



Provided development and production support of Recertification Compliance Solution to a leading global insurance company

/// CASE STUDY



Highlights

Mphasis helped the client to develop, implement and support a Recertification Solution

Client Type

Property and casualty insurance

Industry

Insurance

Type of Work

Development and production support

Mphasis helps the Compliance Division of a leading global insurance company to develop, implement and support a Recertification Solution

Client

A leading global insurance company

Objectives

To remediate the corporate wide reoccurrence of SADs (Sarbanes Oxley adherence deficiencies) in the area of Logical User Access for key IT applications

Challenges

- Recertification processes were manual and were not standardized across applications. Ineffective manual processes caused corporate wide reoccurrence of SADs (Sarbanes Oxley adherence deficiencies) in the area of Logical user access for key IT Systems.
- Internal & External auditors did not receive sufficient documentation related to logical user access approvals and reports
- Change Management related to logical user access was time-consuming and inefficient
- Authorized approvers for key IT systems had to spend significant time and effort to accurately re-certify user access

Solution

- Implementation of a workflow based solution using compliance courier to automate the recertification process
- Implementation of a three-tier process (encompassing application owner certification of approvers, recertification of users by authorized approvers and application certification by application owner to standardize recertification approach and procedures
- Recertification solution encompassed detailed status, entitlement, role definition and ticket reports that provide a complete audit trail of the entire recertification cycle
- Recertification solution was implemented with a dual extract process that ensured that removals and changes requested by the authorized approvers during the recertification cycle were tracked by a downstream ticketing process. All the tickets of a recertification period are closed at the end of the period and are documented in integrated ticket reports
- The workflow based recertification solution ensured that the application owners and authorized approvers spent only a fraction of their time for recertification compared to the manual process while having a complete view of their users' access details

Skill set

Infrastructure/technologies:

Microsoft VB, VB Scripting,
SQL Server 2000, DTS, ASP,
Crystal Reports

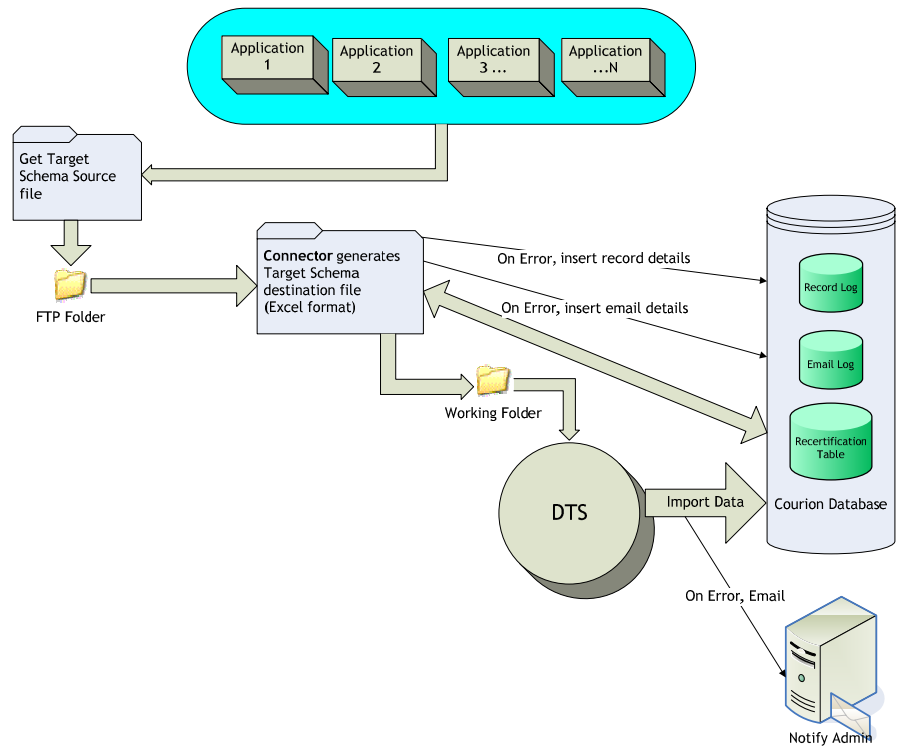
Hardware:

