ACTIVE Governance™

ACTIVE Governance Platform User's Guide

Software Version 7.0

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Chapter 1

Introducing ACTIVE Governance Platform

ACTIVE Governance both documents and enforces business controls, enabling users to demonstrate regulatory compliance and to promote operational efficiency. Users may create controls (and supporting elements) one at a time, or upload and adapt a selection of "seeded" controls.

An essential aspect of creating controls in ACTIVE Governance is to describe and catalog them, enabling a company not only to manage its controls effectively, but also to demonstrate compliance with requirements imposed by regulations such as the Sarbanes-Oxley Act. For this documentary purpose, an ACTIVE Governance Platform enables users to do the following:

- Maintain a "control library," which contains not only controls themselves, but also elements that show how each control affects the operations of the company. Each control is linked directly to a control objective; identified as a component of subprocesses, processes, policies, policy sections, and business cycles; and associated with risks that the control is meant to address.
- Record a text description of each control-library element, together with assessments of its effectiveness. For each control, record a rating of its relative importance and a likelihood that the company will fail to meet the conditions defined by the control.
- Assign "dimensions" to each control-library element. A dimension is a segment of a business environment — such as a region, department, or line of business — to which elements are applied.

- Assign “attributes” to each control-library element. An attribute is a category of values that describe the qualities or nature of an element.
- Configure control-library elements, likelihoods, ratings, dimensions, attributes, and other components used in controls documentation.
- Create workflows. When control-library elements are created or modified, they must be approved. A workflow defines a sequence in which approval requests are distributed to users or user groups. Each consists of a “workflow routing” and a “workflow definition”; the former selects the users and groups who are to receive and answer approval requests, and the latter maps the workflow routing to items in need of review.
- Review approval requests at a Task Inbox.
- Manage ACTIVE Governance users and user groups.
- Review “dashboards” and reports. The former present summary information, and the latter detailed information, about controls and their approval status.

Because ACTIVE Governance is intended to fulfill this documentary purpose, a company would use it to create records of all its controls — even those that are executed manually. For those controls that are to be automated, however, the ACTIVE Governance Platform serves as a foundation for the following three modules, which offer enforcement capability. (Your implementation necessarily includes the ACTIVE Governance Platform, and may include any combination, or none, of the other three modules.)

- ACTIVE Access Governor defines and detects segregation-of-duties conflicts, either preventing them from occurring or uncovering them so that they can be properly managed. It can identify conflicts at both the responsibility and function levels in Oracle Applications. ACTIVE Access Governor also grants users temporary access, on an emergency basis, to duties they do not ordinarily fulfill, and then guards against potential conflicts by auditing all actions performed by such users.

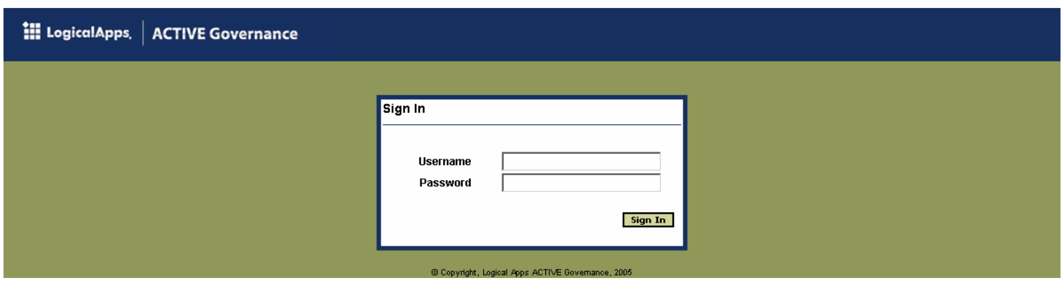
  In support of ACTIVE Access Governor, the ACTIVE Governance Platform enables users to create workflows that distribute emergency-access requests for review, and it presents these requests for approval at the Task Inbox. It also displays an array of reports specific to ACTIVE Access Governor
- ACTIVE Policy Governor enables users to create “control monitors.” Each uses structured query language (SQL) to define actions subject to control, and each generates “suspects” — instances of potential control violations. Either within ACTIVE Policy Governor itself or within the ACTIVE Governance Platform, users can create workflows that distribute suspects for review; the Task Inbox displays requests to review suspects. Moreover, a control monitor can be used only if it is attached as an “automation” to a control definition in the ACTIVE Governance platform.
- ACTIVE Data Governor implements control rules in Oracle Applications. These rules define and apply business processes (sets of actions to be completed in specified sequences); customize Oracle Applications forms, modifying their secu-

rity, navigation, field, and data properties; audit change at both the database and form-field levels; and apply change control to form fields. Each of these control rules may also be attached as an "automation" to a control definition in the ACTIVE Governance platform.

Starting ACTIVE Governance Platform

ACTIVE Governance Platform is a web-based application designed to run in Microsoft Internet Explorer. (It may run in other browsers as well, but only Internet Explorer is supported.) To start ACTIVE Governance Platform:

1. Open Internet Explorer.
2. In the Address field, type the URL for your instance of ACTIVE Governance Platform, and press the Enter key.
3. A Sign In dialog box appears. Type your user name and password, and click on the Sign In button.



Using standard Windows procedures, you can, of course, save the URL as a favorite or create a desktop shortcut to the URL.

Access to Features in ACTIVE Governance Platform

The ACTIVE Governance Platform displays up to seven tabs in a horizontal row near the top of each of its forms, as well as four links at the upper right corner of each form; these provide access to ACTIVE Governance features. While the four links are always available to all users, your access to the tabs depends in part on what modules are in use at your site.

How Tabs Correlate to Modules

The four links provide the following functionality, regardless of what modules are installed:

- Tasks: Open the Task Inbox to review and respond to approval requests, notifications, and (if your site uses ACTIVE Policy Governor) suspects.

- Profile: Configure an "out-of-office assistant," which forwards tasks to other users if you are unavailable to review them. Configure filters that determine which elements are selected for display in the control library.
- Sign Out: Log off of the ACTIVE Governance Platform.
- Help: Review ACTIVE Governance documentation.

Four of the tabs belong to the ACTIVE Governance Platform:

- Home: View two sets of dashboards. One summarizes the controls environment, and the other is tailored for use by auditors.
- Control Library: View, create, or edit entries that define and document controls, control objectives, subprocesses, policies (and policy sections), processes, cycles, and risks.
- Reporting: Generate and view reports that serve as records of control configuration; that document segregation-of-duties rules and present the results of conflict analysis, if your site uses ACTIVE Access Governor; and that show the effects of rules that enforce change control on Oracle Applications fields, if your site uses ACTIVE Data Governor.
- Administration: View, create, or edit items used in defining controls, such as dimensions, attributes, likelihoods, and ratings. Import controls. Manage Active Control Center users and user groups. Configure workflow routings and workflow definitions. Configure data sources (connections to database instances to which controls are to be applied).

Another two tabs are available only if your site uses ACTIVE Access Governor:

- Segregation of Duties: Review or create segregation-of-duties rules. Evaluate them to uncover conflicts, and assign status to those conflicts that are subject to review. Simulate the effect of remedial actions, such as changes to the assignment of functions to responsibilities, and carry out those actions if the simulation shows that they reduce conflicts.
- Access Monitoring: Configure and send requests for users to receive temporary access to duties they do not ordinarily perform.

A final tab, Control Automation, is accessible only if your site uses ACTIVE Policy Governor. From it, view or create control monitors, workflow routings, and workflow definitions.

User Roles

Each user is assigned a role when his user account is created. While your access to ACTIVE Governance may be limited by the selection of modules you have installed, it is limited further by your role, which provides edit access to some features (you would be able to view, create, and edit items) and view access to other features (you would be able to view items, but not create or edit them), and may provide no access to still other features. The rights available to each role are discussed in detail in Chapter 2; for now, be aware that an individual user has full access to only some of the features discussed in this manual.

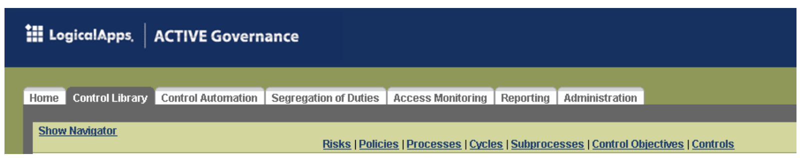
Conventions

As you work with the ACTIVE Governance Platform, you'll make repeated use of the following features.

Library Navigator

Each tab in the ACTIVE Governance Platform provides access to a set of related tasks. However, when you select a tab you open a panel that focuses on one of these tasks. For example, the control library manages not only controls, but also all of the elements that provide context for controls. When you select the Control Library tab, however, a List Controls panel enables you to view, create, or modify controls, without reference to the other elements that can be created.

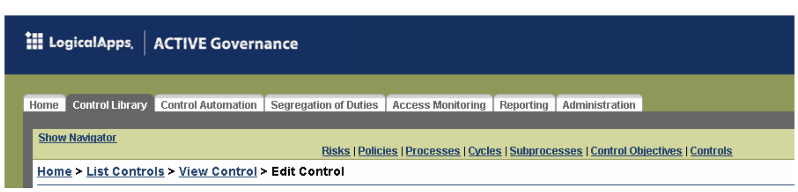
In most cases, a "Library Navigator" — a horizontal string of links near the top of the panel (beginning with the word *Risks* in the figure below) — provides access to the related tasks. Click on any of the links to open screens that support those tasks.



Note
This Library Navigator feature is available in several of the panels you can select: those available from the Home and Control Library tabs, as well as the Tasks and Profile links, in ACTIVE Governance Platform; the Segregation of Duties tab in ACTIVE Access Governor; and the Control Automation tab in ACTIVE Policy Governor. Alone among them, however, the control library offers expanded navigator features that enable you to locate and select individual instances of control-library elements. For more on these enhanced navigator features, see "Using the Enhanced Navigator" on page 41.

Breadcrumbs

Once you have selected a link in the Library Navigator and begun to select options within the panel it opens, the ACTIVE Governance Platform leaves a trail of "breadcrumbs" — a string of links to each of the screens you have navigated to reach the screen you are using, culminating in the title of the current screen. (In the figure below, the breadcrumbs trail begins with the word *Home*.) To return to any of the earlier screens, click on its link.



Sorting and Selecting Items in Lists

Several panels in ACTIVE Policy Governor present lists of items. For example, the following illustration shows a list of controls:

Control ID	Name	Description	Risks	Policies	Processes	Cycles	Subprocesses	Control Objectives	Rating	Automation
CA-00-6981	Management establishes a process for financial rep...	Management establishes a process for financial reporting based on the specific characteristics of the organization and that complies with generally accepted accounting principles and regulatory requirements. These characteristics are formally documented, approved, and reviewed on a regular basis.	0	0	1	0	1	1	Critical	No
CA-01-9877	The fixed asset register and/or master file data a..	The fixed asset register and/or master file data are periodically reviewed by management for accuracy and ongoing pertinence and are reconciled to the corresponding general ledger accounts. Any reconciling items are identified and addressed in a timely manner.	0	0	1	0	1	1	Critical	No
CA-12-1234	Review slow moving inventory	Inventory supervisors examine inventory reports to identify items that have not been transacted within the last 200 days (900 on Vision). These items will be considered dormant and may be subject to review.	0	0	0	0	0	0	Critical	Yes
CA-00-3004	Disbursements at, before, or after the end of an a...	Disbursements at, before, or after the end of an accounting period are scrutinized to ensure complete and consistent recording in the appropriate accounting period.	0	0	1	0	1	1	Key	No
CA-00-2969	Statements received from suppliers are reconciled ...	Statements received from suppliers are reconciled to the supplier accounts in the accounts payable subledger regularly and differences are investigated.	0	0	1	0	1	1	Key	No

< Previous Page Show 5 Results Result 6-10 of 15 Page 2 of 3 Next Page >

Each of these lists implements the following conventions:

- In the header row, some column headings are underlined. Each of these is a sort column. When you click on one of these headings, the contents of its column are arranged in alphanumeric order; the values in other columns are arranged appropriately so that records remain intact.
- In the footer row, you can select a number in the Show Results list box to determine how many rows the list displays at once. The list entries are divided into pages, each of which consists of the number of rows you've chosen to display. To move to another page than the one currently displayed, click on its number in the Page list box. Or, click on the Next Page or Previous Page link, each of which is present only if there is a next or previous page to go to.

Date Fields

As you create an item in ACTIVE Governance, you typically set a range of dates during which the item remains in effect. To do so, you use fields labeled *Effective From* and *Effective To*.

By default, the Effective From field is set to the date on which you create the item, and the Effective To field is blank. If you accept these values, the item takes effect immediately (or, in some cases, immediately upon approval) and remains in effect indefinitely.

You may, however, choose to modify these values. If so, you can type a date directly in either field, in the format *DD-MMM-YYYY*. Alternatively, you can click on a grid-like icon next to the field, and a pop-up calendar appears. In it, click on the < or > symbol surrounding a month name or year to display an earlier or later month or year; then, in the calendar, click on the date you want. The pop-up window closes, and the date you selected appears, correctly formatted, in the field.

Chapter 2

User Administration

Although there is no one "correct" order in which to complete tasks as you set up controls in ACTIVE Governance, you may be well advised to configure user accounts and user groups first. That's because each user is assigned any one of eight roles: Author, Manager, Rule Builder, SOD Super User, Executive, User, Auditor, or System Administrator. Each role has its own set of privileges. For example, only an Author can create or modify Control Administration items that serve as "building blocks" for other items. For that matter, only a System Administrator can create or modify users and user groups. Some roles, such as Auditor, have primarily review responsibilities. So it's necessary to create users who can complete the various configuration and review tasks.

Moreover, control-library elements, once created or modified, must be approved before they can be used. For that purpose, you need to configure workflow routings (and definitions) before you create any control-library elements; before doing that, you need to set up users or user groups called by workflow routings.

ACTIVE Governance comes with one user configured at each role. In each case, the password for the user is the same as the username (which is usually the name of the user role followed by the number *1*, but in any event is displayed in a List Users panel). There is also an ACTIVE Governance super user, whose username and password are both *ag*. (Privileges assigned to each of the other roles are discussed in the next section, but the ACTIVE Governance super user has view, edit, and create privileges to all ACTIVE Governance features.) It's imperative for proper security that an authoritative user modify the passwords for all these users as soon after installation as that task can be completed.

User Permissions in ACTIVE Governance

Every user has access to dashboards and reports (although the selection of dashboards varies by user role) and to the Task Inbox. If ACTIVE Access Governor is installed, every user also has rights to the Access Monitoring tab, and so can send requests for users to receive temporary access to duties they do not ordinarily perform. Apart from these, each user has the rights available to the role he has been assigned, as shown in the following tables:

Privilege	Author	Manager	Rule Builder	SOD Super User
In the ACTIVE Governance Platform				
Control Library	C	C, A	C, A	C, A
Control Administration	F	V	N	N
User Administration	N	N	N	N
Workflow Administration	F	F	F	F
System Administration	D	D	N	N
If ACTIVE Access Governor is installed				
Segregation of Duties	C	C	C	F
If ACTIVE Policy Governor is installed				
Control Automation	F	F	F	F

Privilege	Executive	User	Auditor	System Administrator
In the ACTIVE Governance Platform				
Control Library	C	E	V, A	V
Control Administration	V	V	V	N
User Administration	N	N	V	F
Workflow Administration	V	V	V	N
System Administration	N	N	D	F
If ACTIVE Access Governor is installed				
Segregation of Duties	V	V	V	V
If ACTIVE Policy Governor is installed				
Control Automation	V	V	V	V

Letter values in these tables indicate the following.

On the Control Library tab:

- **V:** View. Open lists of control-library elements (one list of each type). View configuration details for individual elements in lists. Do not create or modify elements.
- **E:** Edit. Open control-library element lists. View and edit configuration details for individual elements in lists. Do not create elements.
- **C:** Create. Open control-library element lists. Create, edit, and view configuration details for individual elements in lists.
- **A:** Assess. Configure assessments of control-library elements. (Users without this privilege can view, but not create, assessments.)

Features accessible through the Administration tab divide into four areas. Control Administration manages items configured as "building blocks" of control-library elements, including dimensions, attributes, likelihoods, ratings, and ID value sets; it also permits the importing of controls. User Administration manages the creation of accounts for individual users, and of user groups. Workflow Administration manages workflow routings and workflow definitions. System Administration manages data sources and other system-level properties. For each, users may have these rights:

- **V:** View. Open panels that show configured settings; do not modify or create values.
- **F:** Full. Create, modify, or view settings.
- **D:** Create or modify data sources only.
- **N:** No rights.

On the Segregation of Duties tab:

- **V:** View. Open a list of SOD rules, but do not view configuration details for individual rules. View conflicts generated by individual rules (and their status), but do not update status. View a list of "entity groups" (collections of functions or responsibilities that may be included in SOD rules) and configuration details for individual groups, but do not create or edit groups. View rules that simulate changes intended to resolve conflicts, but do not create or update them; view simulation results. In the Library Navigator, have access only to options that support these rights.
- **C:** Create. View, create, and edit SOD rules. View conflicts generated by rules and assign status to them. Create, edit, and view entity groups. View, create, and edit simulation rules; run simulation and view results. Have full access to the Library Navigator.
- **F:** Full. Enjoy all the privileges available to a Create user; in addition run remediation (put simulated conflict resolutions to actual use).

On the Control Automation tab:

- **V:** View. Open lists of configured control monitors, workflow routings, and workflow definitions, and view configuration details for individual items in lists. Do not create or modify these items.
- **F:** Full. Open control monitor, workflow routing, and workflow definition lists. Create, edit, or view items in these lists.

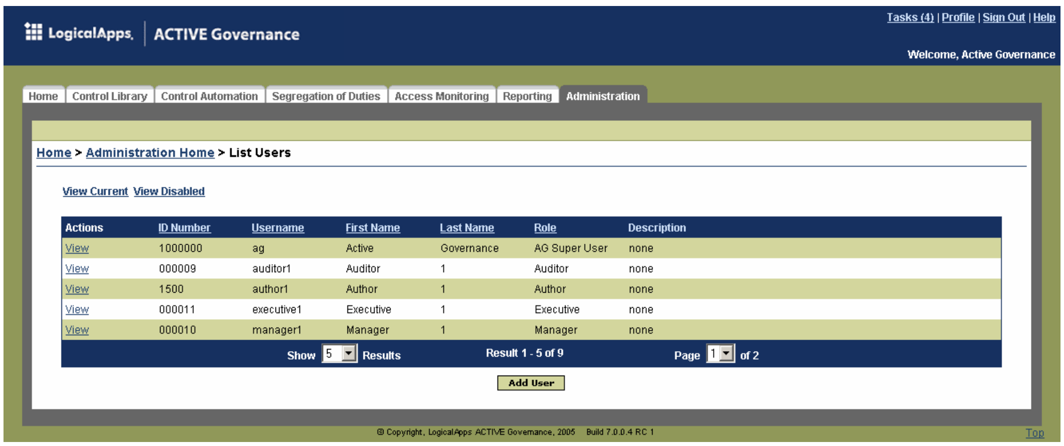
Users and Groups as Approvers

Users may be named in workflow routings, and so serve as approvers of suspects, control-library elements, or access-monitoring requests. User groups exist solely for that purpose. You may want to allow only users at certain roles to perform approval tasks. If so, be aware that a user at any role can be added to a routing or a group; it's incumbent on you to make sure that only users at the proper roles are. Keep in mind also that ACTIVE Governance prevents a user from creating or modifying a control-library element if workflows are configured so that the user, individually or as a group member, would be an approver for the element.

