_PERIODS_LIMIT)	3	5	*
Allow Suspense Posting (SUSPENSE_ALLOWED_FLAG)	No	Yes	*
Enable Journal Entry Tax (ENABLE_AUTOMATIC_TAX_FLAG)	No	Yes	*

- ✓ Achieve consistent application setup and operating standards across multiple instances
- ✓ Track complete audit trails for changes to key configurations
- ✓ Tightly control change management to accelerate development and test time



Oracle Transaction Controls Governor

Identify inaccurate or fraudulent transactions

The screenshot displays the 'Suspect Details' page for a control monitor. It includes a 'Parameters' table, a 'Detail Suspect History Report' table, and a list of 'Suspect Transactions'.

Control Monitor Details:

- Control Monitor: Split Purchase Orders
- Received: 17-Apr-2008 10:29:48 AM
- Workflow Mapping: Default Approval Workflow
- Suspect Source: Mike Ketchmere
- Control ID: CA-01-7777
- Control Name: Split Purchase Orders Monitor
- Control Description: Split Purchase Orders Monitor

Parameters:

Name	Value
Threshold Amount	
Number of Days	
Operating Unit	Vision Operations
Set of Books Name - Required	Vision Operations

Detail Suspect History Report:

Run Date	Run ID	Task Id	Record Details	Status
17-Apr-2008 10:06:39 am	22			
17-Apr-2008 10:27:05 am	23			
17-Apr-2008 10:28:52 am	24	35	Description-Operating Unit: Vision Operations Vendor Name: Advanced Network Devices PO Number: 1744 Created by: Stock, Ms. Pat Amount greater than: 500 USD	Pending
17-Apr-2008 10:28:52 am	24	36	Description-Operating Unit: Vision Operations Vendor Name: Advanced Network Devices PO Number: 3001 Created by: Barclay, Mr. Ian Amount greater than: 500 USD	Pending

Suspect Transactions:

Task ID	Received	Description
35	17-Apr-2008 10:29:48 AM	Operating Unit: Vision Operations Vendor Name: Advanced Network Devices PO Number: 1744 Created by: Stock, Ms. Pat Amount greater than: 500 USD
36	17-Apr-2008 10:29:49 AM	Operating Unit: Vision Operations Vendor Name: Advanced Network Devices PO Number: 3001 Created by: Barclay, Mr. Ian Amount greater than: 500 USD
37	17-Apr-2008 10:29:49 AM	Operating Unit: Vision Operations

✓ Continuously monitor accuracy of transactions and mitigate exposure to fraud

- Test against thresholds
- Search for anomalies
- Perform transaction sampling

