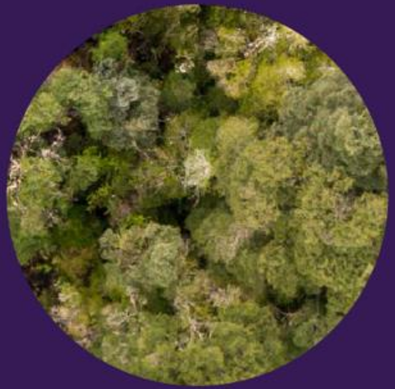
G-Cloud 14

Service Definition - Wipro Security & Compliance Controls - ITGC SOX Services

Wipro's ITGC SOX Control Assurance Services Description (1/2)

Our Service Portfolio

- Risk Management Framework and Risk Model Definition based on regulatory and organizational level policy requirements.
- Control design - process level controls and technology controls
- Control implementation and effectiveness validation Methodology
- Control Assessment, Remediation coordination and monitoring
- Standardization of the test plan and the testing procedures
- Control Compliance – Training and awareness
- Tool Identification and customization, Automation of Control implementation
- Develop MCRs(minimum Control requirements) MCR & TCRs(Technology Controls)
- Integrated process and system integration
- Continuous improvement and Enhanced monitoring of Key Control Indicators and Technology Controls

Strategy & Program Development (Consulting & Advisory)

- Current state maturity assessment
- Strategy and roadmap
- Program definition and roll-out

Program Management (Extended Team – T&M/Staff Aug)

- Process and Control Framework uplift, Control Assessment & Risk Identification, Control Documentation, Findings Management
- Program management office (PMO)

Program Automation (Solution Implementation)

- Design and implementation to automate the control assurance program
- Integration with internal/external feeds

As a Service "Managed Services"

- End to end management of Control Assurance program
- [Control Design Review, Identify the Technology controls, Implementation of Technology controls ,Control Assessment, Policy- framework-templates uplift, Training & Knowledge mgmt., control documentation, quality assurance, findings management, continuous improvement, automation, efficiency & economics, auditor mgmt. &certification support]

End to end services right from Consulting to management of ITGC SOX Control Assurance program

Wipro's ITGC SOX Control Assurance Services Description (2/2)

Control Governance framework	Control Implementation	Third Party Assessment	Scoping and Effectiveness Testing (DE& OE)	Control Maturity Uplift
Control Assurance framework	Process Controls	In scope identification	Remediation tracking & reporting	Enhanced framework & Technology controls
Policy, Process, and testing methodology	Technical Controls	Design Effectiveness (DE) Assessment	Weekly Status Reporting (SLAs, KPIs)	Continuous Process Improvements
Control Documentation	Automated Controls	Operational Effectiveness(OE) Assessment	Monthly Dashboard & Quarterly Review	Integrated Process & Automation

Assurance Related Risk Criteria

Risk Related Criteria

- Financial
- Reputational
- Geo-political
- IT & Information Security Risk
- Business Continuity

Regulatory & Industry Requirement Criteria

Control Assurance Program Automation

Performance Metric, Analysis, Quality Assurance & Reporting

Contract review & Auditing Third party relationship

SOX Compliance for a Large British Pharma

Challenges

Perform SOX Control testing on SailPoint and associated applications.

Work with the Application SMEs and advise them in remediating any SOX Audit gaps that are identified

Work with the 40+ Application teams to ensure business processes are SOX Compliant

Ensure data feeds into these 40+ Apps are appropriately controlled in terms of completeness and accuracy

Ensure that access to these applications and data feeds are appropriately controlled

Ensure the Joiner / Mover / Leaver processes around the access to these applications / tools are controlled and recertified regularly

Solution Highlights

Performed control testing for the 40+ applications around access control, privileged access, data flows, data input controls, data accuracy and completeness, access review and recertification

Conducted awareness training for SMEs and others who are involved with the SOX Audit meetings

Supported the application teams with corrective action for any Observation Memos (OMs) that were raised by the external Audit team

Review evidence of closure of OMs and provide evidence back to the SOX Audit team for approval

Create and update internal tracking mechanism for client stakeholders

Value Delivered

Better preparation for the formal audit

Closing gaps before the actual audit, means fewer findings and issues during the formal audit

Understanding the environment before the formal audit helps the actual compliance audit that is done by an external organization, be conducted more effectively and efficiently

Improves internal processes and improves compliance

Reduction in OMs, resulting in lower effort required from SMEs and the External Audit team for closure of these

ITGC-SOX Compliance Management for a Large power technologies and energy systems Company

Challenges

Assess the current security, risk and compliance posture and recommend solutions for implementing ITGC SOX Compliance for a newly formed organization.

Leverage the available control framework and baseline the control testing for meeting the SOX Compliance and identify the improvements required.

Review the existing control design, operating procedures and recommend improvements for the Apps in Scope

Design the control operating procedures for the new controls

Training and awareness for the application team on ITGC controls

Own and manage the overall ITGC/SOX operations – viz. control testing and management of internal audits and external certification audits.

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Thank you.

Kindly contact us at the following Wipro email id for any further information and engagement related details.

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