

# SOX Umsetzung mit verinice

Ein Erfahrungsbericht

# ÜBERBLICK

- Itron
  - Wer sind wir?
  - Fakten
- Verinice bei Itron
- Sarbanes-Oxley act of 2002
  - Allgemein
  - SOX General Computing Controls mit verinice
  - Erfahrungen und geplante Verbesserungen

# ITRON

## Overview

Itron is a world-leading technology and services company dedicated to the resourceful use of energy and water. We provide comprehensive solutions that measure, manage and analyze energy and water. Our broad product portfolio includes electricity, gas, water and thermal energy measurement devices and control technology; communications systems; software; as well as managed and consulting services. With thousands of employees supporting nearly 8,000 customers in more than 100 countries, Itron applies knowledge and technology to better manage energy and water resources.

# A GLOBAL COMPANY



70  
LOCATIONS

17  
MAJOR  
LOCATIONS



# ITRON AT-A-GLANCE



**150m**  
COMMUNICATION  
MODULES



**8,000+**  
CUSTOMERS IN  
100 COUNTRIES



**8,000+**  
EMPLOYEES



**1.9bn**  
2015 REVENUE USD

# YOU MIGHT NOT KNOW...

**75% of power in the US** touches Itron technology

**More than 80% of electricity in North America** is forecasted by Itron software

**More than 500 North American utilities** depend on us for managed services

**33 million meters globally** are managed by Itron's MDM Itron Enterprise Edition

**Itron is the global leader in prepayment systems** for electricity and gas

**Itron is a leading provider of revenue-grade solar products and services**

**Itron has deployed more than 150 million smart communication devices**

# VERINICE BEI ITRON

Implementiert:

- SOX GCC
- Technology inventory (asset register)
- 5 ISMS
- VDA ISA intern und extern
- BDSG Verfahrensverzeichnis

Geplant:

- Privacy shield
- Risk assessment

# SARBANES-OXLEY ACT OF 2002

Namensgeber: Senator Paul Sarbanes und Repräsentant Michael Oxley

Ursachen: Bilanzskandale wie Enron und Worldcom

Ziele:

- Vermeidung von Fehlern und Betrug in den öffentlichen Bilanzen
- Schutz der Investoren und der Öffentlichkeit
- Verbesserung der Qualität der Meldungen an die SEC (Securities and Exchange Commission)

Kontrollbehörde: PCAOB (Public Company Accounting Oversight Board)

- Vom Kongress initiiert
- Non-profit Organisation
- Kontrolliert die Auditoren (E&Y, PWC, D&T,...)

SOX-GCC: General Computer Controls



# SOX-GCC

GCC = General Computer Controls

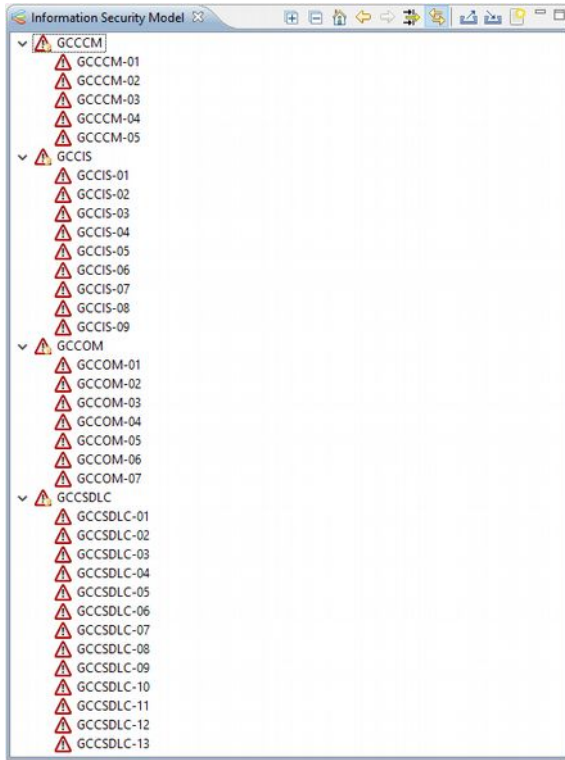
Für die Finanzberichterstattung notwendige unterstützende IT Systeme und Prozesse:

- Datenbanken
- Server
- Backup
- Dateien (excel)
- ...

Problem: Riesige Tabelle – Risk and Control Library

Lösungsansatz: excel -> verinice

# SCENARIOS



34 Szenarien in 4 Prozessgruppen

GCC: General Computing Controls

CM: Change Management

IS: access to programs and data

OM: Operations & Monitoring

SDLC: System Development Life Cycle

# SCENARIO DETAILS

**Relations to:** Control ▾ Detective Control ADD REMOVE

Relation	Title	Scope	Description	C	I	A
Preventative control	ELCC 112 IT Policies	Itron, Technology, Inventory				

Anpassungen:

- Itron RCLs mit 15 Attributen
- 3 neue Control Typen

Lessons learned:

- Attribute erzeugen Redundanzen und Pflegeaufwand.
- Relationen sind zu bevorzugen!