Displaying a List of Users

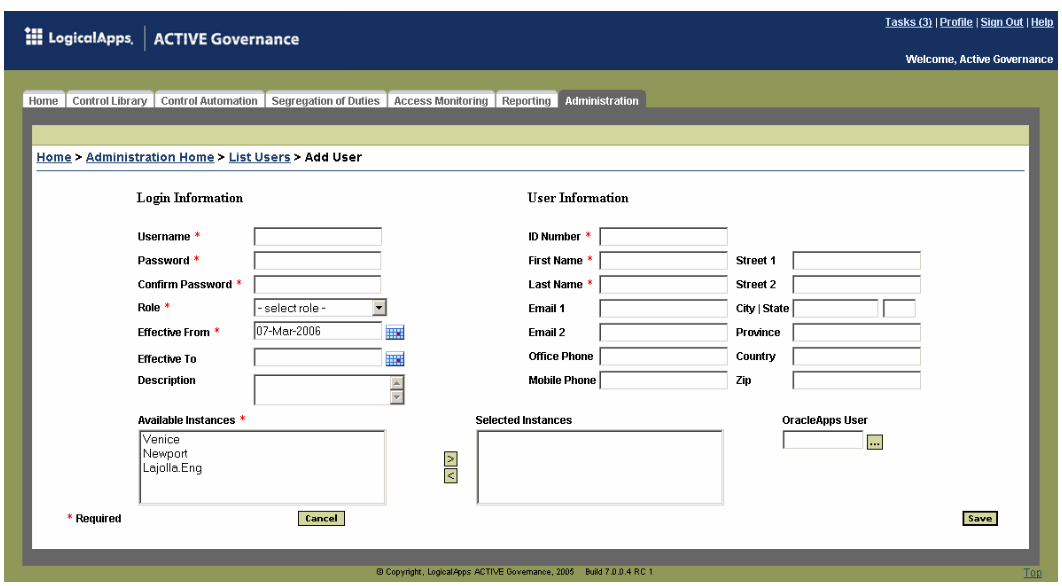
Only a system administrator or an ACTIVE Governance super user can add or edit a user or group. An auditor can view user configuration without changing it. As you read the rest of this chapter, you are assumed to have been assigned one of these roles.

To view, add, or edit a user, begin by clicking on the Administration tab. Then click on the Manage Users link in the User Administration section of the Administration Home. A List Users panel then displays active users and presents information about each — an ID number and username (either of which can serve as a unique identifier), the user's first and last names, the role assigned to her, and a description. Users may be disabled (and if so lose access to ACTIVE Governance); you can produce a separate list of these users by clicking on the View Disabled link, and then restore the list of active users by clicking on the View Current link.



Adding a User

To add a new user, click on the Add User button in the List Users panel. The following Add User panel appears:



In the Login Information section, provide information that is used by ACTIVE Governance:

1. In the Username field, type a name by which the user identifies herself as she logs on to ACTIVE Governance. A username consists of alphanumeric characters without spaces; letters should be lowercase.

   If a user is to work with features available from the Segregation of Duties tab, it's recommended (although not necessary) that her username match her logon ID in the environment where SOD rules will be applied (for example, an Oracle Applications database instance). Case is not significant in determining a match.

2. In the Password field, type a password with which the user validates her username as she logs on. Retype the password in the Confirm Password field. A password must consist of at least eight characters, taken from at least three of four character sets: uppercase letters, lowercase letters, numbers, and special characters (!@#$%&*). Moreover, the password cannot match the username.

3. In the Role field, select the role that the user is to fulfill (see "User Permissions in ACTIVE Governance," page 8).

4. Select starting and ending dates for the user in the Effective From and Effective To fields, respectively. (See "Date Fields," page 6.)

5. Optionally, type a brief description of the user in the Description field. It appears in the Description column of the user's entry in the List Users panel.

6. If ACTIVE Access Governor is installed, select database instances in the Available Instances/Selected Instances pair of fields.

   The Available Instances field lists databases configured to connect to ACTIVE Access Governor (through use of the Manage Data Sources feature on the Administration tab). These databases store data to which access controls may be applied.

   To enable the user you are configuring to create SOD rules or use access monitoring in one of these databases, highlight it in the Available Instances field and transfer it to the Selected Instances field. When the user clicks on the Segregation of Duties tab or the Access Monitoring tab, the database is then available to be chosen in a Select SOD Database Instance field.

   To highlight a database, click on it. Click on the > button to transfer it to the Selected Instances field (or on the < button to return it to Available Instances).

7. Associate each database you select in step 6 with the Oracle logon ID used in that database by the ACTIVE Governance user you are creating. If you do not complete this step, the user is unable to access the Segregation of Duties and Access Monitoring tabs. For each database, complete this process:

   Highlight (click on) the database in the Selected Instances field. In the OracleApps User field, click on the ellipsis icon; a pop-up window opens. In its Key Word field, type the first few letters of the username you want; then click on the Search button. The window presents a list of usernames that begin with your search string; click on the one you want. The pop-up window closes, and the username you selected appears in the OracleApps User field.

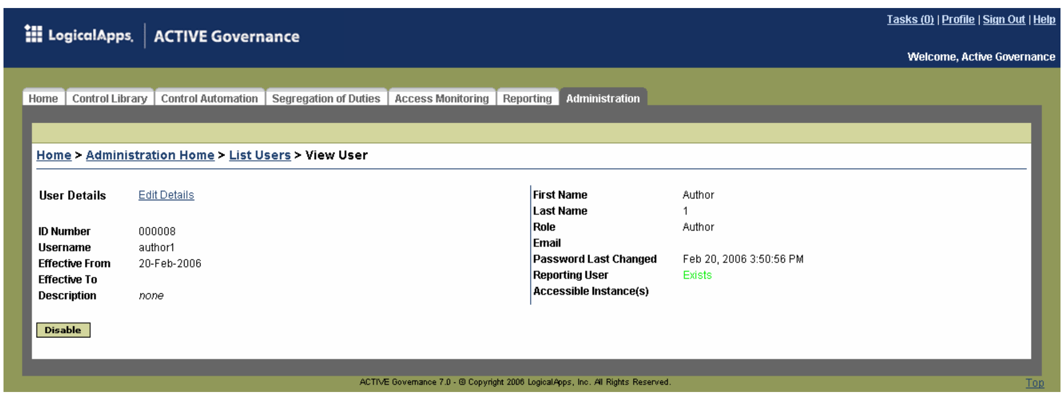
In the User Information section, provide data that identifies the user:

1. In the ID Number field, enter an ID number for the user. The intention is for this number to be unique, and therefore to distinguish the user from others when there is no other distinction (for example, when users have the same names). Use any format.
2. In the First Name and Last Name fields, enter the user's given name and surname.
3. Optionally, provide tracking information in the remaining fields: first and second email addresses, office and mobile phone numbers, and physical address information. ACTIVE Governance does not use this information for any purpose.

When you finish supplying information, click on the Save button. ACTIVE Governance returns to the List Users panel, with an entry for the new user in the list.

Viewing and Editing a User

Although the List Users panel presents a summary of the information configured for each user, you can see detailed information for one user at a time by clicking on the View link in the Actions (leftmost) column of that user's entry on the List Users panel. A View User panel opens:



Setting the Reporting User

In addition to items detailed in "Adding a User" (page 10), the View User panel displays an entry for Reporting User. Reports are generated by third-party software called Business Objects. Typically, the act of creating a user in ACTIVE Governance creates the user in Business Objects as well. If so, the Reporting User entry reads "Exists," and the user can view reports.

Occasionally, a user is created in ACTIVE Governance while Business Objects is inaccessible. If so, the Reporting User entry reads " Not Available," and the user cannot view reports. In this case, edit the user's account while Business Objects is running, enter a new password in the Password and Confirm Password fields, and save the user. The Reporting User entry would then change to "Exists," and the user would be able to view reports.

Disabling and Re-Enabling a User

A user may be disabled. If so, the Effective To value for the user is set to the current date, and he loses his access to ACTIVE Governance. However, for auditing purposes he remains in the system as a disabled user. To disable a user:

1. Open the View user panel for the user you want to disable.
2. Click on the Disable button.
3. A Confirm Disable Users panel prompts you to corroborate your intention to disable the user. Click on its Disable button; the List Users panel reappears, with the user removed from the list.

You can view entries for disabled users by clicking on the View Disabled link in the List Users panel. To re-enable a disabled user, locate his entry, click on its View link to open it, delete the Effective To date, and save the user.

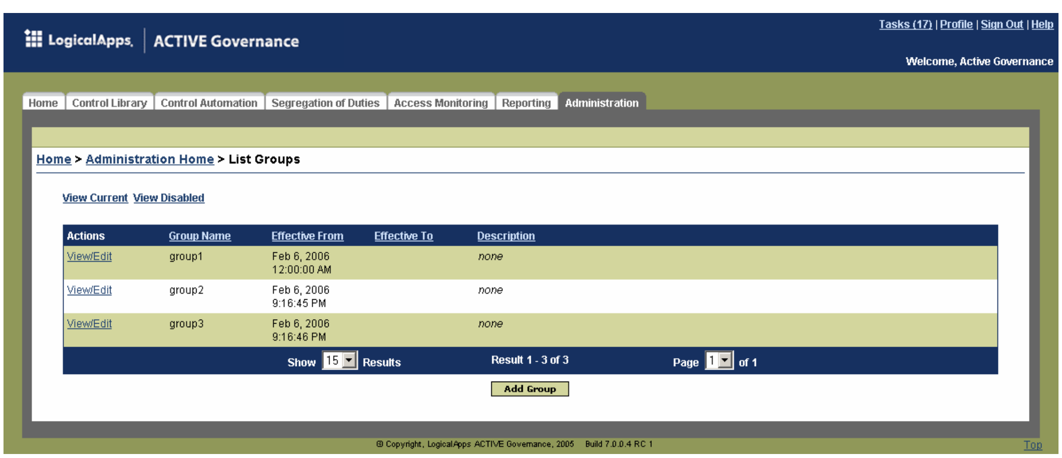
Editing Other User Values

To edit any of the current values for a user, locate his entry in the List Users panel, click on the View link to open the View User panel, and click on the Edit Details link.

This opens an Edit User panel — in all but name a copy of the Add User panel, with the current values for the user displayed in its fields. Modify any of the values (see “Adding a User” on page 10 for descriptions of the information you can provide), and click on the Save button. ACTIVE Governance returns to the List Users panel.

Displaying a List of Groups

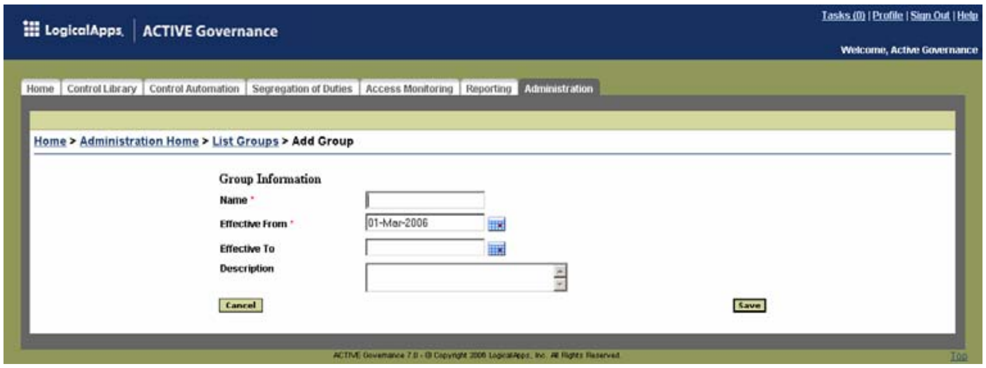
To view, add, or edit a user group, begin by clicking on the Administration tab. Then click on the Manage Groups link in the User Administration section of the Administration Home. A List Groups panel then displays active groups and presents information about each — a name, effective dates, and a description. Like users, groups may be disabled; you can produce a separate list of these groups by clicking on the View Disabled link, and restore the list of active users by clicking on the View Current link.



Adding a Group

To create a group is to give it a name, describe it, and assign it effective dates. After it's been created and saved, you edit it to assign members to it. To create a group:

1 Click on the Add Group button in the List Groups panel. The following Add Group panel appears:



2 In the Name field, type a name for the group.

3 Select starting and ending dates for the group in the Effective From and Effective To fields, respectively. (See "Date Fields," page 6.)

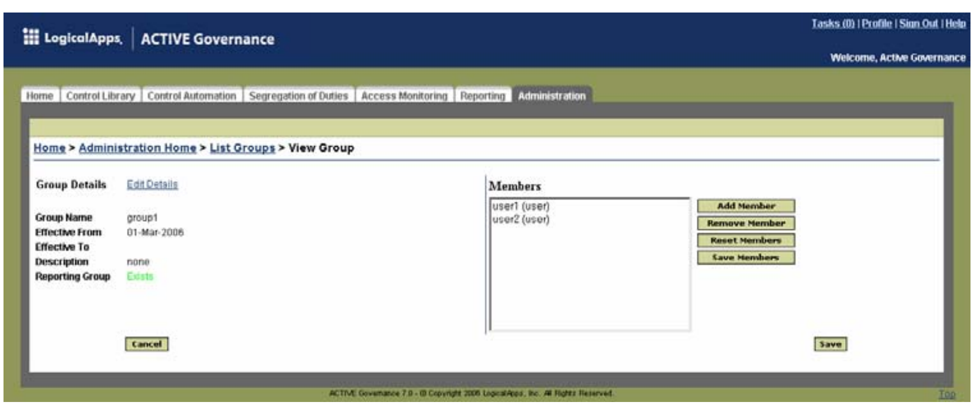
4 In the Description field, type a brief explanation for the purpose of the group. appears in the Description column of the group's entry in the List Groups panel.

5 Click on the Save button. ACTIVE Governance returns to the List Groups panel, with an entry for the new group in the list.

Assigning Members to a Group

Either individual users or groups may be members of a group. To add members to, or remove them from, a group:

1 Click on the View/Edit link in the Actions (leftmost) column of that group's entry on the List Groups panel. A View Group panel appears:



2 If you want to add members, select them. (If not, skip to the next step).

- **a** Click on the Add Member button (located at the top of the set of four buttons near the right of the panel). A pop-up window displays two lists, one of users and one of groups configured on your system. (Because it would make no sense to add the group you are configuring as a member of itself, the group is excluded from the list.)
- **b** For each user or group you want to add, click on the Add link at the left of its entry in the pop-up window. The user or group then appears in the Members field on the View Group panel.
- **c** When you finish selecting members, close the pop-up window: Click on its Close button or on the × symbol in its upper right corner.

3 If you want to remove members, select them. (If not, skip to the next step.)

- **a** In the Members field, highlight members you intend to remove. Click on a member to highlight it. Or, to highlight a continuous set of members, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous set, hold the Ctrl key as you click on items.
- **b** When you finish highlighting members you want to remove, click on the Remove Member button (second in the set of four buttons near the right of the View Group panel).

4 Optionally (if you are dissatisfied with your selections so far), restore the list of members to its state the last time it was saved. Click on the Reset Members button (third in the set of four at the right of the View Group panel). Then make new additions and removals.

5 When you are satisfied with the group membership, save it. Click on either the Save Members button (fourth in the set of four) or on the Save button (near the lower right corner of the View Group panel). Either button does the same thing as the other.

Editing a Group

To modify the name, effective dates, or description of an existing group, locate its entry in the List Groups panel, click on the View/Edit link to open the View Group panel, and click on the Edit Details link. This opens an Edit Group panel — a copy of the Add Group panel with the current values for the group displayed in its fields. Modify the name, dates, or description (as discussed in "Adding a Group," page 14), and click on the Save button. ACTIVE Governance returns to the View Group panel.

If you create a group, then include it in a workflow routing, and subsequently change its name, the group remains selected in the workflow routing, with its name updated to reflect the change.

You can disable a group. If so, it is no longer available for use, and any workflow routings in which it had been included would have to be reconfigured. For auditing purposes, however, it remains available in the system as a disabled group.

To disable a group, set its Effective To value to the current date. To re-enable a group, delete its Effective To value (or set it to a future date). You can view entries for disabled groups by clicking on the View Disabled link in the List Groups panel, or restore the listing of active groups by clicking on the View Current link.

Setting the Reporting Group

The act of creating a group, like a user, in ACTIVE Governance also typically creates the group in Business Objects as well. If so, the group as a whole may be given access to reports and members of the group can view the reports. In this case, a Reporting Group field in the View Group panel reads “Exists.”

However, a group may be created in ACTIVE Governance while Business Objects is inaccessible. If so, the Reporting Group field reads “Not Available,” and members of the group can view its reports only if they have access to the reports as individuals.

To update a Reporting Group value from Not Available to Exists:

1. Click on the Administration tab, and then on Report User/Group Propagation in the User Administration section of the Administration Home. A Confirm Propagate Users panel prompts you to corroborate that you want to update reporting user and groups.
2. Optionally, click on a Simulate button. The Confirm Propagate Users panel then displays the effect of a propagate action — which users and groups already exist as reporting users and groups, and which would be updated.
3. Click on the Propagate button. Users and groups are created on Business Objects as necessary, and the Confirm Propagate Users panel reports results.

Chapter 3

Control Administration

Before you can create controls, you must create components used by controls (and in some cases elsewhere): dimensions, attributes, likelihoods, ratings, and ID value sets. To work with any of these items, click on the Administration tab, and then select an appropriate link in the Control Administration section of the Administration Home.

Who Can Do This?

Only a user at the Author role has rights to create and edit control administration items. Managers, Executives, Users, and Auditors can view, but not alter, control administration configuration. Other users have no rights to control administration. This chapter is written in the assumption that you are an Author and have create, edit, and view rights.

Creating Dimensions and Attributes

A dimension is a segment of your business environment to which a control-library element applies. For example, it may be a region or a department. An attribute is a category of values that may describe the qualities or nature of a control-library element. For example, it may show where a control fits in the COSO control framework.

To configure a dimension or an attribute, first name the item — for example, "Region" as a dimension. Next, assign values appropriate for the item, such as "East" and

"West" as regions. (Ultimately, a user who creates a control-library element selects one or more of these values for it — in this example East, West, or both.)

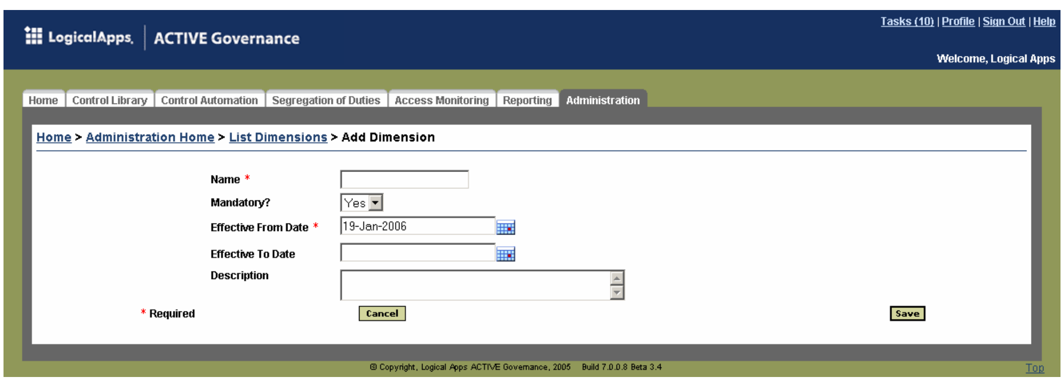
While meaningful in themselves, dimensions and attributes also serve as filters to determine who can approve either the creation or modification of control-library elements, or of suspects generated by control monitors. (See Chapter 3, "Creating Workflows.") For example, a control designated for use in the Eastern region might be sent for approval to a group charged with overseeing controls for that region.

