

The Client

The Client is a leading research, development, and manufacturing company in the world for LEDs, Photonic lattices used in flat screen TVs, and projection TV chipsets.

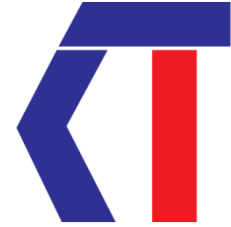
Business Situation

The client implemented Oracle 11i Financials and Order Management (OM) modules along with Oracle Inventory, Shipping Execution, Pricing, BOM, WIP etc. The client is in the business of research, development, and manufacturing of projection TV chipsets and Photonic lattices used in flat screen TVs. The client was facing the challenge of auditing and tracing the changes in business and financially sensitive data along with IT Governance issue. The client was also supposed to get audited by independent authority for the Sarbane Oxly regulation compliance and other internal regulations. The client was planning to implement Oracle AMW or Internal Controls Manager (ICM) to achieve the same.

The Challenges

The Oracle's ICM module has following limitations as the module rolled out to market recently:

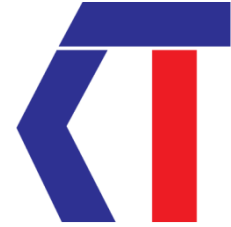
1. Not supporting yet all the tables in Oracle Apps as well as custom tables that are used for customization. These tables need to be audited in order to comply with internal regulation and Sarbane Oxly regulation.
2. Not so clear functionalities on defining the Segregation of Duties like Incompatible functions and responsibilities and violations of the regulations.
3. No functionality for general controls monitoring and application controls monitoring.



The Solution

Helped the client by addressing the challenges by developing:

1. PL/SQL program to add the tables and columns that need to be audited to the Setup Groups table and Setup Parameters table. This program will run as a concurrent program on-demand basis.
2. Created a table to log the Application user access attempts like unsuccessful logon, remote access connections, accounts with expired passwords, disabled accounts, locked out accounts etc.
3. PL/SQL program to gather the Application user access data and populate the above table.
4. Oracle Reports program to generate the report on Application user access attempts and results.
5. Created a table to log the network user access attempts like unsuccessful logon, remote access connections, and programs and applications used.
6. Java program to extract the data on network user access attempts (General Control Monitoring) using product like Hyena and update the above table.
7. Created a table and form to enter Functions/Responsibilities that are to be monitored.
8. Created a table and form to define Functions/Responsibilities that are incompatible with host of other Functions/Responsibilities.
9. A PL/SQL program to monitor whenever a Functions/Responsibilities are assigned to a user to see if it is incompatible with any other Functions/Responsibilities that are previously assigned. If incompatible then it is a violation and an alert raised with an email sent to the process owners and concerned authorities.
10. A PL/SQL program to issue the notification whenever an important event happens (like Journal Import concurrent program runs).



Business Impact

The major benefit that client got from this project is easy auditing on the IT governance along with following benefits:

1. Help to comply with Sarbane Oxly regulation and implementation of Segregation of Duties.
2. Auditing on Application User Access and Network User Access attempts.

Value Adds

Helpful in auditing the data modification and important events monitoring. Proper notification to the concerned authority immediately and create accountability.

The Technology

- Oracle 11i Applications
- Oracle 9i
- SQL, PL/SQL
- Developer 6i
- Java
- Unix