Intel Pentium Servers

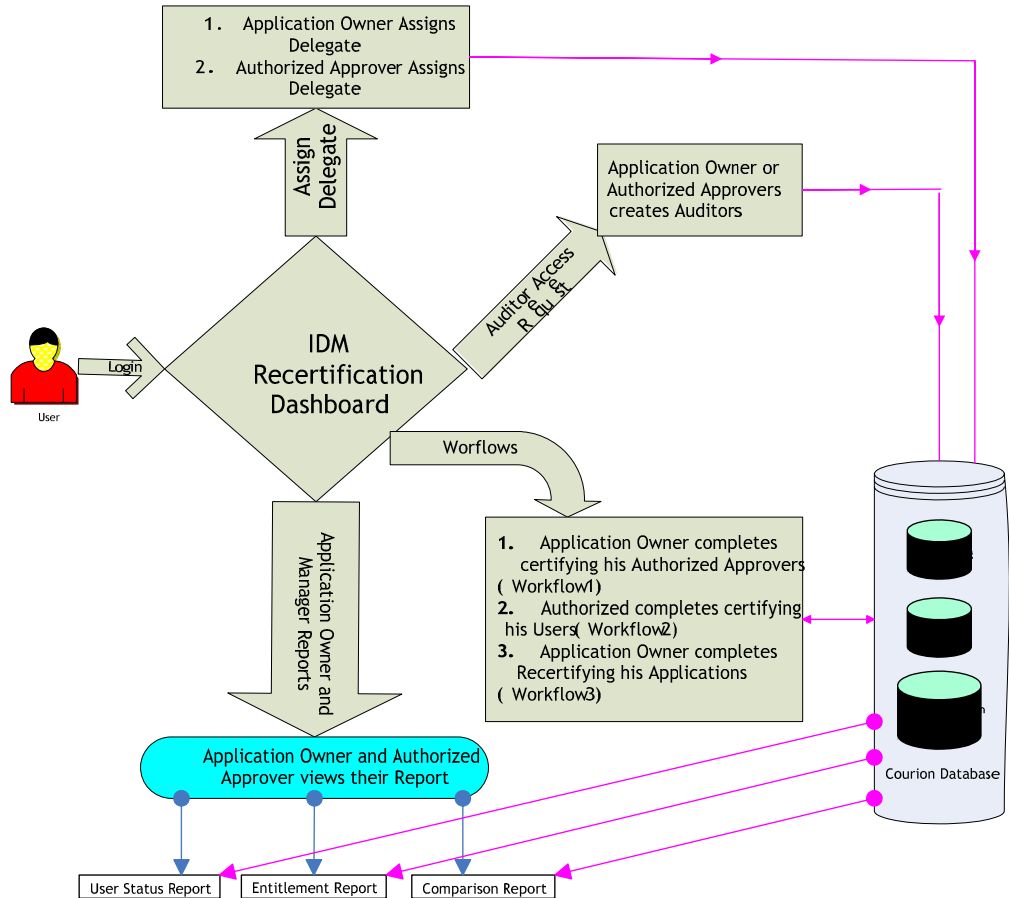
Software packages:

Compliance Courier

Architecture Diagram 1



Architecture Diagram 2



Implementation Methodology

- Recertification solution is based on a customized implementation of Compliance Courier - an Access Verification and Policy Enforcement toolkit from Courion Corporation
- The solution leverages Customized Compliance Courier workflows. Other key components of the solution including Connectors, DTS packages and Reporting functionality based on Crystal Reports have been custom-developed as per Project needs.
- Recertification Solution has been implemented for the Client's North American Home office applications from 2006 to 2008.
- European applications will be on-boarded to the Recertification Process in 2008

Benefits

- Provision of accurate Recertification Information
Provision of business, Technology and Security managers with information necessary to confirm appropriate user access rights
- Storage and display of accurate User – Authorized approver relationship information
Provision of information related to Recertification to Authorized approvers that help to confirm appropriate user access rights
- Automation of recertification process
Tracking and storing the attestations of authorized approvers for each user during Recertification Process for audit-trail purposes
Automatic notifications for User Recertification Process as per Client SOX Policy
- Initiation of automated workflow for change management process
Post certification, an automated workflow is initiated to address removal/change of User entitlements per authorized approver requests

About Mphasis

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For more information, contact: sales@mphasis.com

USA: 460 Park Avenue South, Suite #1101, New York, NY 10016, USA
Tel.: +1 212 686 6655, Fax: +1 212 686 2422

UK: 88 Wood Street, London EC2V 7RS, UK
Tel.: +44 20 85281000, Fax: +44 20 85281001

AUSTRALIA: 410 Concord Road, Rhodes, NSW 2138, Australia
Tel.: +61 290 221 146, Fax: +61 290 221 134

INDIA: Bagmane Technology Park, Byrasandra Village, C.V. Raman Nagar, Bangalore 560 093, India
Tel.: +91 80 4004 0404, Fax: +91 80 4004 9999

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