Moreover, in a special case, a dimension may be included in a SQL query that selects the suspects generated by a control monitor. If so, the dimension serves as one of the selection criteria by which the control monitor generates suspects: the SQL query selects only those records for which the value of a specified database table column matches the dimension value. When a dimension is configured for this purpose, it should be configured to have only one value. Its use enables end users to select the dimension value used for filtering suspects by reconfiguring the dimension rather than rewriting the SQL code that defines the control monitor.

To create a dimension or attribute:

1 From the Administration Home, click on the Manage Dimensions link or on the Manage Attributes link. A List panel displays the names of existing dimensions or attributes and, for each, a description, its effective dates, and whether its use is mandatory.

2 To edit an existing dimension or attribute, click on its name in its list. To create a new one, click on the Add Dimension button or the Add Attribute button. A form like the following one appears:



3 In the Name field, type a name for the dimension or attribute.

4 In the Mandatory list box, select Yes to require a user to choose at least one value for this dimension or attribute as he creates a control, or select No to make this item optional. (This setting applies only when dimension or attribute values are selected for controls. Dimensions and attributes are always optional for other control-library elements.)

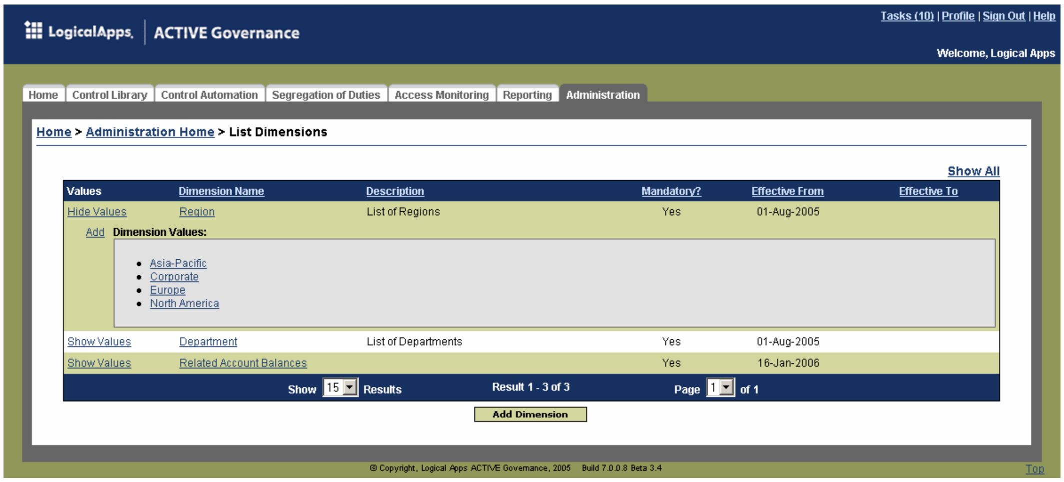
5 Select starting and ending dates for the dimension or attribute in the Effective From Date and Effective To Date fields, respectively. (See "Date Fields," page 6.)

6 In the Description field, type a brief description of the item.

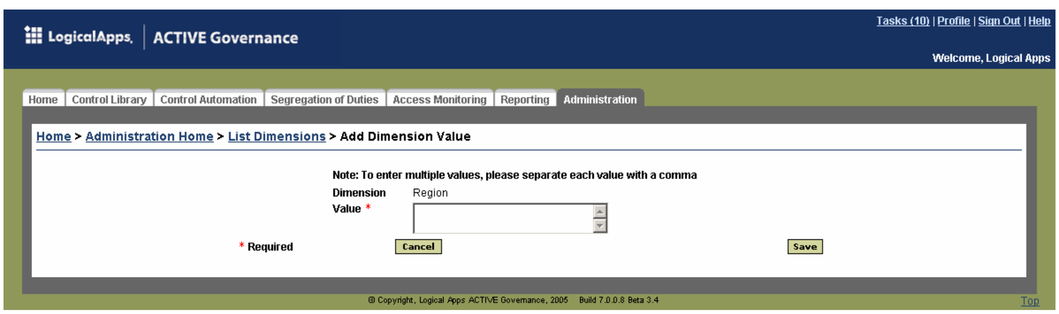
7 Click on the Save button to save the item. The ACTIVE Governance Platform restores the List panel displaying dimensions or attributes, with the one you've just created among them.

To assign values to a dimension or attribute:

1 In the List panel, locate the row that defines the dimension or attribute whose values you want to set, and click on the Show Values link in the leftmost field of the row. Or click on the Show All link, above the upper right corner of the list, to display the values for all dimensions or attributes.



2 To edit an existing value, click on its name. To create a new value, click on the Add link. A form like the following one appears:



3 If you are editing an existing value, alter its name in the Value field. If you are adding new values, you can add more than one at a time; type names for any number of values in the Value field, using a comma to separate distinct entries.

4 Click on the Save button. The List panel returns.

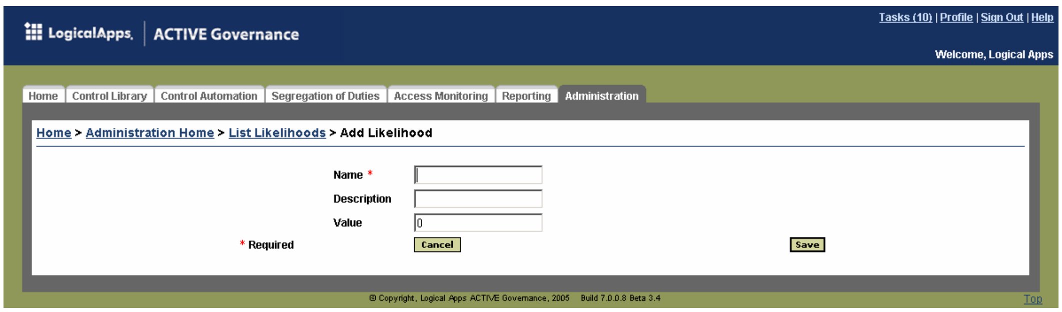
5 When you clicked on a Show link to display dimension or attribute values, the link changed to read Hide Values (or Hide All). Click on a Hide Values link to restore a row, or the Hide All link to restore the List panel, to its original form, with no values displayed.

Creating Likelihoods and Ratings

A likelihood is an expression of the chance that your company will fail to meet the conditions imposed by a control. A rating is an assessment of the relative importance of a control. The values one can select for either are user-configured, and the configuration process for the two measures is very similar:

1 From the Administration Home, click on the Manage Likelihoods link to create or edit likelihoods, or on the Manage Ratings link to create or edit ratings. A list panel displays the names of existing likelihoods or ratings, together with a description and a numeric value associated with each.

2 To edit an existing likelihood or rating, click on its name in its list. To create a new one, click on the Add Likelihood button or the Add Rating button. A form like the following one appears:



3 In the Name field, type a name for the item — for example, “high” or “moderate” for a likelihood, or “critical” or “minor” for a rating. (As a user creates a control, she selects from the Name values configured for likelihoods or ratings.)

4 In the Description field, type a brief description of the item.

5 In the Value field, type a number that sets a precedence this item has with respect to other ratings or likelihoods. (You’re free to decide whether a lower numeric value is equivalent to a greater or lesser precedence.)

6 Click the Save button to save the item.

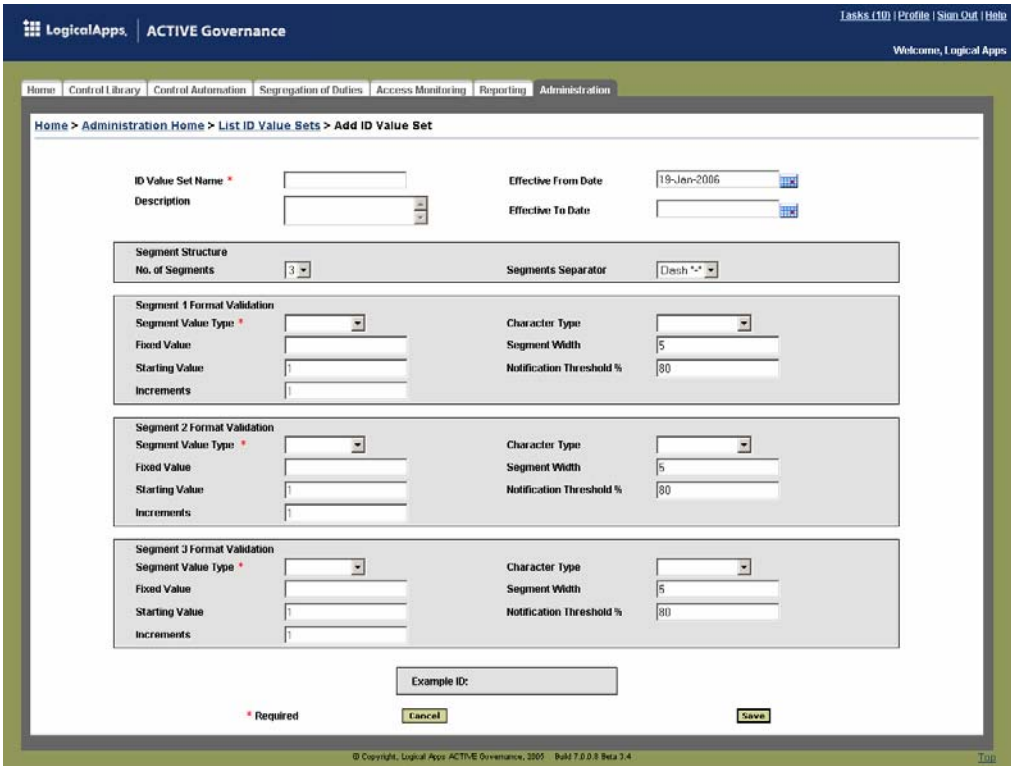
Creating and Mapping ID Value Sets

ACTIVE Governance requires that an ID be assigned to each control-library element: controls, control objectives, subprocesses, cycles, processes, policies, and risks. For each element, configure an “ID value set,” which determines the format and range of ID values. An ID may consist of up to three segments, and you can make formatting selections for each segment.

Create or Edit Value Sets

To define value sets, click on the Administration tab, and then on the Manage ID Value Sets link. A List ID Value Sets panel appears, displaying a name, description, and formatting example for each value set that has already been defined, if any.

To edit an existing value set, click on its name in the list. To create a new value set, click on the Add ID Value Set button. A form like the following one appears:



Insert entries in fields to create a new value set, or alter any of the current entries to edit an existing value set:

1 Type a name for the value set in the ID Value Set Name field, and type a brief explanation of its use in the Description field.

2 Select starting and ending dates for the value set in the Effective From Date and Effective To Date fields, respectively. (See “Date Fields,” page 6.)

3 In the No of Segments field of the Segment Structure box, select the number of segments into which each ID is to be divided — up to three. If you select more than one, also use the Segments Separator list box to choose a mark of punctuation that delimits the segments — a dash, a dot, or a pipe (|).

4 A Segment Format Validation box remains in place for each of the segments you specified in step 3. In each box, select values that define its segment format.

   First, in the Segment Value Type list box, choose how the segment value is generated. Select Fixed Value to set a single value that is repeated in every ID, Manual to require the user to enter a value while creating a control library element, or Automation to have ACTIVE Governance supply values. Then:

   - If you choose Fixed Value in the Segment Value Type field, define the value by entering it in the Fixed Value field. Type up to six characters in any alphanumeric combination. In this case, no other field accepts input.

- If you choose Manual in the Segment Value Type field, complete the following fields. (Other fields do not accept input).

  Character Type: Choose whether the segment should consist of alphabetic characters, numeric characters, or both.

  Segment Width: Enter a number (1–6) that sets the number of characters in the segment.

- If you choose Automation in the Segment Value Type field, the segment necessarily consists of numeric characters. Complete the following fields. (Other fields do not accept input.)

  Starting Value: Type a number that is the initial value for the segment.

  Increments: Type a number that sets the amount by which each segment value increases over the previous one.

  Segment Width: Enter a number (1–6) that sets the number of characters in the segment.

  Notification Threshold %: Enter a number that sets the percentage of possible defined values that are to be used before a notification message alerts an administrator that the full range of defined values is soon to be exhausted.

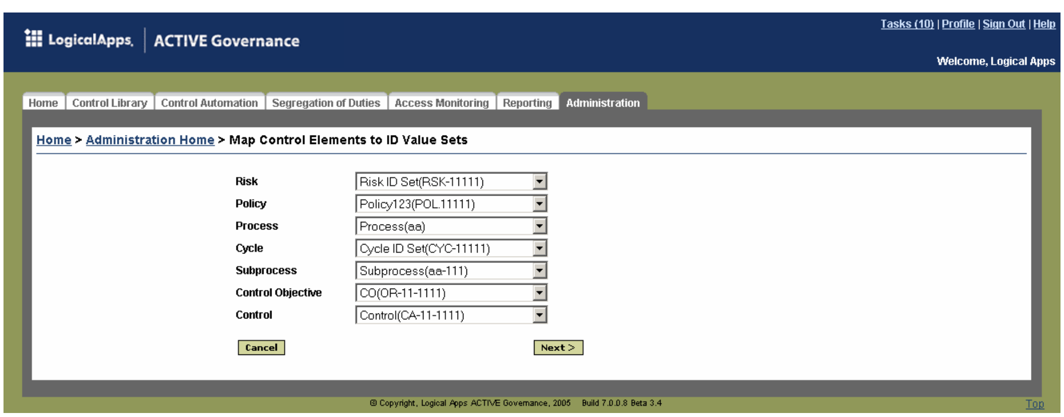
5 When you have finished defining all segment formats, click on the Save button. (Or, if you wish to discard the values you've configured, click on the Cancel button.)

As you create the value set, an Example ID field presents a sample in the format you are configuring. (If you choose the Automation value type for a segment, this sample displays ones for the segment regardless of what you select as a starting value.)

Map Value Sets to Control Library Elements

Once value sets have been created, you need to assign them to control-library elements. To do so:

1 Click on the Administration tab, and then on the Map Control Elements to ID Value Sets link. The following form appears:



2. In the list box for each control-library element, select the name of the ID value set you want to assign to it.
3. Click on the Next button. A second panel summarizes the selections you've made. If you are dissatisfied with any of them, click on the Back button until you reach the earlier panel in which that selection was made, change it, and then click on the Next button to return to the summary panel. When you are satisfied with your selections, click on the Finish button to complete the mapping of the ID value set.

Chapter 4

Creating Workflows

Whenever a control-library item is created or modified, it must be approved before it can be used. Such items include controls and the elements that set them in context — control objectives, subprocesses, processes, policies, policy segments, cycles, and risks. Similarly, each request made through the Access Monitoring feature — to give a user access to duties she does not ordinarily perform — must be approved before the user can assume the new duties. To define sequences in which approval requests are sent to users, groups, or both, ACTIVE Governance implements workflows.

Who Can Do This?

If your user role is Author, Manager, Rule Builder, or SOD Super User, you can create, edit, or view workflows. An Executive, User, Auditor, or System Administrator has view rights only. This chapter is written in the assumption that you have full rights.

Workflow Routings and Definitions

Each workflow consists of two items: A "workflow routing" selects the users and groups who are to receive and answer approval requests, and sets the order in which they do so. A "workflow definition" maps the workflow routing to items in need of review, by specifying events, dimension/attribute conditions, and a priority:

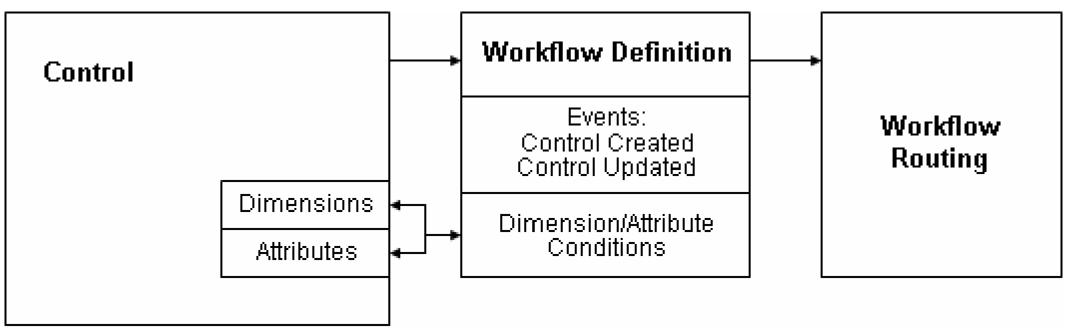
- An event is the circumstance — for example the creation of a control — that triggers the distribution of notifications to users or groups named in the workflow routing. Two events — "Created" and "Updated" — exist for each of the control-library elements, and a "Created" event exists for each type of Access Monitoring request.

- Dimension/attribute conditions enumerate a set of dimension and attribute values. Because each control-library element is granted or inherits dimension and attribute values, dimension/attribute conditions select the elements to which the workflow routing applies — those configured with a corresponding set of dimension and attribute values.
- The priority determines which workflow routing is used when more than one might otherwise apply.

Note
Workflow routings and workflow definitions may also configure review processes for suspects generated by control monitors. This aspect of work-flow configuration is discussed in detail in the *ACTIVE Policy Governor User's Guide*, and so is not covered here. Moreover, a workflow definition may be configured to use data conditions, in addition to the three items listed above. Data conditions apply only to workflows that distribute suspects for review, and so they too are discussed in the *ACTIVE Policy Governor User's Guide*.

A Simple Workflow Example

The following figure illustrates how a control-library element, workflow routing, and workflow definition may work together to initiate review when the element is created or updated:



In this example:

- A control has been created. The user who configured it assigned it a set of dimension and attribute values.
- A workflow definition has a matching set of dimension/attribute conditions.
- The workflow definition also has the appropriate event — Control Created — for initiating the review of a newly configured control. (It also has the Control Updated event, and so would apply when the control is modified.)
- As a result, the workflow definition can forward requests to approve the control to users and groups named in the workflow routing.

Combining Priorities and Conditions in Workflow Definitions

More than one workflow definition (and so more than one routing) may apply to a control-library element as it is created or updated. Any definition may apply if it specifies the appropriate event and if an element satisfies every one of its conditions.

For example, a control may be assigned two dimensions and one attribute — d1, d2, and a1. A workflow definition with d1, d2, and a1 as dimension/attribute conditions might apply to the control. But so might definitions that set any combination of the three as conditions, such as d1 and d2, or d1 and a1, or d2 alone, or none at all.

To resolve contention among workflow definitions, you assign each a priority. The value *1* indicates highest priority, and precedence declines as number values increase. When several workflow definitions might apply to a control-library element, the highest-priority definition among them is the one to be used.

More specifically, assume that a control has been created. Several workflow definitions are configured to have the Control Created event; any of them may apply to review of the control. The workflow engine compares the control configuration with that of the highest-ranking among the workflows: does the control have all the dimensions and attributes specified as dimension/attribute conditions in the workflow definition?

If so, the mapped workflow routing is applied to that control. If not, the engine compares the record with the second-highest-priority workflow definition. Again, if the control satisfies all conditions set by the definition, the mapped workflow is used; if not, the engine moves to the next-highest-priority workflow definition. It continues until it finds a match.

