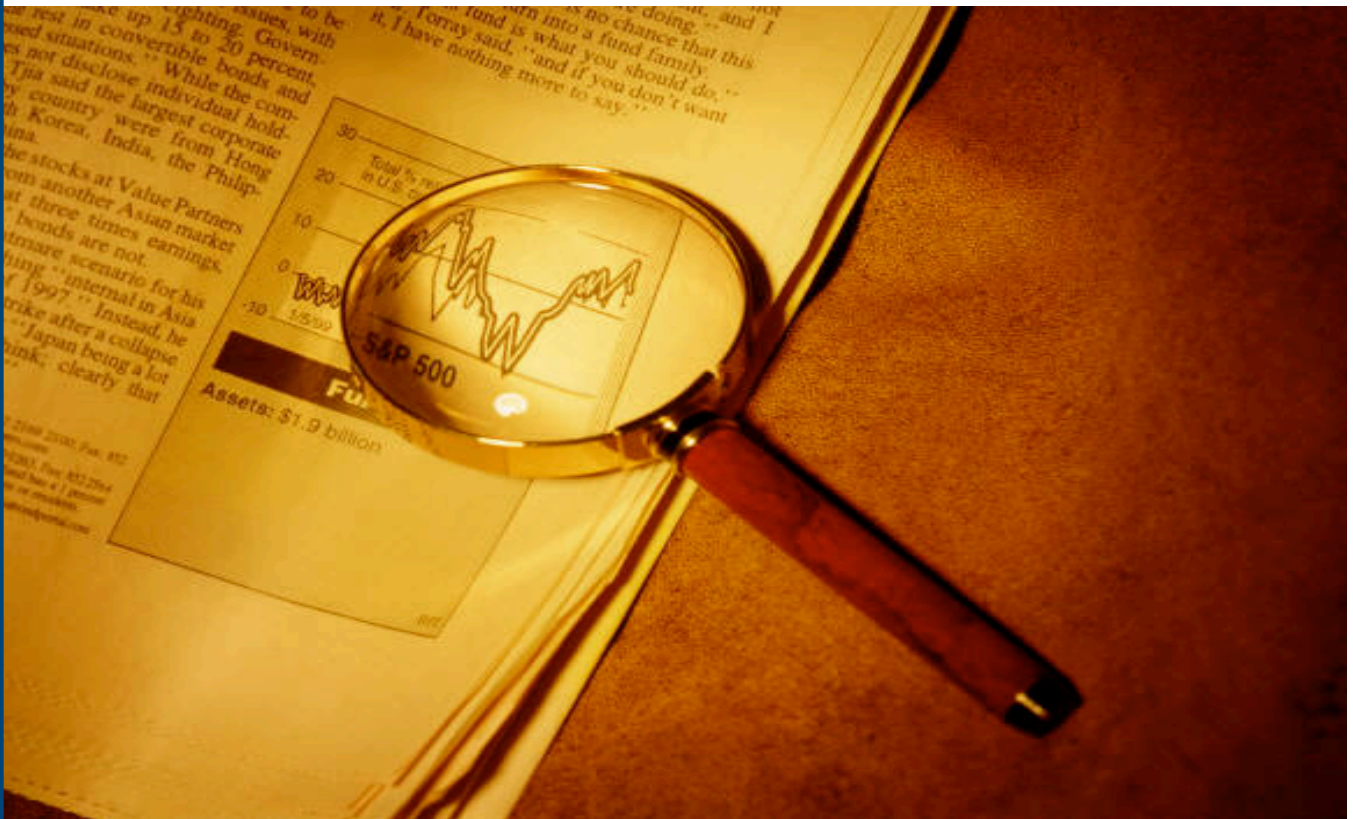


Building a Foundation for RBAC



Case Study

Client Profile

- Premier Investment Company in USA offering more than 300 mutual funds, retirement services, discount brokerage services, estate planning, wealth management and life insurance.
- Strong commitment to continuous improvement, state-of-the-art technology and unparalleled customer service.
- Responsible for many innovations that are standards in the industry today and they reinvest a substantial portion of their revenues each year back into technology to deliver new products and services to investors.