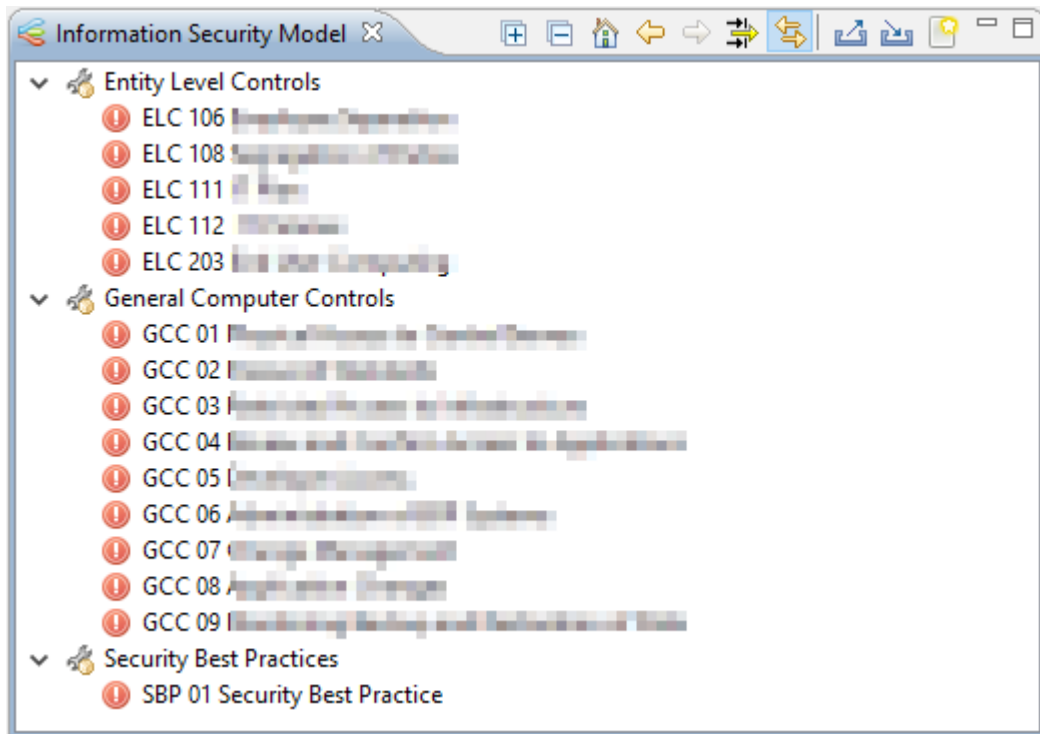
Detective Control ▾

Detective Control

Key Control  
modifies likelihood of  
Preventative control

Preventative control

# CONTROLS



# CONTROL DETAILS

ELC 106

Title: ELC 106

Abbreviation:

Tags: ELC

Document: [Change...](#)

Implementation: unedited

Explanation: 

The company is responsible for the safety of its products and services. It is committed to ensuring that its products and services are safe and reliable. This is achieved through a combination of design, testing, and quality control. The company also has a robust safety culture and a strong commitment to customer safety.

Objective: Quarterly

Implementation date: 06-Jan-2015

Control Strength:

Relations to:

Relation	Title	Scope	Description	C	I	A
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				
modifies impact of	Itron Technology Inventory	Itron_Technology_Inventory				

Anpassungen: 0

# ASSETS



## Technology Inventory(applications):

- 86 assets
  - 46 audited
  - 40 not audited
- 24 obsolete

# ASSET DETAILS

**Itron Tech. Inventory**

Related Business Process

Application Details: Technology Owner  
Application Details: Functional Owner

Hardware Platform Version  
OS/Network Version  
OS/Network Owner  
Database Version  
Database Owner  
Physical Location Facility  
Physical Location Owner  
ITRON Scope  
ICFR  
PII  
Last Updated

Relation	Title	Scope	Description
audited in	3 Quarterly	Itron_Technology_Inventory	
audited in	4 Annually	Itron_Technology_Inventory	
was affected by	2014 - Q4 - Incidents	Itron_Technology_Inventory	
impact modified by	ELC 106	Itron_Technology_Inventory	
impact modified by	GCC 03	Itron_Technology_Inventory	
impact modified by	GCC 04	Itron_Technology_Inventory	
accountable		Itron_Global	

Anpassungen:

- Itron Tech. Inventory mit 14 Attributen

Lessons learned:

- Attribute erzeugen Redundanzen und Pflegeaufwand.
- Relationen sind zu bevorzugen!

# GEPLANTE VERBESSERUNGEN

- Tasks für die Durchführung der Auditaktivitäten
  - Abstimmung mit control owner, Schulung
- Speichern der Auditnachweise
  - Abstimmung mit internem und externem Auditor
- Risk assessment komplettieren (Prozess -> Asset -> Szenario...)
  - Abstimmung mit internem Audit
  - Mögliche Erweiterung auf Prozesse außerhalb GCC



THANK YOU