There is a danger of configuring a workflow definition with a specific set of conditions, and have it never be used because a more general definition has a higher priority. (A control that qualifies for the d1-d2-a1 definition would, for example, be captured first by a higher-priority definition that sets any one of these as its only condition.)

As a result, it is generally advisable that as the conditions configured for a workflow definition become more specific, the definition should receive a higher priority. Suppose, for example, that your firm recognizes two regions, East and West. Some controls apply to both regions; they would be configured so that a dimension called Region has two values, East and West. Other controls apply to one region or the other; they would be configured so that the Region dimension has only a single value, East or West.

It may further be appropriate that only reviewers within a region approve controls for that region. If so, you would create three workflows. The first, for the review of controls that apply to both regions, would set both East and West as conditions. The remaining two would set only one condition — East for one and West for the other. Of the three, the Both Regions workflow would be the highest ranking because it is most specific. East and West are equally specific, so either might be second, and the other would be third. (Say East is second.)

Thus, the workflow engine would route controls for approval as follows:

- A control with the Region dimension set to both East and West would be considered first for the Both Regions workflow. The engine would reach a true result, and the workflow would be used. The other two workflows would not be considered.

- A control with the Region dimension set to East would be considered first for the Both Regions workflow. The control does not have both of the dimension values specified as conditions in that workflow, so the engine would reach a false result. It would then consider the East workflow, because it is next in priority. This time the evaluation would produce a true result, and the East workflow would be used. The West workflow would not be considered.
- A control with the Region dimension set to West would be considered first for the Both Regions workflow and then for the East workflow; the engine would reach a false result for each and would then consider the next-priority workflow, West. This time the evaluation would produce a true result, and the West workflow would be used.

A definition with no conditions and the lowest priority serves as a "catch-all," implementing a workflow routing for any object whose dimension and attribute assignments do not match up with the conditions of any higher-priority workflow definitions. A "Default Workflow" exists to serve this purpose. It routes requests to a user selected during installation, and its definition has priority number 1000, has no dimension or data conditions, and calls all possible events.

Here are some caveats:

- Access Monitoring requests are not associated with dimensions or attributes and do not return data values. Therefore a workflow definition for such a request must not include any conditions — either dimension or data.
- Control-library elements are associated with dimensions and attributes, but do not return data values. Therefore a workflow definition for the creation or updating of these elements may include dimension/attribute conditions, but must not include data conditions.
- You can combine any number of events in a single workflow definition — those for reviewing suspects generated by control monitors ("Control Enforcement Executed"), for reviewing control-library elements ("Created" or "Updated" events), and for reviewing access requests ("Created" events). However, when you mix events in a single workflow definition, be careful of the conditions you add to it. A data condition prevents the workflow from routing approval messages for control-library elements and access requests; a dimension/attribute condition prevents the workflow from routing approval messages for access requests.

Statuses and Versions

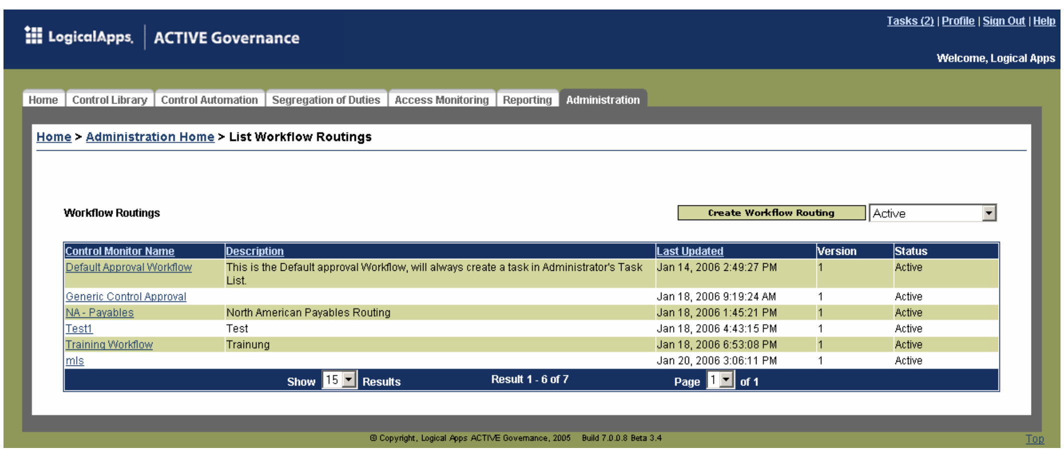
A workflow routing may have any number of versions, and each version exists at one of four statuses: Editing, Active, Pending Inactivation, and Inactivated.

- A workflow routing at the Editing status is in development. Editing is the default status for a newly created version of a workflow, and only a version at the Editing status can be modified.

- An Active workflow routing is actually used; it generates approval requests. Only one version of a workflow routing can be Active at a time.
- When a workflow routing is promoted from Editing to Active, the version that had been Active should be made inactive. At that moment, however, any number of approval requests may have been initiated but not completed under the terms of the earlier Active version. If so, status for that earlier version is set automatically to Pending Inactivation; it remains at that status until all of its outstanding issues are resolved.
- An Inactivated workflow routing is no longer used. A version may reach this status either from Active (when a subsequent version is promoted from Editing and replaces it as Active) or from Pending Inactivation (upon resolution of issues that were outstanding when it was replaced as the Active version). You can assign Inactive status to a version manually. Or, when you promote a version to Active status, ACTIVE Governance inactivates the version (if any) that had previously been active.

Displaying a List of Workflow Routings

To view, create, or modify a workflow routing, ensure that the Administration tab is selected in the ACTIVE Governance Platform. Then click on the Workflow Routing link in the Workflow Administration section of the Administration Home. A List panel then displays active workflow routings, and presents information about them — name, description, date last modified, version number, and status:



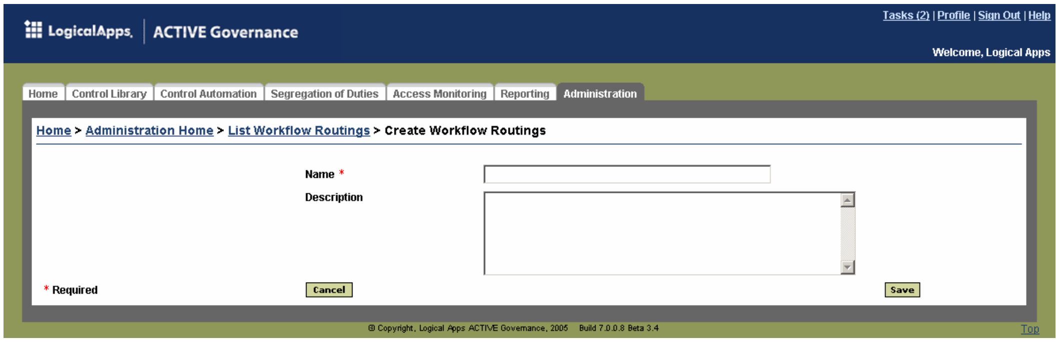
(If ACTIVE Policy Governor is installed, you can select the Control Automation tab instead. You would then select a link in the Library Navigator — Workflow Routing to work with routings or Workflow Definition to configure definitions. By convention, however, this manual directs you to the Administration tab; workflow features are available from it regardless of whether ACTIVE Policy Governor is implemented.)

To view entries for workflows at a specific status, use the Status list box (it's unlabeled, but is located above the list of workflow routings, along the right side). You can select All or any of the individual statuses — Active, Editing, Pending Inactivation, or Inactivated.

Adding a Workflow Routing

To create a new workflow routing:

1 In the List panel, click on the Create Workflow Routing button. A Create Workflow Routings panel appears:



2 In the Name field, type a name for the workflow routing.

3 In the Description field, type a brief explanation of how the routing is to be used.

4 Click on the Save button.

A newly created workflow routing appears in the List panel if the By Status filter is set to All or Editing. To define what the routing does, select it in its list and edit it.

Opening a Workflow Routing for Editing

As you edit a workflow routing, you either select values for a newly added one or modify values for an existing one. In either case, a version of the item must exist at the Editing status.

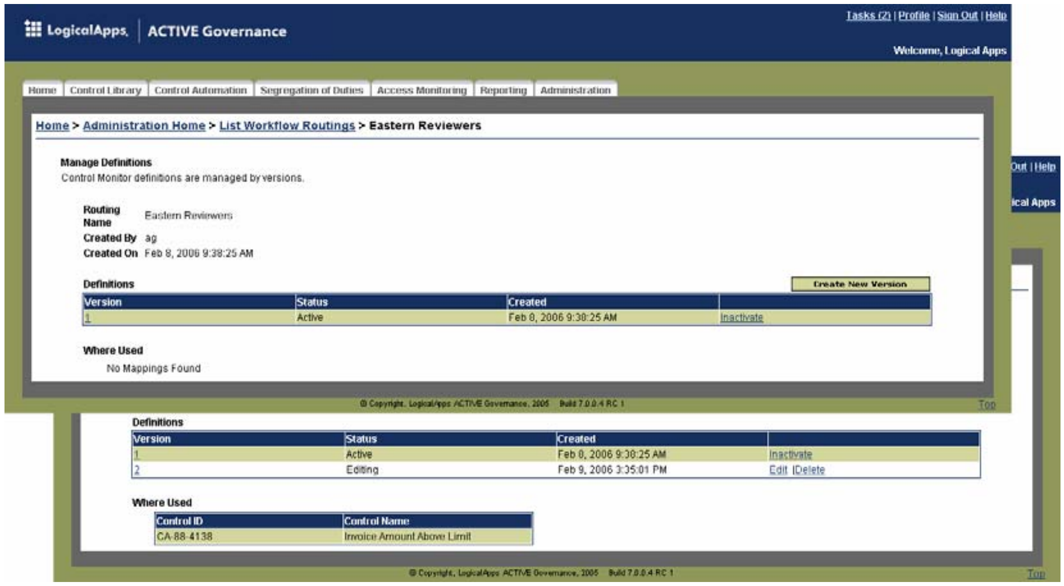
A newly added workflow routing necessarily exists only at the Editing status (and only in its first version). For an existing item, an Editing version may or may not already have been created. In any case, open the panel that lists the existing versions of the workflow routing you want to change:

1 Ensure that you have opened the List Workflow Routings panel.

2 In the List panel, set the Status filter to Editing if you know that an Editing version exists; to Active, Pending Inactivation, or Inactivated (as appropriate) if you know that no Editing version yet exists; or All if you are uncertain.

3 The List panel presents a filtered list of workflow routings. Click on the name of the one you want to change. This produces a new panel that lists all existing versions of the item you've selected.

- If no Editing version yet exists, the panel displays a Create New Version button (as shown in the top instance of the panel in the following illustration).
- If an Editing version already exists, the panel displays a row for it (row 2 in the bottom instance of the panel in the following illustration).



4 From this panel, you can:

- Click on the Create New Version button to add an Editing version — a copy of the most recent (typically Active) version — to the list.
- Open the Editing version for modification by clicking on its version number or on its Edit link.
- Delete the Editing version by clicking on its Delete link.
- Open any past version for viewing by clicking on its version number. You cannot, however, change any information for a version at any status other than Editing.
- Retire the Active version by clicking on its Inactivate link.

Note
If you have linked a version of a workflow routing to one or more controls, and you select that version in the Definitions list on this panel, a Where Used grid shows the ID and name of each linked control.

Editing a Workflow Routing

A workflow routing implements a series of steps, each of which selects a user or a group charged with reviewing control-library elements or Access Monitor requests. Such an item must be approved at one step before it proceeds to the next. If it is rejected at any step, then the workflow ends; reviewers identified by subsequent steps are not sent notifications, and the item is rejected.

Moreover, at each step you can select one of three reviewer types:

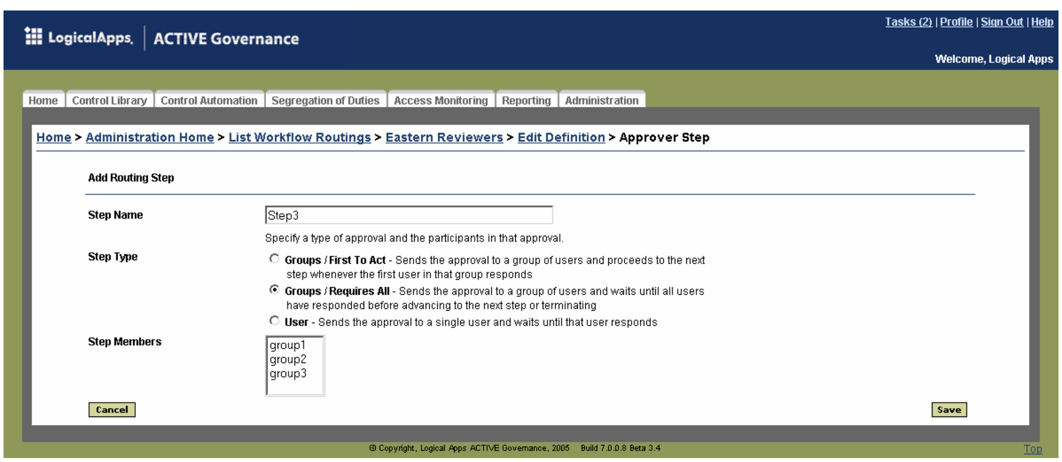
- Groups/First to Act: All members of a group receive notification that an item is to be reviewed, but the first member to respond either approves or rejects for the entire group. After the first response, other members can no longer respond.

- Groups/Requires All: All members of a group receive notification that an item is to be reviewed. For the item to be approved, all group members must approve it. A single rejection causes the item to be rejected.
- User: A single user receives notification that an item is to be reviewed, and either accepts or rejects it.

Before you can create a workflow routing, the groups or users it is to call must already have been created. Once this is done, open the workflow routing for editing (see “Opening a Workflow Routing for Editing” on page 30). A Definition form appears. If no steps yet exist, the form displays a prompt to create them. If steps have been created, the panel also lists them, with prompts to edit them:

To create or modify steps that designate reviewers:

1. Click on the Add New Step button to create a new step, or click on the Edit button in the listing for an existing step to modify it. The following form opens:



2. In the Step Name field, type a name for the step.
3. Click on one of the Step Type radio buttons to determine the reviewer type.
4. A list of values appears next to the Step Members label; depending on the type selection you made, it displays either groups or users. Click on the one you want.
5. Click on the Save button. The focus returns to the Definition panel, which now displays a row for the step.

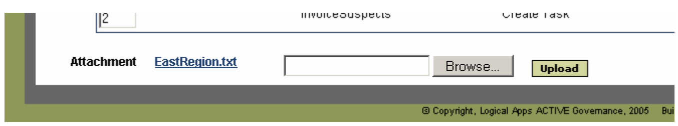
When you finish creating steps, the workflow routing is saved in its Editing status (because you have saved its individual steps as you created or edited them). At this point, you can perform these additional actions:

- Rearrange the order in which steps are to be completed: In the Sequence column of the Steps listing on the Definition panel, renumber the steps to reflect the sequence you want, and then click on the Rearrange Steps button.
- Delete an individual step by clicking on the Delete link in its entry on the Definition panel.
- Promote the workflow routing from Editing to Active status by clicking on the Activate Workflow Routing button. At this point the version of the workflow routing that had been Active (if any) moves to the Inactivated status.

Attaching a Document

Optionally, you can attach a file to a workflow routing, and then display the contents of the file. Typically, such a file would document what the workflow routing does and how it is to be used. First, use a text editor, word processor, or similar application to prepare the file. Then:

1. Navigate to the Definition panel for the workflow routing to which you want to attach a file.
2. Click on the Browse button in the Attachment area, at the lower left of the panel.
3. A Choose File dialog opens. Using standard Windows procedures, navigate to the file you want, click on its name, and then click on the Open button.
4. The path to the file appears in the text box next to the Browse button on the Definition panel. Click on the Upload button.
5. A link to the file appears next to the Attachment label. Click on it to view the file.



You can detach the document by clicking on the Upload button while no path is displayed in the Browse text box.

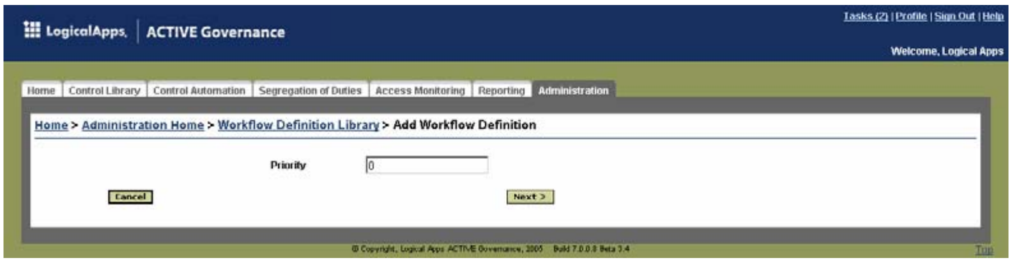
Configuring a Workflow Definition

To create the workflow definition that applies a workflow routing to items in need of review, ensure that the Administration tab is selected in the ACTIVE Governance Platform. Then click on the Workflow Definition link in the Workflow Administration section of the Administration Home. A Workflow Definition Library panel displays an entry for each workflow routing with a version at the Active status. Click on the name of the workflow routing for which you want to configure a definition.

Selecting a Priority and Events

If you select a workflow routing for which a workflow definition already exists, a Workflow Definition panel displays the values selected in the definition, including priority and events. In this case, you can click on an Edit link next to the priority number, and an Edit Workflow Definition panel prompts for a new priority value.

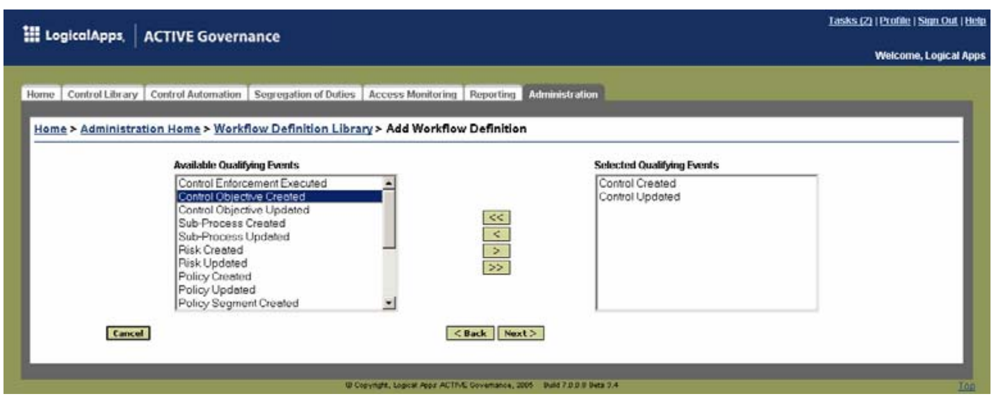
If you select a workflow routing that is as yet undefined, the Workflow Definition panel is bypassed. An Add Workflow Definition panel prompts for the priority value. Except for the difference in name, it's identical to the Edit Workflow Definition panel.



To use either panel to set a priority and then select events:

1 Type a priority number in the priority field. (You may wish to review "Combining Priorities and Conditions in Workflow Definitions" on page 27.)

2 Click on the Next button. The Add (or Edit) Workflow Definition panel now displays fields in which you can select one or more events.