Key Challenges

- Like most organizations the need to comply with both government regulations and internal security audit controls are an ever-present challenge. The client had identified the need to implement a Role Based Access Control (RBAC) model to address some internal audit findings. The client had a well-defined process to handle the disabling and deleting of user accounts upon termination, but the challenge was the transfers of existing users and provisioning of new users with the correct level of access for their job.
- Transferred users would often have entitlements that were carried over from their previous job function. And, in the case of new user creation, the process was to create a new user by mirroring an existing account. This often resulted in the new user gaining extra access rights that they don't need to perform their daily job function.
- In addition, there was no complete and efficient process to review user entitlements to make informed decisions about whether to clean up or retain that level of access.

Solutions

The client's primary requirement was for a tool that provided comprehensive role engineering and role management functionality, to define and manage roles moving forward. The client engaged Simeio Solutions to utilize a leading RBAC technology to assist in the creation of roles to migrate to an RBAC model. Utilizing Simeio Solutions' proven methodology and advanced data mining algorithms in the RBAC technology, the client was able to define enterprise and departmental

roles across 3 platforms and 88 applications. Once users were assigned to roles the client was able to leverage the Role vs. Actual Analysis feature to identify any entitlements that were not required for a user to perform their job. Additionally, the client was able to empower the Business Unit/Manager representatives to certify/revoke user entitlements utilizing the glossary feature that allows for business friendly terms and descriptions to replace technical entitlement names.

The Global User information was imported into the identity warehouse from an authoritative source that the client maintains for its users. The RBAC system received nightly feeds from the authoritative source to imported data for approximately 5000 Global Users which were part of two business units under scope in this project.

The system was then configured to receive data feeds from three platforms; Active Directory Services, UNIX and Top Secret/Mainframe. Additionally, the RBAC system received data feeds from 88 applications classified as tier A and B (high priority Apps) by the client. These Data feeds were used to build account information for the Global Users.

To meet the needs of this client Simeio Solutions used a hybrid approach for role mining. Users were grouped according to Managers and mining was conducted for each group which represented every employee reporting a particular Manager. Initial mining was carried out across the three major platforms to identify clusters of users based on their entitlements. Roles were created based on the mining results.

As the next step, the roles which were created based on the 3 platforms were extended to add attributes from the additional 88 Tier A & B applications. This was accomplished by utilizing the Role Entitlement discovery process. During this initial pass the entitlements were added to a role, based on a certain correlation percentage among the users that belonged to the particular role.

Subject matter experts from the client and Simeio Solutions worked together to define glossary for over 10,000 different access levels across the 3 major platforms.

Simeio Solutions worked with the business unit representatives to review the entitlements that are part of each role and the role each user are assigned to. Business unit representatives, with the help of subject matter experts within their group, decided the final composition of the role. Additionally, auxiliary roles were defined for entitlements which sat

outside the characteristics of the main role. A parent-child relationship was then established between the main role and the auxiliary role.

Business Unit Representatives signed off on the Roles and 'Role Owners' were identified, who would become responsible for any changes made to the role(s) definitions. Based on the exception reports generated from the RBAC system, Business unit representatives initiated the clean-up process to remove all the extra accesses each user had.

Outcome

- The role engineering process resulted in the creation of 267 roles for 3700 employees and contractors (230 Employee roles and 37 Contractor roles). The 267 roles span 3 platforms (Active Directory, UNIX and Mainframe) and 88 applications.
- Business friendly descriptions are now available for 85% of the entitlements across the 3 Platforms and 88 Applications which was achieved in period of one month.
- User entitlement clean-up process was initiated based on user exception reports resulting in over 3000 account deletions in Unix and removal of ADS groups that were no longer being used.
- The rich features in the RBAC system were used to create roles, assigning entitlements to roles and identifying exceptions between user's current access and existing access.
- The role mining and role entitlement discovery capabilities were utilized to define roles in a significantly shorter timeframe than compared to the manual process that was previously used.

Next Step

- The client is actively working on the integration with the RBAC system to export the defined and approved roles into their existing homegrown provisioning application.
- Future plans will be to integrate the RBAC system with a leading provisioning system.
- The client has also expanded the scope to include additional departments, platforms and applications to define roles, which will continue to improve operational efficiencies.



About Simeio Solutions:

Simeio Solutions is a trusted professional services and management consulting company with a singular focus in implementing identity and role based access control solutions. The company has many Fortunes 1000 as its clientele.

Simeio adds strategic insights to its knowledge bank with every identity management implementation. Collectively, this helps the company develop unique and sustainable solutions.

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