

US NAVY AUDIT READINESS & THE ARIS BEAR



CONTEXT

For a large financial audit readiness engagement, the US Navy FMP (Finance, Management and Policy) received Notices of Findings and Recommendations (NFRs) that would require action to resolve. This action could be changes to Governance, Risk & Compliance assets - i.e., any combination of policies, controls, processes and technology needed to improve the transparency and audit-readiness of US Navy financial systems.

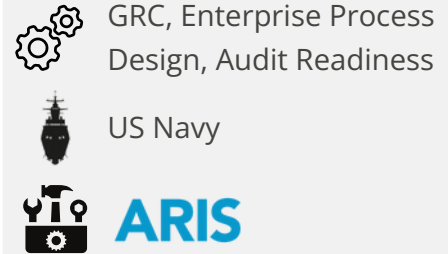
CLIENT CHALLENGE

The client needed to understand the impact of the NFR's on a complex combination of policies, risks, controls, processes and (sometimes outdated) technology. At the same time, they needed an easy way for SME's to collaborate to improve the complex content over a web portal. Existing model-based systems were difficult for non-IT experts to use, and narrowly focused on EA technology system documentation and design. They did not have strong digital collaboration, analysis, or web portal customization flexibility needed to widely deploy and scale GRC/process-related design to hundreds of users.

OUR APPROACH

We helped the client develop requirements and a software solution for enterprise GRC & process design (ARIS). Then, we installed, supported and maintained the solution in a secure enclave, customizing and tailoring the web portal features to deliver maximum usability and automation.

SNAPSHOT



PAIN POINTS

- Complex set of information needed audit readiness
- Existing modeling technology is built for “engineers” and difficult to use
- Slow, manual processes needed to review and validate remediation actions

RESULTS

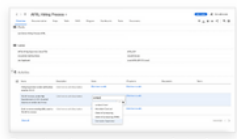
- BEAR repository installed, maintained and trained / supported for a wide audience
- Thousands of artifacts (e.g., control catalogs, processes) cataloged and modeled
- Improved transparency - NFR remediation actions and status analyzed and reported
- Re-usable EA content for continued technology rationalization & design efforts

The intent of this EA repository was to contain business-process and GRC related data, so the client called it the “Business Enterprise Architecture Repository (BEAR)”. We developed training and side-by-side mentoring to help users load, analyze, and deploy content to the web portal to help meet the challenges.

ARIS “BEAR” CENTRAL REPOSITORY: VIEWS & QUESTIONS ANSWERED



End users view & comment on over models



Content owners update key fields over web portal



ARIS power users model & analyze



Leadership use web portal ARIS Dashboards

- What are the NFRs related to each system?
- What NIST standards did the NFR fail? What other NFRs relate to the same NIST?
- Which IT Control Standards does NIST refer to?
- What FISACAM Control Objectives to do the NIST Standards map to?
- How can system owners create, implement, and close out CAPs? What are the CAP details?
- Who are the CAP / NFR owners?

RESULTS & BENEFITS

Leveraging the ARIS Business Enterprise Architecture Repository delivered key benefits:

- **Widely available collaboration** of multiple Subject Matter Experts (SME’s) over web portal process / GRC modeling, helping to speed up and improve quality of NFR remediations
- **Customizable ARIS web portal** allowed custom workflow development to approve NFR remediations with key stakeholders
- **Repository of re-usable assets** for other purposes - e.g., Enterprise Architecture analysis of technology assets, and risk-based system portfolio investment decisions (see our [application rationalization](#) and [EA COE](#) case studies)

WORDS OF ADVICE

Getting value from a Business Enterprise Architecture Repository (BEAR) can come from many angles - such as audit readiness with [GRC](#), [process improvement](#), and [Application / IT Portfolio Management](#). The tooling is only the start of that journey, and sustained value requires an EA Center-of-Excellence (COE) to focus on three areas: content, adoption and governance, to ensure the EA data is high quality and trusted, and ensure it can be used for analysis and solution development.