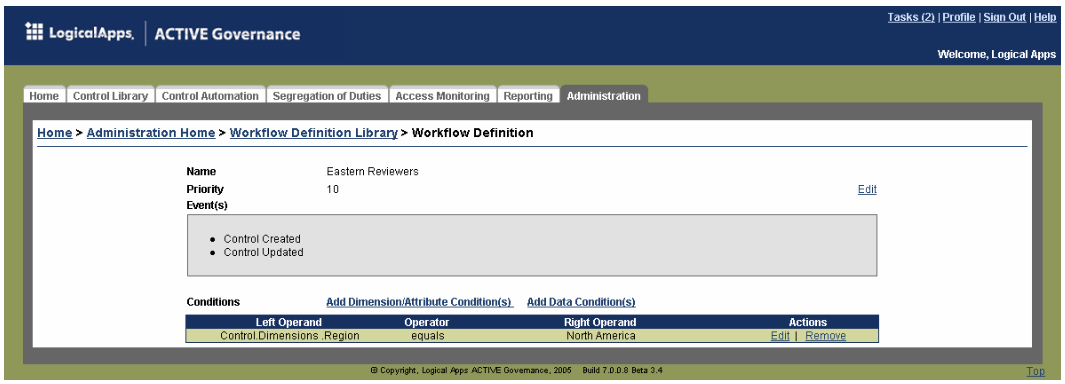
3 To add events, move them from the Available Qualifying Events field to the Selected Qualifying Events field. To remove them, move them from the Selected field to the Available field:

- In either field, click on an event to select it. To select a continuous group of events, click on the first one, hold down the Shift key, and click on the last one. To select a discontinuous group, hold the Ctrl key as you click on events.
- Click on the > button to send selected values from the Available field to the Selected field. Or, click on the >> button to send all values displayed in the Available field to the Selected field.
- Click on the < button to send selected values from the Selected field to the Available field. Or, click on the << button to send all values displayed in the Selected field to the Available field.

4 Click on the Next button. The Add (or Edit) Workflow Definition panel now summarizes the selections you've made. If you are dissatisfied with any of them, click on the Back button until you reach the panel in which that selection is made, change it, and then click on the Next button until you return to this summary panel. When you are satisfied with your selections, click on the Finish button to complete the configuration of the priority and events.

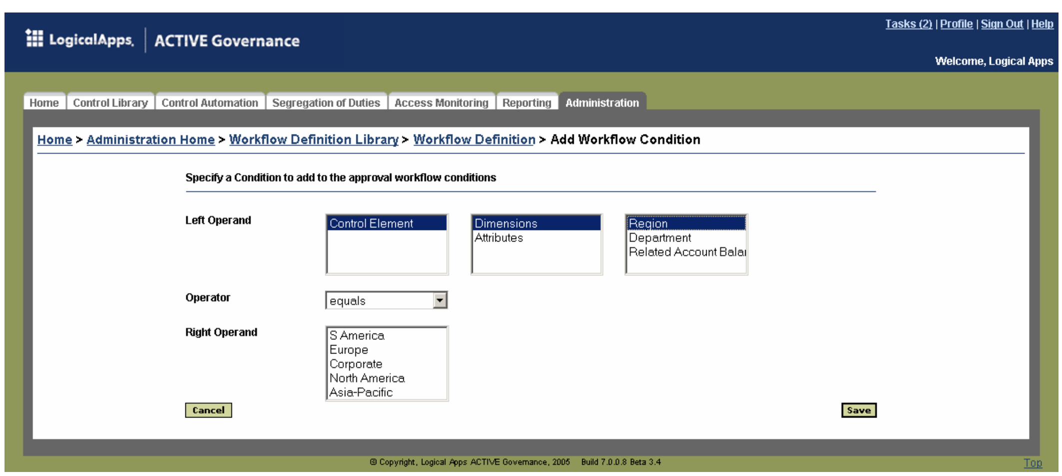
Selecting Conditions

When you finish configuring priority and events, or when you open a workflow for which a definition already exists, the Workflow Definition panel displays the values selected for the definition:



From this panel, you can select dimension/attribute conditions. Each condition states that a dimension or attribute equals a particular value; the workflow may map to a control-library element assigned a dimension or attribute with the same value. However, conditions are joined by an AND connector and so apply only if all are true; that is, a workflow applies to a control-library element only if every value configured as a condition is also a dimension or attribute value assigned to the element. To select dimension/attribute conditions:

1 Click on the Add Dimension/Attribute Conditions link, or click on the Edit link for an existing dimension/attribute condition. An Add (or Edit) Workflow Condition panel appears:



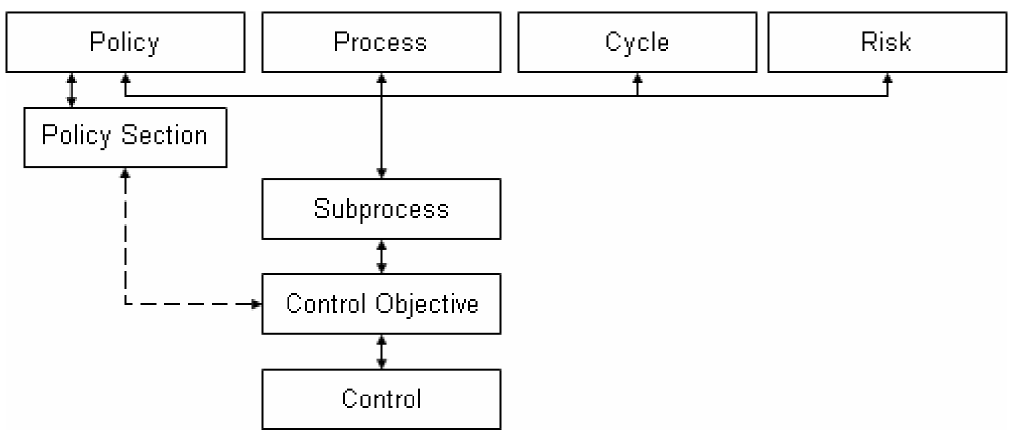
2. As a Left Operand, select a dimension or attribute. The leftmost box always reads Control Element; click on either Dimensions or Attributes in the middle box. According to your selection, the rightmost box displays either the dimensions or attributes configured on your system; click on one of them.
3. Accept the default, Equals, as the Operator value. (You cannot change it.)
4. The Right Operand box displays the values for the dimension or attribute you selected as a left operand; click on one of them.
5. Click on the Save button. The focus returns to the Workflow Definition panel, with the new condition added to the list.

As a reminder, data conditions are appropriate only for a workflow to be used for reviewing suspects generated by control monitors. For information on creating them, see the *ACTIVE Policy Governor User's Guide*.

Chapter 5

Creating Elements in the Control Library

The control library consists of controls and other elements that set a business context in which controls exist. A control connects directly to a control objective and, through it, inherits associations with subprocesses, processes, policies and policy sections, cycles, and risks. Although a company defines instances of these elements to reflect its business environment, elements must fit in the following hierarchical scheme:



To enforce this hierarchy, ACTIVE Governance permits most of these elements, as they are created, to be linked only to those directly above or below:

- A policy, process, cycle, or risk connects directly to a subprocess, and inherits the control objectives and controls associated with the subprocess.
- A subprocess links upward directly to a policy, process, cycle, or risk, and downward to a control objective. It inherits controls associated with the control objective.

- A control objective links upward directly to a subprocess and downward to a control. It inherits policies, processes, cycles, and risks associated with the subprocess.
- A control links directly to a control objective an inherits all the higher-level objects associated with the control objective.

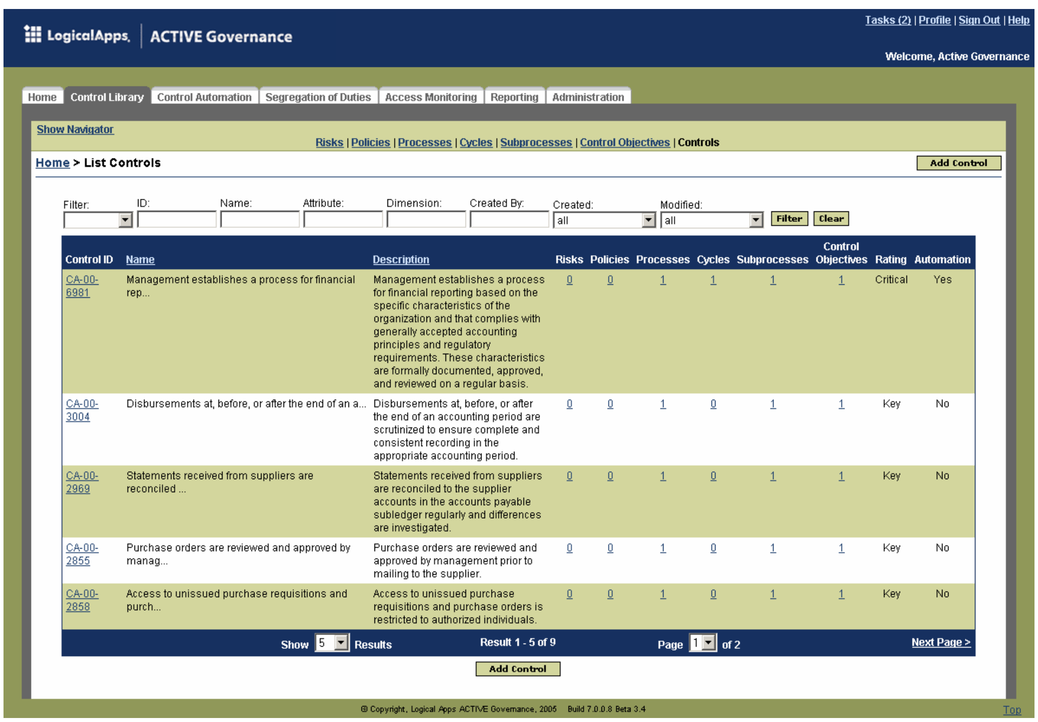
The one exception to this scheme is the policy section. While subordinate to a policy, it links to one or more control objectives, conceptually bypassing the subprocess.

Who Can Do This?

Everyone has rights to view control-library elements; an Auditor can assess them as well, but not create or edit them. A User can edit, but not create or assess them; an Author or Executive can create and edit them, but not assess them. A Manager, Rule Builder, or SOD Super User has full rights to create, edit, or assess elements. This chapter is written in the assumption you have full rights.

Displaying Lists of Control-Library Elements

To view, add, or edit any control-library element, begin by clicking on the Control Library tab. ACTIVE Governance Platform then presents a List Controls panel. In the Library Navigator, you can click on a link to a similar List panel for any of the other elements (as well as a link back to the List Controls panel).



Initially, of course, these panels are empty; in that case, skip ahead to “Adding a Control-Library Element” on page 42. Ordinarily, though, each panel displays a list of its type of control-library elements; each entry includes an ID, name, and description for an element, and the number of other elements with which it is associated, by type. The List Controls panel also shows the rating configured for each control, and whether an “automation” (a control monitor; segregation-of-duties rule; or form, flow, or change-control rule) has been attached to the control.

Locating Control-Library Elements

To manage long lists of control-library elements, you can limit the contents of any List panel to entries that satisfy filtering criteria. Alternatively, you can use an enhanced Library Navigator feature to locate, and open View panels for, individual elements.

Filtering Lists of Elements

To view a filtered set of entries in a List panel:

1. Specify filtering criteria by entering complementary values in any combination of the fields that run horizontally above the list of elements:
   - Filter: Select a filter you’ve configured (see the next section) for use in listing elements. If you haven’t created any filters, this field does not appear.
   - ID and Name: In each field, type the full ID for an element or its full name to display the single element bearing that ID or name. Or, type a fragment of an ID or name to display all elements whose IDs or names contain the fragment. For example, the text string *ment* in the name field would return elements with the words *Management* and *Disbursements* in their names.
   - Attribute and Dimension: In each field, type a value configured for an attribute or dimension (not the name of an attribute or dimension) to display elements that have been assigned the attribute or dimension value. For example, if a Region dimension has the values *East* and *West*, the word *East* in the Dimension field would return elements configured to belong to the East region; the word *Region* in the Dimension field would produce no results.
   - Created By: Type the username configured for an ACTIVE Governance user to display elements created by that user, or a text fragment to display elements created by all those whose usernames contain the fragment.
   - Created and Modified: Select one of five time ranges (such as Yesterday or Since Last Week) to display elements created within that period, or select All (the default) to list all elements, without time constraint.
2. When you finish specifying filtering criteria, click on the Filter button.

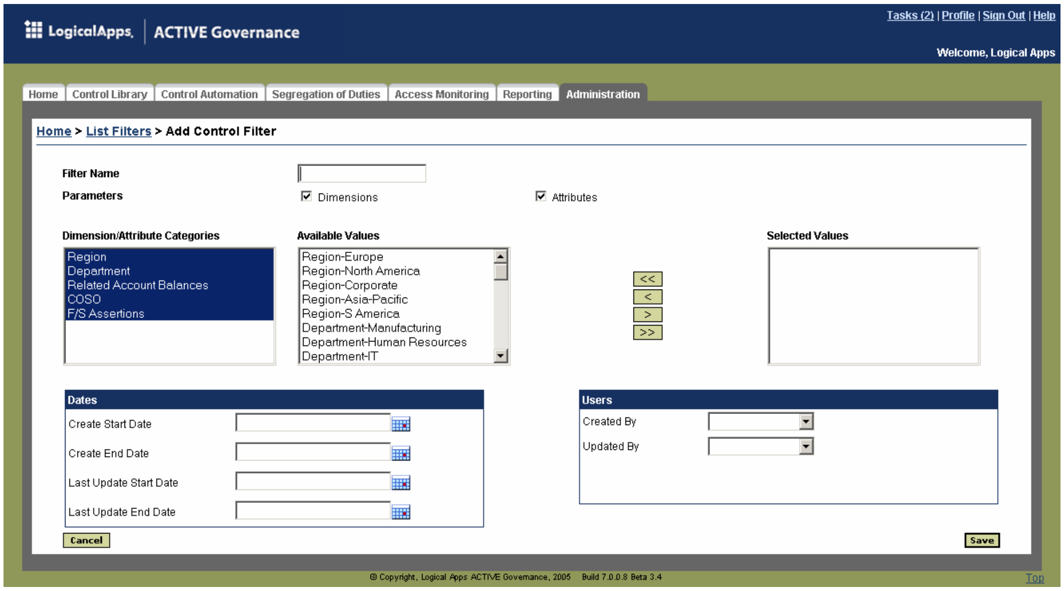
To discard filtering criteria and redisplay all configured elements of the type you’ve selected in the Library Navigator, click on the Clear button.

Configuring Filters

You can configure filters for use in displaying control-library elements in their list panels. These filters can select elements with specified dimension or attribute values, with creation or update dates in specified ranges, or with a specified creator or updater. Once they are configured, you can select filters in the Filter field on the List panel for each element type. To configure filters:

1 Click on the Profile link, and then on the Manage Filter option in the Library Navigator for the Profile option. A List Filters panel displays an entry for each filter that has already been created (if any).

2 Click on the New Filter button. An Add Control Filter panel appears:



3 In the Filter Name field, type a name for the filter.

4 To add dimension or attribute values to a filter, select the Dimensions or Attributes check box (or both). This populates the Dimension/Attribute Categories field with the names of dimensions or attributes configured for your system; click on those for which you want to select values. Their configured values then appear in the Available Values field; click on those you want and transfer them to the Selected Values field. (See "Selecting Sets of Values — a Software Convention" on page 42.)

5 To filter on date ranges, enter values in fields in the Dates section.

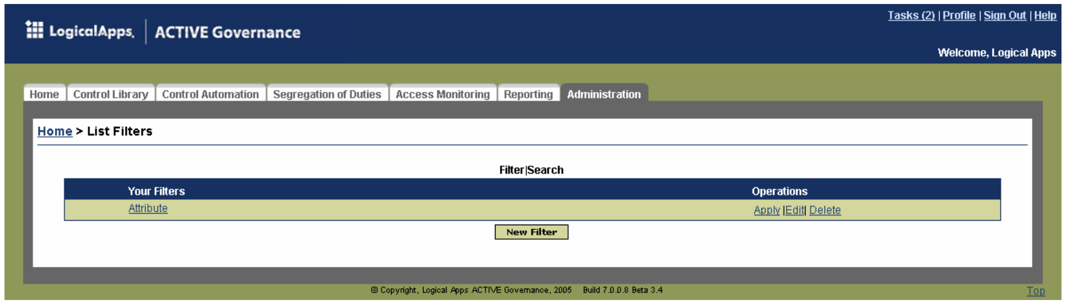
- Use the two Create fields to identify the dates between which elements may have been created if they are to qualify for the filter; use the two Last Updated fields to identify dates between which elements may have been most recently modified.

- Select a start date, but no end date, to select elements created or updated from the start date to the present moment; select an end date as well to define a static period.

- For any of the four fields, click on the icon to display a month-by-month calendar; click on the < or > symbol surrounding a month name or year to display an earlier or later month or year; then, in the calendar, click on the date you want.

6 To filter for elements either created or most recently updated by a particular user, select his username in the Created By or Updated By list box in the Users section.

7 Click on the Save button. The ACTIVE Governance Platform restores the List Filters panel, with an entry for the filter you've configured:



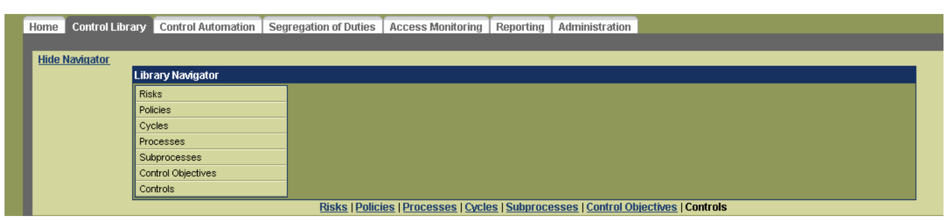
8 In this panel, you can:

- Click on the Apply link to put the filter to use. When you open any of the List panels available from the Control Library tab, only filtered entries appear. (You can apply other filters, or clear all filters, by making new selections on a List panel.)
- Click on the Edit link to open an Edit Control Filter panel — in all but name a copy of the Add Control Filter panel — and modify the values you've configured for the filter.
- Click on the Delete link to delete the filter. A Delete Control Filter panel opens and prompts you to confirm the deletion. Click on its delete button to do so, or on its Cancel button if you choose to keep the filter.

Using the Enhanced Navigator

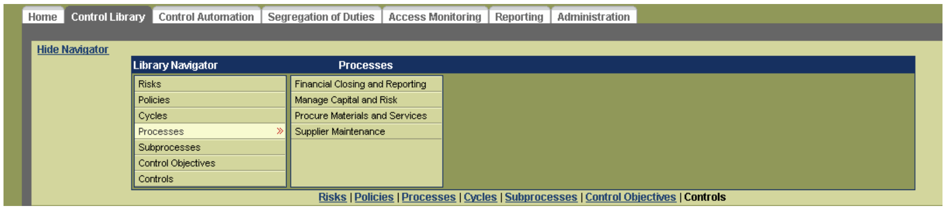
An enhanced Library Navigator enables you to trace the hierarchical relationships among individual elements in the control library, and to open a View panel to examine detailed information about any of the elements in the hierarchical chain you've constructed.

1 Click on the Show Navigator link, located at the upper left corner of the light green band that demarcates the Library Navigator. A hidden Navigator form is exposed. Initially, it contains a single block that displays an entry for each type of control-library element. (You can open this Navigator from any list panel; its initial focus is on element types regardless of the panel from which you open it.)

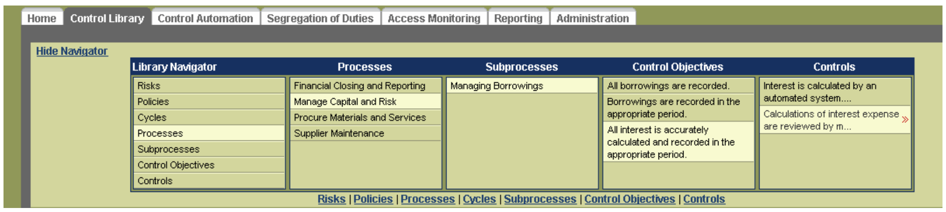


2 Single-click on any of the element-type names to display a second block. This one lists all configured elements of the type you selected in the first box. Al-

though the following figure begins with processes, you can start at any level in the hierarchy.



3 In this second block, single-click on any of the elements to display a third block; it lists elements configured to descend in the hierarchy from the one you chose in the second block. In each new block, click on an element name to produce another block displaying linked elements in the next-lower level of the hierarchy:



4 To open a view panel for any of the elements you've displayed, double-click on it.

Adding a Control-Library Element

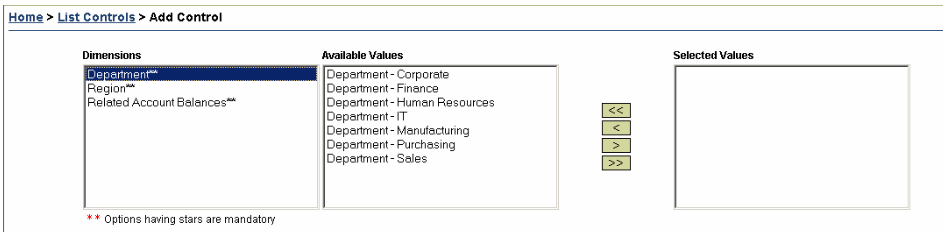
When you add an element to the control library, you provide information that identifies and describes it, but you also associate it with other objects that establish its context: dimensions, attributes, and other control-library elements. When you complete the process, the element you've created is subject to approval (according to the terms of workflows configured for your system). Thus, the element appears in its List panel not immediately, but only if and after approval has been granted. Moreover, ACTIVE Governance prevents you from creating or modifying an element if workflows are configured so that you would be an approver for it.

The information you provide for a control is somewhat different from the information you provide for other control-library elements. Specifically, a control is given a rating and a likelihood, and may be associated with related controls. As a result, the configuration process for controls starts out a bit differently from the process for other elements, but the processes become uniform after the initial steps are complete. So the following sections describe the beginning of the control-configuration process, the beginning of the process for configuring other elements, and then the completion of the process for controls and other elements alike.

But first, when you create or edit any element, you make repeated use of a particular ACTIVE Governance feature, which is explained in the following section:

Selecting Sets of Values — a Software Convention

As you create control-library elements (or filters), you have opportunities to select sets of values — for example, all of the dimension values that might apply to a control. ACTIVE Governance offers values for selection in an “Available” box; you transfer those you want to a “Selected” box (or, in some cases, transfer those you no longer want back to the Available box). In some cases, a third box contains categories of items — for example, dimensions if you are assigning dimension values to a control. You select one or more categories, and the Available box shows values appropriate to those categories, as in the following illustration:



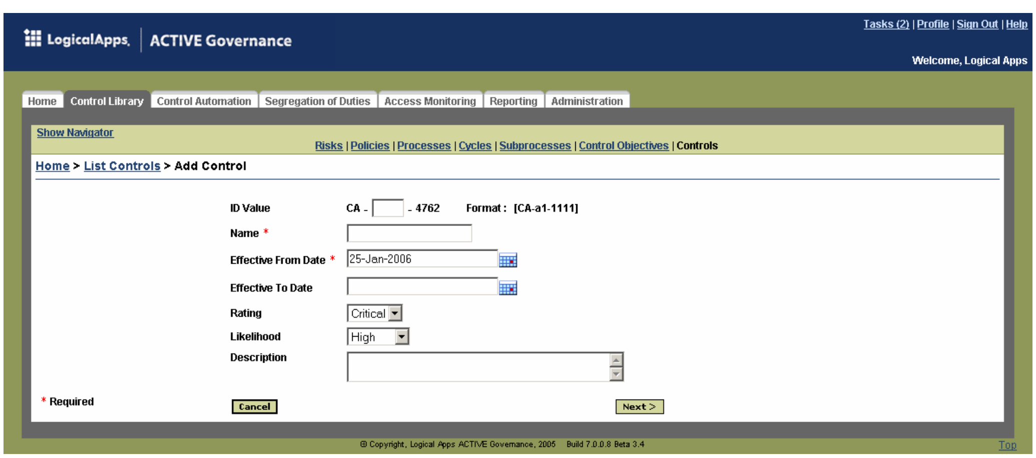
As you select values by transferring items between the Available and Selected boxes, you can do the following:

- Highlight items you intend to select. In any box, click on an item to highlight it. Or, to highlight a continuous group of items, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous group, hold the Ctrl key as you click on items.
- Click on the > button to move highlighted items from an Available box to its corresponding Selected box. Or, click on the >> button to send all values displayed in the Available box (regardless of whether you’ve highlighted them first) to the Selected box.
- Click on the < button to return highlighted values from a Selected box to its corresponding Available box. Or, click on the << button to return all values displayed in a Selected box to its Available box.

Beginning to Configure a Control

To add a control to the control library:

1 Open the List Controls panel and click on its Add Control button. (The button appears in two places, near the top right of the panel and at the bottom center.) The following form appears:

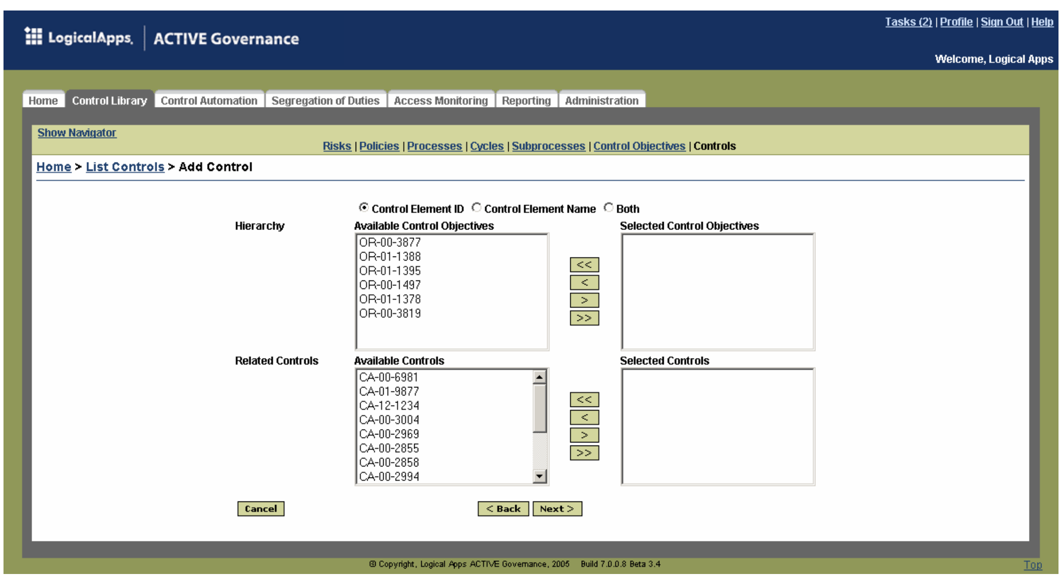


2 In this form, provide the basic descriptive information for the control:

- In the ID Value field, complete an ID value for the control if you've configured ID values in a way that makes this necessary. The illustration, for example, shows a three-segment ID for which the first segment is a fixed value and the last is an automatically generated value; the user cannot edit them. But the middle segment is configured for manual entry, and the user must enter a value in the text box.
- In the name field, type a name for the control.
- Select starting and ending dates for the control in the Effective From Date and Effective To Date fields, respectively. (See "Date Fields," page 6.)
- In the Rating and Likelihood list boxes, select values that assess the relative importance of a control and that express the chance that your company will fail to meet the conditions imposed by the control, respectively. (These boxes present the rating and likelihood values your company has configured.)
- In the Description box, type an explanation of the control's purpose. The description can be up to 3,000 characters in length, and it appears in the entry for the control on the List Controls panel.

3 Click on the Next button. In a new form, click on control objectives (top) and "related controls" (bottom) that you want to associate with the control you are creating; move the items to the Selected boxes. (Controls may be related to one another for any reason your company determines to be meaningful.)

Depending on your preference, you may have this form display ID values, names, or both for the controls and control objectives you're selecting. Simply click on the appropriate radio button.

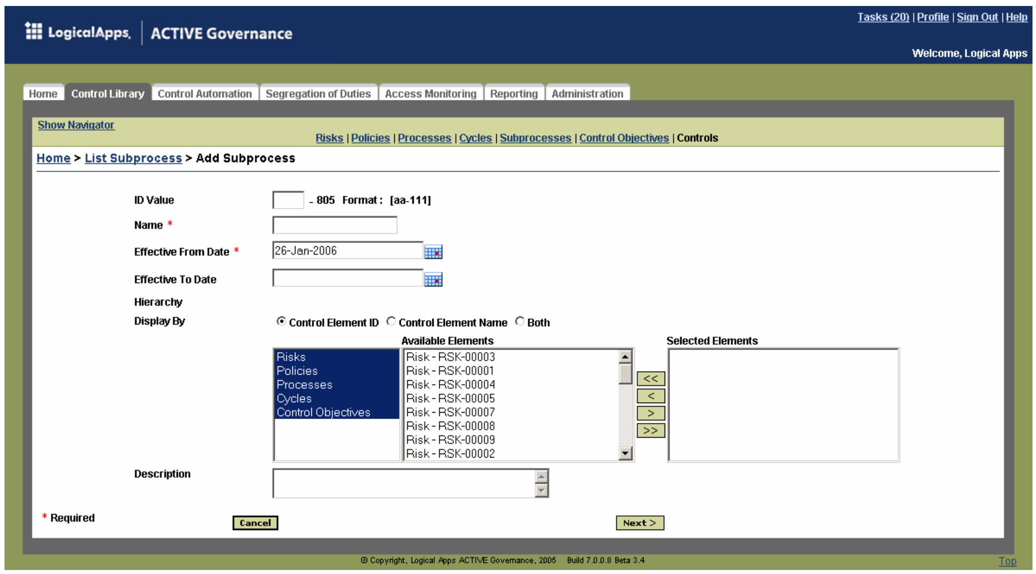


4 Click on the Next button to display a form in which you can select dimension or attribute values for the control. For instructions on using this and subsequent forms to finish configuring the control, skip ahead to “Completing the Control Element Configuration” (page 46).

Beginning to Configure Other Control Element Types

To add an element other than a control to the control library:

1 Open the List panel for the type of element you want to create, and click on its Add button. (Once again, the button appears in two places, near the top right of the panel and at the bottom center.) The form like the following one appears:



2 In the ID Value field, complete an ID for the element if you’ve configured ID values to include manual-entry segments. (If not, accept the default ID value.)

3 In the Name field, type a name for the control-library element.

4 Select starting and ending dates for the element in the Effective From Date and Effective To Date fields, respectively. (See “Date Fields,” page 6.)

5 In the Hierarchy area, choose other control-library elements that you want to associate with the one you are creating; move the items to the Selected box. You can select only items with a “parent-child” relationship, so the form varies according to the type of element you are configuring. For items at the top of the hierarchy, it displays two boxes for available and selected subprocesses; for midlevel items, it adds a third box in which you can select a type of element to add.

Depending on your preference, you may have this form display ID values, names, or both for the elements you’re selecting. Click on the radio button that reflects your choice.

6 In the Description box, type an explanation for the purpose of the element. The description can be up to 3,000 characters in length, and it appears in the entry for the element on its List panel.

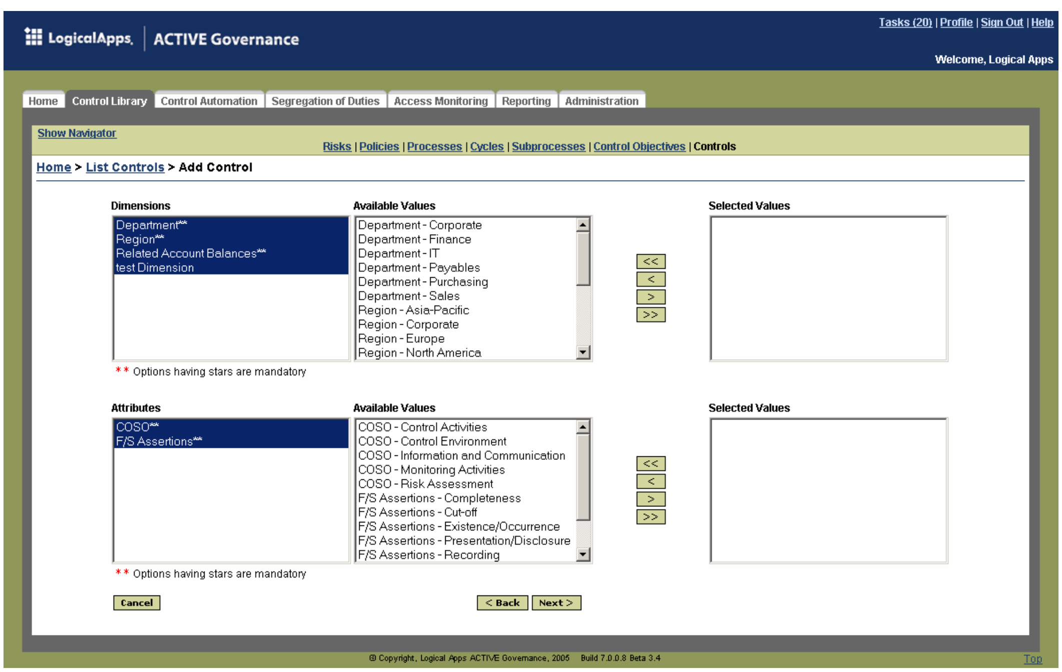
7 Click on the Next button to display a form in which you can select dimension or attribute values for the control-library element. For instructions on using this and subsequent forms to finish the configuration, see the next section, "Completing the Control Element Configuration."

Completing the Control Element Configuration

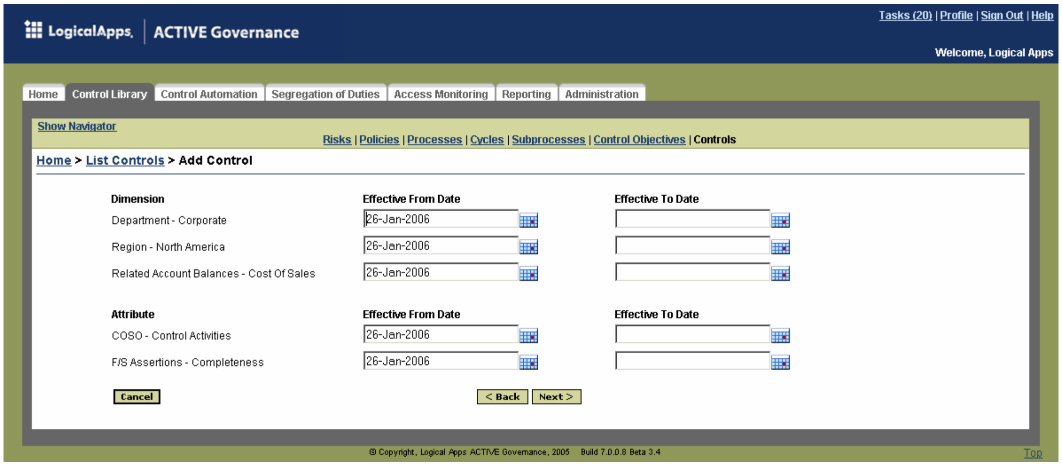
All that remains to configure a control-library element is to select dimension and attribute values that apply to it, specify a time period during which each value applies, and review all the configuration details. Keep in mind that an element not only acquires the dimension and attribute values you assign directly, but also inherits values assigned to lower-ranking elements with which it is linked. Once you add a value (and finish configuring the element) you cannot remove it, although you can inactivate it by setting an end date for it.

1 Having completed the early steps of creating a control-library element, you've arrived at a panel in which you can select dimension and attribute values that apply to the element. Select dimensions and attributes in the Dimensions and Attributes boxes. Values configured for your selections then appear in the Available Values boxes; move the values you want to the Selected Value boxes.

A dimension or attribute marked by two asterisks has been configured to be mandatory; you must assign a value for each of these to each control you create. You need not assign mandatory dimensions or attributes to other control-library elements, because they'll inherit values for these from the controls with which they are linked.



2 Click on the Next button. A new panel lists the dimension and attribute values you've selected so that you can set effective dates for them:

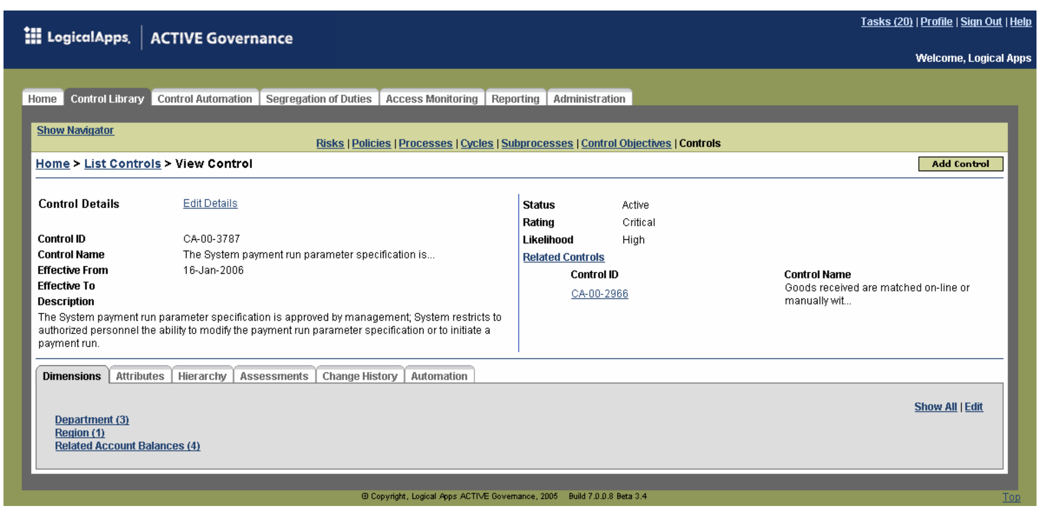


By default, all the dimension and attribute values are set to take effect immediately and remain in effect indefinitely. To make a change, set a new value in an Effective From Date or Effective To Date field (See "Date Fields," page 6.)

3 Click on the Next button. A final panel summarizes the selections you've made. If you are dissatisfied with any, click on the Back button until you reach the panel in which that selection is made, change it, and click on the Next button until you return to this summary form. When you are satisfied with your selections, click on the Finish button to complete the creation of the control-library element.

Viewing Control-Library Elements

Once an element is created and approved, you can view the values established for it: Locate its entry on its List panel, and click on the ID value displayed in that entry. Or use the enhanced Library Navigator (see page 41). A View form appears:



The white portion of this form presents the basic, descriptive information for an element. Items to the left of a vertical blue line — ID value, name, effective dates, and description — are displayed no matter what type of element has been selected. Items to the right of the vertical blue line apply only to controls (and so appear only if a control has been selected). These items include not only rating and likelihood, but also the following:

- Status, which may be "Submitted" (no reviewer has looked at the control), "Pending" (review has begun, but is incomplete), "Active" (the control is approved and in use), "Inactive" (the control is rejected, or its Effective To date has passed), or "Edited" (the element has been modified, and further changes are prohibited until the modified version is approved).
- Related controls are those that have qualities in common with the control currently on display. When you click on a link for a related control, the View form immediately displays full information for that control.

The gray portion of this form presents tabs on which you can click to view items with which an element is associated. The panels activated by these tabs show lists of other hierarchy elements, dimensions, attributes, assessments, or automations. (Change history is not yet implemented.) The associations may be direct or indirect:

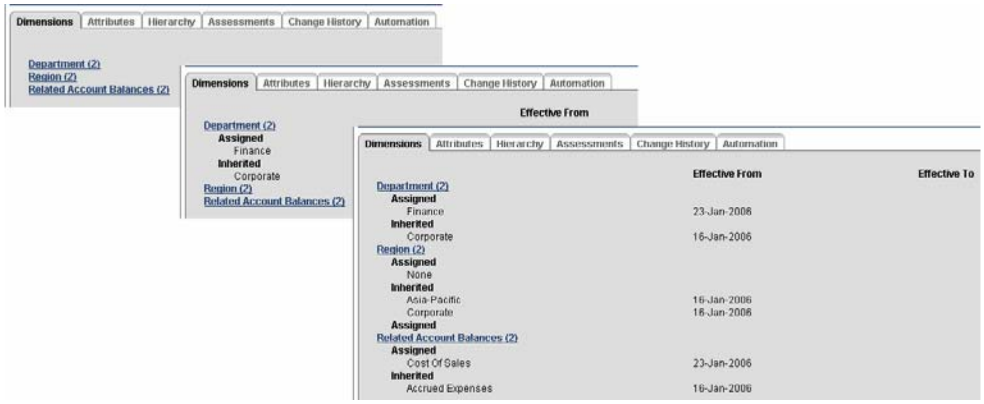
- The panels display items with which an element has a direct parent-child connection. If you are working with a control objective, for example, its Hierarchy panel shows the controls and subprocesses to which it is directly linked.
- The panels also display "inherited" items — those with which the current element is associated indirectly, through its connection to some other item. The Hierarchy panel for a control objective, for example, shows not only the subprocesses to which it is directly linked, but also processes, policies, cycles, and risks to which the subprocesses are linked.

  For another example, the Dimensions panel for a control objective displays the dimension values it has been directly assigned, as well as those it inherits from controls with which it is linked.

The Dimensions, Attributes, and Hierarchy panels display the names of dimensions, attributes, or types of hierarchy elements for which values may be selected, together with the number of values selected for each. In each panel, click on a Show All prompt to see the values selected for all the items on the panel. When you do, the prompt changes to read "Hide All"; click on it to restore the original display. Along with each dimension or attribute value, the panel displays its effective dates; it also identifies which values are directly assigned and which are inherited. Along with each hierarchy element, the panel displays its most recent assessments.

Rather than view all values, you can see the values selected for an individual dimension, attribute, or type of control-library element. In the case of a dimension or attribute, click on its name (and then click on the name again to hide the values). On the Hierarchy panel, click on an icon next to a type of control-library element — it looks like a plus sign in a square. When the values are displayed, the icon changes to look like a minus sign in a square; click on it to hide the values. If you click on the name of the element type, you move to the List panel for that element.

For example, a control may have values assigned for three dimensions. The Dimensions panel for this control would initially display the dimension names (far left in the illustration below). Click on one of them (such as “Department” in the middle illustration, below) to display values assigned for it. Or click the Show All button to display values for all the dimensions (right, below).



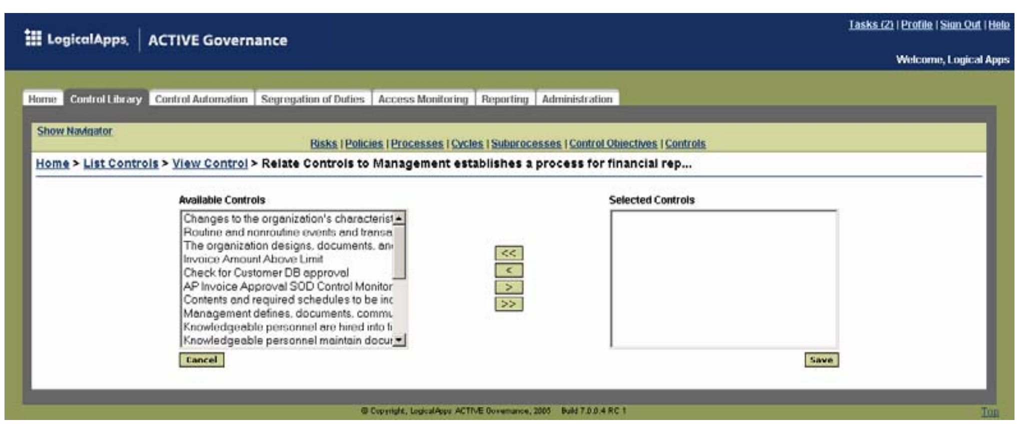
Editing Control-Library Elements

To update the descriptive information for any element, open the View form for the element and click on its Edit Details link. This opens a form similar to the first of the forms used for adding an element; it presents the ID value for the element in read-only form, and write-enabled fields that display the values configured for name, effective dates, and description for any element, as well as likelihood and rating for a control. Change the write-enabled values as you wish and click on the Save button.

Adding or Removing Related Controls

Related controls, once again, apply only at the control level; one control may be related to another in any way your company determines to be meaningful. To add or remove related controls for a given control:

1 Click on the Related Controls link in the View form. A Relate Controls panel appears:



2 Move controls from the Available box to the Selected box to add them, or from Selected to Available to remove them.

3 Click on the Save button.

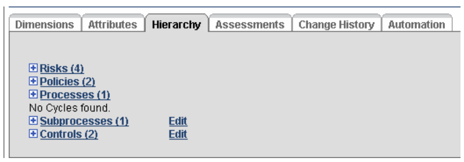
4 Click on the View Control link in the “breadcrumbs” trail to return to the View form. The controls you selected appear beneath the Related Controls label.

Connecting Elements in the Hierarchy

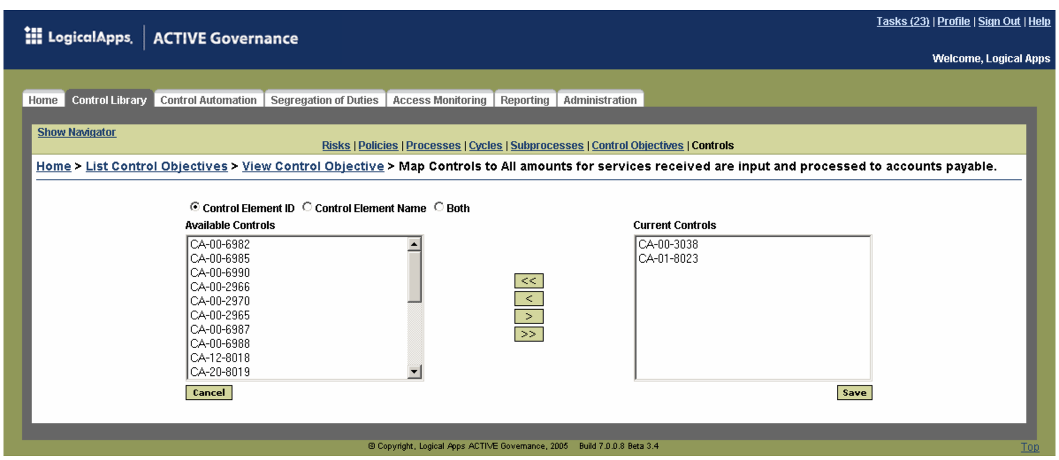
To modify hierarchy assignments for any element:

1 Open the View form for the element whose configuration you want to change.

2 Click on the Hierarchy tab, and then on an Edit link in the panel activated by the tab. One link is located next to a listing for each element you can select — for example, controls and subprocesses if you are working in the View Control Objective panel.



3 A “Map” form appears. In it, move values from an Available box to a Selected box to add them, or from Selected to Available to remove them. You may have this form display ID values, names, or both for the elements you’re selecting. Click on the radio button that reflects your choice.



4 Click on the Save button.

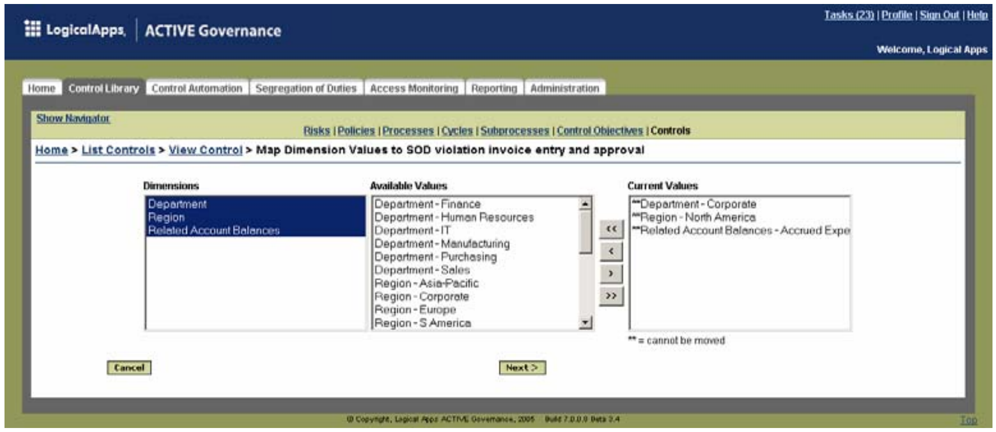
Editing Dimension and Attribute Assignments

You can add dimension or attribute values to a control-library element. You cannot remove them, but you can inactivate any assigned value by setting a date when you want it to expire. To modify the dimension or attribute values assigned to a control-library element:

1 Open the View form for the element whose configuration you want to change.

2 Click on the Dimensions or Attributes tab, and then click on the Edit link at the right of the panel activated by the tab.

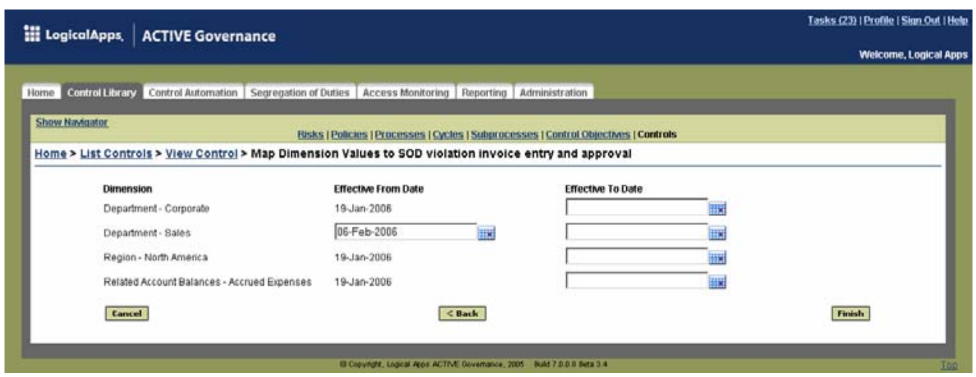
3 A “Map” form appears:



In the Dimensions or Attributes box, select the dimensions or attributes for which you want to add values. Those configured for your selections then appear in the Available Values box. Highlight and send them to the Selected Values box.

In this case the > button sends highlighted values, and the >> button sends all displayed values, from the Available Values box to the Selected Values box, but the < and << buttons have no effect.

4 Click on the Next button. A new form lists all the dimension or attribute values selected for the control so that you can set effective dates for them.



Dates already selected for existing dimension or attribute values remain in force; you can change those set in the future, but not those that have passed. To inactivate a control, set its Effective To Date to the date on which you want it to expire.

Newly added dimension or attribute values are set to go into effect immediately and continue indefinitely. Accept default values or set new dates (see “Date Fields,” page 6.)

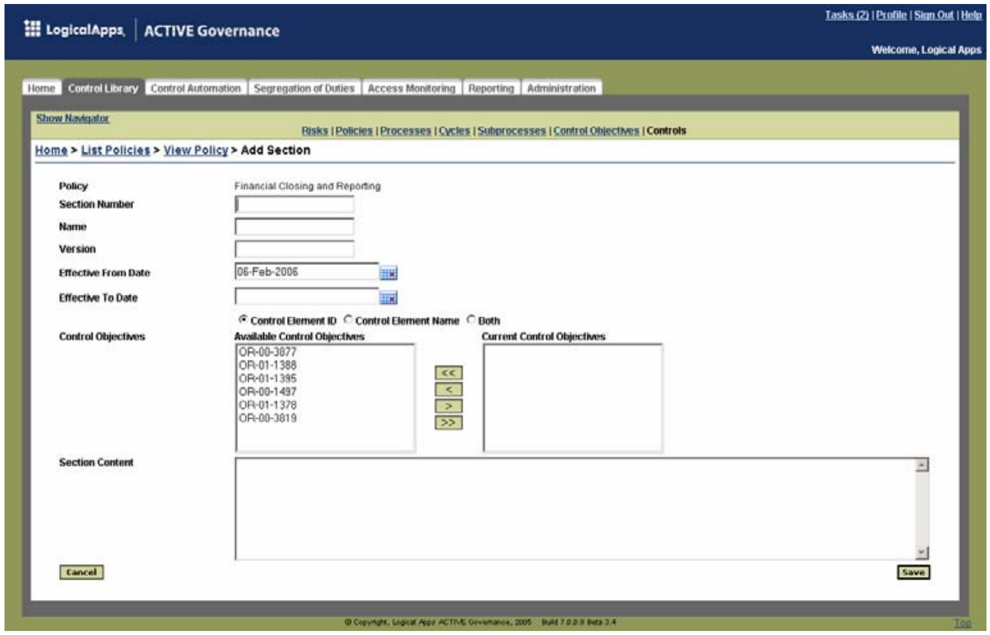
5 Click on the Finish button.

Defining Policy Sections

Once you’ve created a policy, you can configure sections for it. Each describes a facet of the broader policy, and each is addressed by at least one control objective:

1 Open the View form for the policy to which you want to add sections.

2 Click on the Sections tab, and then click on the Add Section link at the right of the panel activated by the tab. An Add Section form appears:



3 Complete fields that identify the section: Section Number, Name, and Version. (You are free to create your own conventions for these values.)

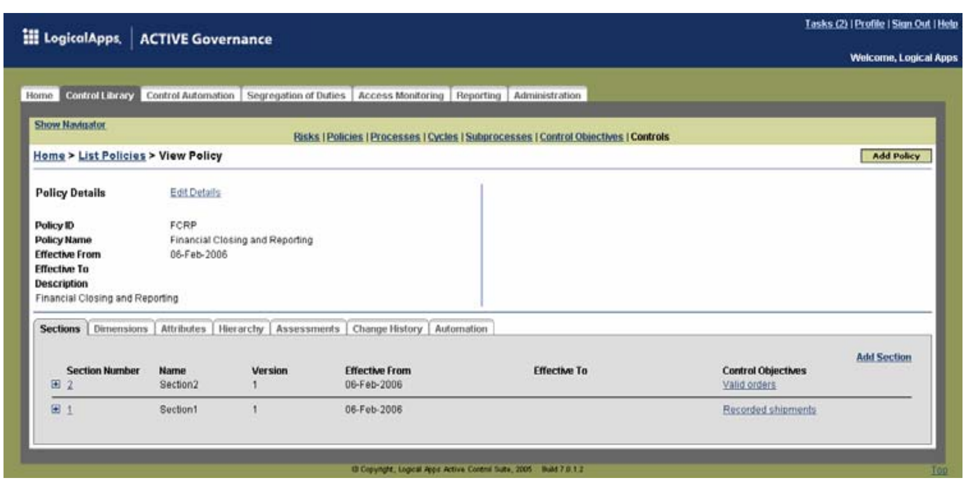
4 Select starting and ending dates for the policy section in the Effective From Date and Effective To Date fields, respectively. (See "Date Fields," page 6.)

5 Identify one or more control objectives that address issues raised in this section: move objectives from the Available box to the Selected box to add them, or from Selected to Available to remove them.

6 Write a definition of the policy section in the Section Content box.

7 Click on the Save button.

Entries for the sections you define appear in the Sections panel for the policy to which they belong:



With each entry, you can:

- Click on the plus-sign icon to display the section content in addition to the information that appears by default. (When you do, the plus sign changes to a minus sign; click on it to hide the section content.)
- Click on the section number to create a new version of (edit) the section. An Edit Section form appears, essentially identical to the Add Section form with its fields displaying current values for the section. Update the version number, make other changes as needed, and click on the Edit Section button. The Section panel includes an entry only for the latest version of each section.
- Click on the name of a control objective associated with a section to move immediately to the View form for that objective.

Adding Automations to Controls

While a “control” in ACTIVE Governance is essentially documentary, an “automation” is a software object that actually implements the control. Automation types include control monitors created in ACTIVE Policy Governor; segregation-of-duties rules created in ACTIVE Access Governor; or form, flow, or change-control rules created in ACTIVE Data Governor.

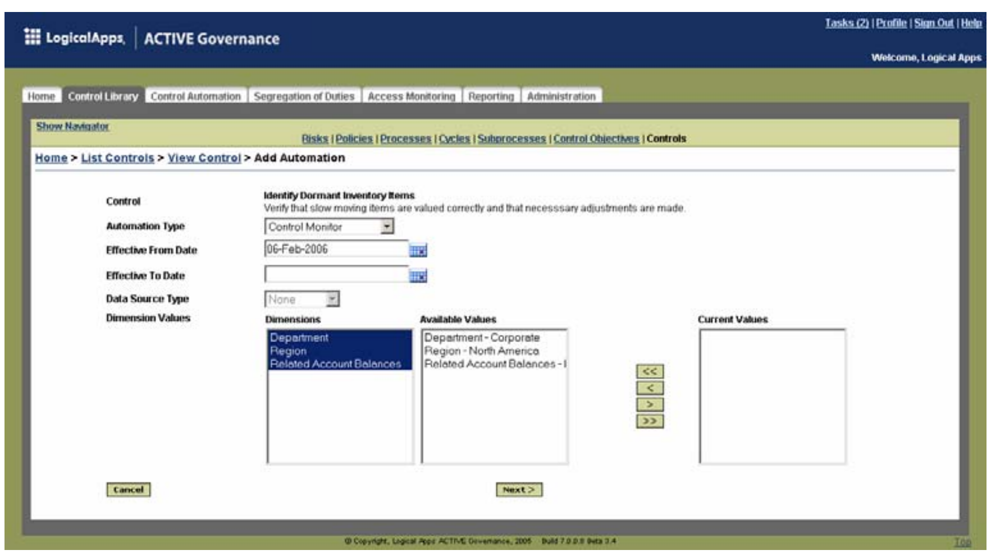
To run a control monitor, you must add it to a control. The other automations, however, run once they are created in their applications; you would add them to controls in the ACTIVE Governance Platform only for documentary purposes.

You can add any number of automations to a control. To add one:

1 Open the View form for the control to which you want to add an automation.

2 Click on the Automation tab.

3 Click on the Add Automation button. This opens the first in a series of Add Automation panels, each of which presents a read-only display of configuration choices you have already made, along with additional options for selection.



4 In the Automation Type list box, select the type of enforcement you want to attach to the control.

- Control Monitor is a control monitor created in ACTIVE Policy Governor.
- Segregation of Duties is a rule created in ACTIVE Access Governor.
- Oracle Flow Rule, Oracle Form Rule, and Change Control are rules that regulate the use of Oracle Applications, as written in ACTIVE Data Governor.

5 In the Effective From Date and Effective To Date fields, select dates on which the association of the automation with the control begins and ends. (See “Date Fields,” page 6.)

6 If you chose Control Monitor in the Automation Type field, the Data Source Type list box is set to None and cannot be changed. If you chose any other automation type, use the Data Source Type list box to choose a database instance that stores automations from which you want to select.

7 In the Dimension Values area, the Dimensions and Available Values fields display only those dimensions and values that have been selected for the control to which you are attaching an automation. From these, choose dimension values to determine the segments of your business environment in which the automation is to be used. (If you make no dimension selections, the automation inherits all the dimension values configured for the control.)

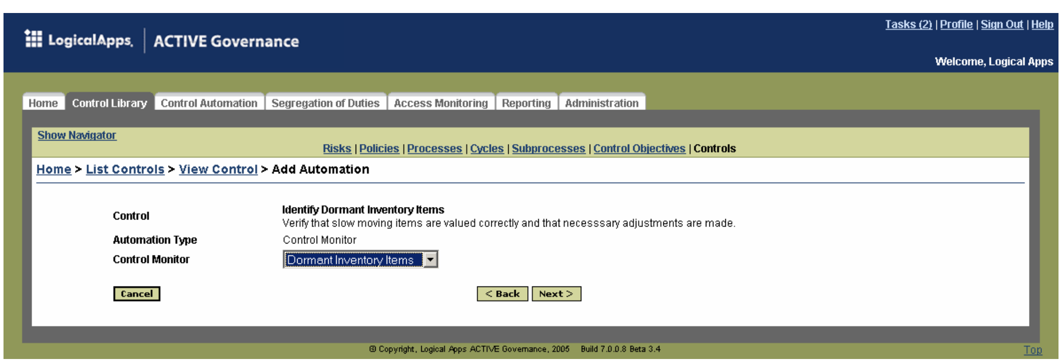
At this point, follow distinct procedures for adding distinct automation types.

Control Monitor Automations

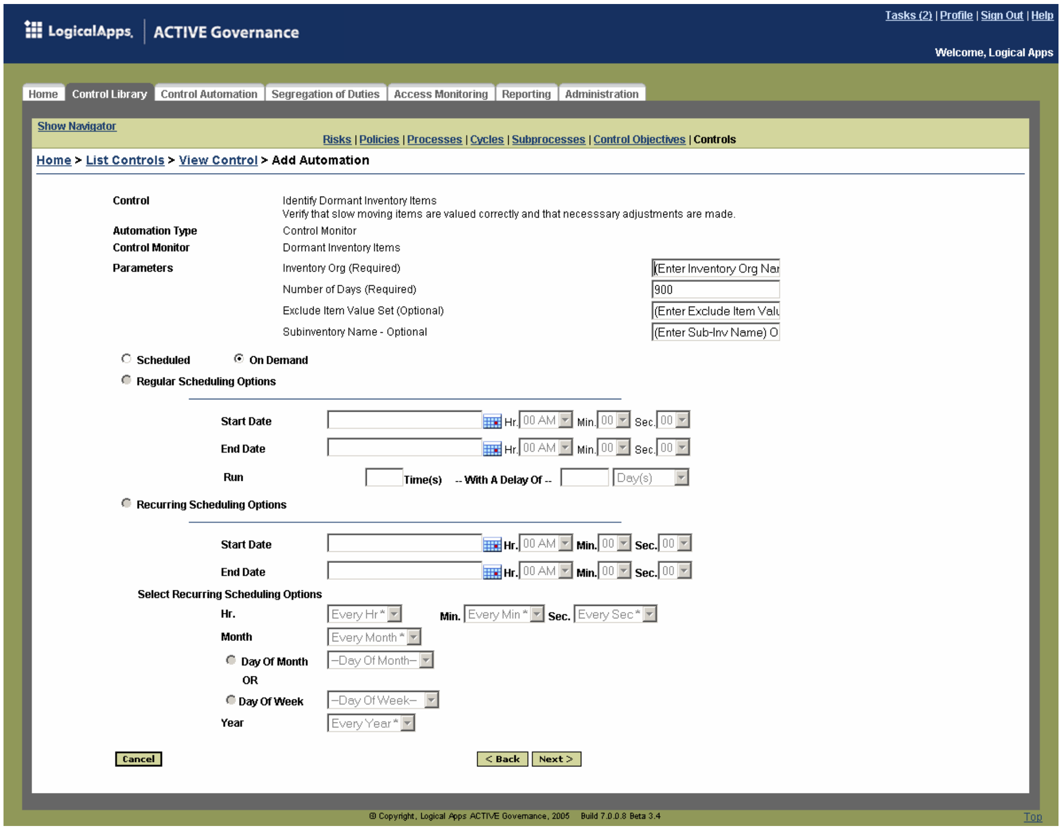
To add a control monitor as an automation for a control:

1 By default, Control Monitor should be selected in the Automation Type list box on the first Add Automation panel, and the None box should be selected in the Data Type list box. After confirming this is the case and making the selections you want in the date and dimension fields, click on the Next button.

2 In a second Add Automation panel, select the control monitor you want from a Control Monitor list box. In the following illustration, for example, the selected control monitor is called Dormant Inventory Items.



3 Click on the Next button. A third Add Automation panel appears:



4 For each Numeric or Character parameter configured for the control monitor you selected in step 2, this Add Automation panel presents a field labeled with the parameter name and set to its default value. Accept the default or enter a new value. (In the illustrated example, the Dormant Inventory Items control monitor takes four parameters: Inventory Org, Number of Days, Exclude Item Value Set, and Subinventory Name.)

5 Configure or turn off scheduling options.

Select the On Demand radio button to turn off scheduling; in this case the control monitor can only be run manually from the Automations panel. Or select the Scheduled radio button to set a schedule on which the control monitor runs automatically; in this case, it can also be run manually from the Automations panel.

If you select the Scheduled button, also select either the Regular Scheduling Options or the Recurring Scheduling Options radio button. In either case, use the appropriate Start Date and End Date sets of fields to establish the period during which the control monitor should run:

a In the Start Date and End Date fields, enter dates on which the workflow should begin and finish running. (See “Date Fields,” page 6.)

b For each date, select values in the Hr, Min, and Sec list boxes to set the precise time when the workflow should become active or cease being active.

If you selected Regular Scheduling, configure the cycle on which the workflow is to run:

a In the Time(s) box, type the number of times the workflow should run.

b In the two “Delay of” boxes, set the period between each running of the workflow — the first box accepts a number and the second enables you to select a unit of time (days, hours, minutes, or seconds).

You could, for example, use the Start Date and End Date sets of fields to define a 24-hour time span, and then cause the workflow to run once every other hour by typing 12 in the Time(s) field and selecting 2 hours in the Delay Of fields.

If you selected Recurring Scheduling, determine when and how often the workflow runs. Each field in this section sets a unit of time; each defaults to “Every,” so that the workflow would run once every second. As you modify the defaults, work from small units of time to large, in effect defining a time and a date at which the workflow recommences running.

If you were to set Seconds to 30, for example, the workflow would run once per minute at 30 seconds after the minute. If you were then to set Minutes to 15, the workflow would run every hour at 15 minutes and 30 seconds after the hour. If you were then to set Hours to, say, 3 PM, the workflow would run once per day at 15 minutes and 30 seconds after 3 PM.

You might then select a value for Month. By default, the workflow would run every day during the month you select (at the time set in the Hours, Minutes, and Seconds fields). However, you have two options for specifying days within the month. You can select either of the following:

- The Day Of Month radio button, and then a specific date (or the last day or last weekday of the month). The workflow would then run on the date of the month you selected (at the time set in the Hours, Minutes, and Seconds fields).
- The Day Of Week radio button, and then a specific day or a “Last” day (such as Last Monday). The workflow would then run each selected day during the month, or the last selected day during the month (once again, at the time set in the Hours, Minutes, and Seconds fields).

Finally, if you select a year value, the workflow runs at the configured days and time only during the selected year.

6 Click on the Next button. A final panel summarizes your selections. You can click on the Back button until you reach the panel in which a selection is made, change it, and then click on the Next button until you return to this summary panel. When you are satisfied with your selections, click on the Finish button.

SOD-Rule Automations

If you are adding a segregation-of-duties rule as an automation:

1 After you make the selections you want in the initial Add Automation panel — including Segregation of Duties in the Automation Type field and a database instance in the Data Source Type field — click on the Next button.

2 In a second Add Automation panel, a Conflict Entity list box displays SOD rules available on the database instance you selected in the initial Add Automation panel. Choose the name of the rule you want, and click on the Next button.

3 A summary panel displays the selections you have made. Click on the Back button if you wish to alter your selections, or click on the Finish button to complete the addition of the automation.

Data Governor Automations

If you are adding a form, flow, or change-control rule as an automation:

1 After you make the selections you want in the initial Add Automation panel — including Oracle Flow Rule, Oracle Form Rule, or Change Control in the Automation Type field and a database instance in the Data Source Type field — click on the Next button.

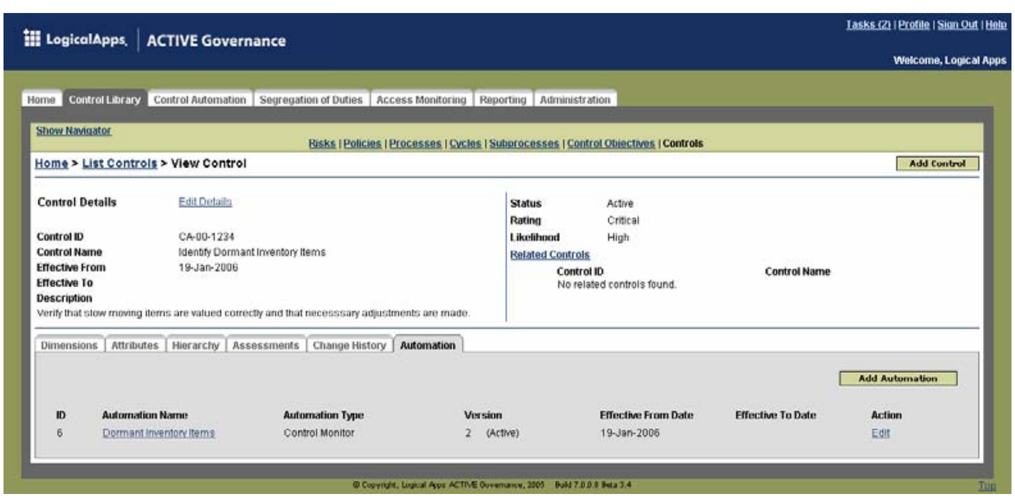
2 In a second Add Automation panel, a Library list box displays the names of libraries available on the database instance you selected in the initial Add Automation panel. Libraries are “containers” for rules and are configured in ACTIVE Data Governor. Select the name of the library containing the rule you want to add as an automation, or select All Libraries. Then click on the Next button.

3 In a third Add Automation panel, a Rule list box displays the names of rules contained in the library you chose. Select the rule you want to add as an automation.

4 A summary panel displays the selections you have made. Click on the Back button if you wish to alter your selections, or click on the Finish button to complete the addition of the automation.

Viewing, Editing, and Running Automations

When you add an automation to a control, an entry for it appears on the Automations panel of View form for that control. (Higher-level elements in the control library inherit automations from the controls with which they are linked. So entries for the automation appear also in the Automations panels of any linked higher-level elements.)

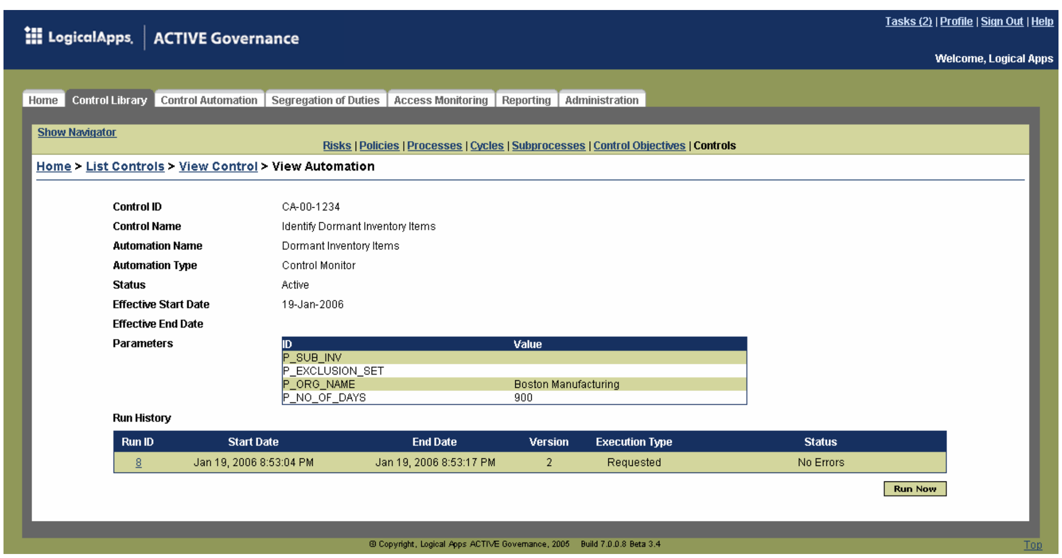


In addition to automation name, type, and effective dates, each entry (for any type of automation) displays an Edit link in an Action column. It enables you to edit some of the details by which the automation is attached to the control:

- Click on the link to open a series of Edit Automation panels. These are effectively copies of the Add Automation panels, except that they display the values already set for the automation.
- Work your way through the panels as you did the Add Automation panels, clicking on the Next button in each until you reach a final panel in which you click on a Finish button.
- As you do, however, you can change only some of the configured values. For a control monitor, these include the effective dates, parameter values, and scheduling details; for any other type of automation, you can change only the effective dates.

If the automation is a control monitor, its entry on the Automation panel provides features not available to the other automation types. First, a Version field in its listing displays the version number of the control monitor, as well as the status of that version. Note that if a version of a control monitor is inactivated after you attach it to a control, you need to reattach the current Active version.

Second, the automation name is a link to a View Automation panel. Click on the name to view more detailed information about the control monitor, including the current settings of its parameters and a history of its use. From the View Automation panel, you can also run the control monitor manually.



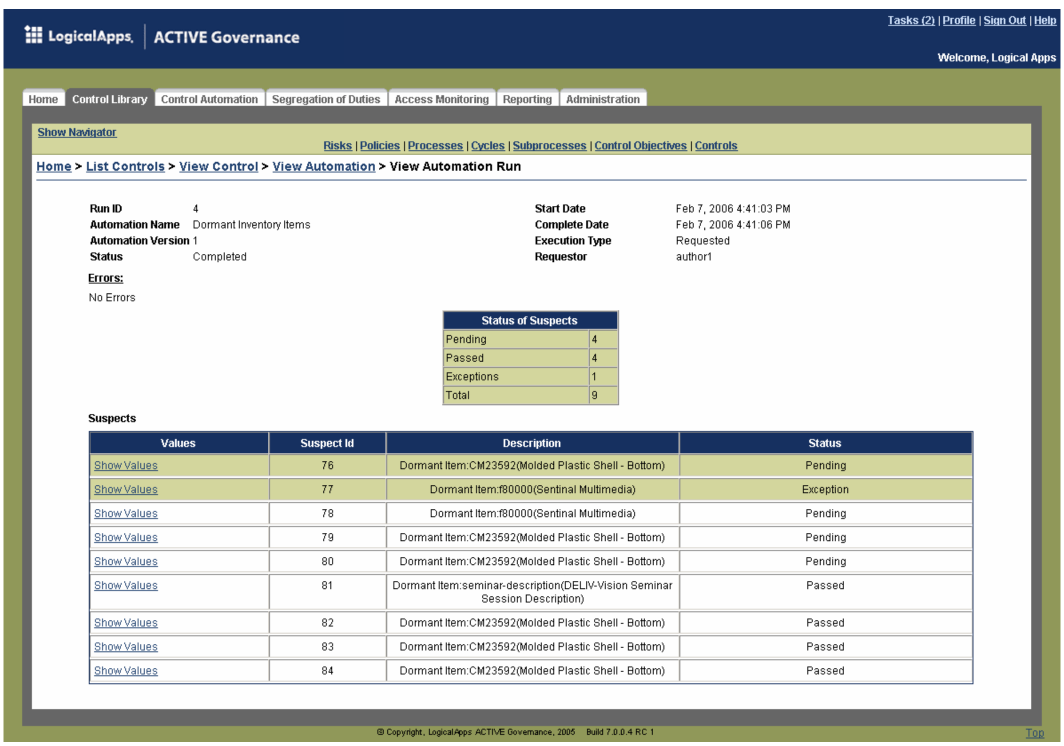
To run a control monitor, click on the Run Now button in this form. Each time you do, and each time the control monitor runs on a schedule, ACTIVE Governance not only evaluates the SQL statements contained in the control monitor to generate a new set of suspects, but also records information about that evaluation in a row of the Run History grid in this form. The information includes:

- A number that uniquely identifies the run.

- The dates and times on which evaluation of the control monitor started and ended.
- The version number of the control monitor.
- An "execution type." This can be either of two values: "Requested" indicates that a user clicked the Run Now button to execute the control monitor. "Scheduled" indicates that the control monitor ran according to a schedule set up while the monitor was added to the control as an automation.
- A run status, which explains any errors that occurred during the run or reports that there were no errors.

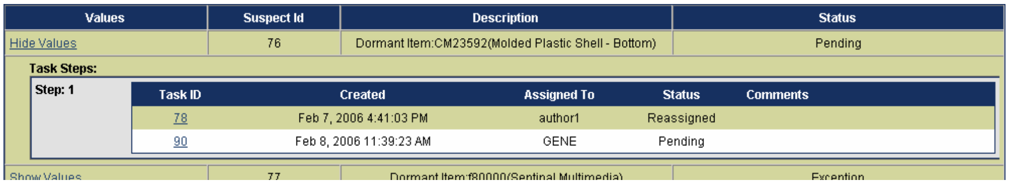
If you click on a run ID, a View Automation Run panel displays detailed information about the execution of the control monitor. The panel provides a list of suspect tasks generated by the control monitor and forwarded to reviewers at the Task Inbox, as well as a grid showing status of these tasks. As reviewers pass judgment on the tasks, ACTIVE Governance automatically updates the status totals shown in the Status of Suspects grid in this panel:

- Passed means that a suspect condition is allowed to stand.
- Exception means that a suspect condition must be remedied.
- Pending means that no decision has been reached.



Moreover, you can click on a Show Values link in the Values column of the Suspects list to display the state of the review for any of the suspects. Each pop-up display lists steps in the workflow routing under which the suspect is being reviewed. For each step, it lists reviewers, the actions they have taken, and any comments they have made.

In the following illustration, for example, the workflow routing consists of a single step that sends suspects to a reviewer named "author1." In this case, however, the user has reassigned the suspect task to a second user, "GENE," who has not yet reviewed it.



Values	Suspect Id	Description	Status
Hide Values	76	Dormant Item:CM23592(Molded Plastic Shell - Bottom)	Pending

Task Steps:

Step: 1

Task ID	Created	Assigned To	Status	Comments
78	Feb 7, 2006 4:41:03 PM	author1	Reassigned	
90	Feb 8, 2006 11:39:23 AM	GENE	Pending	

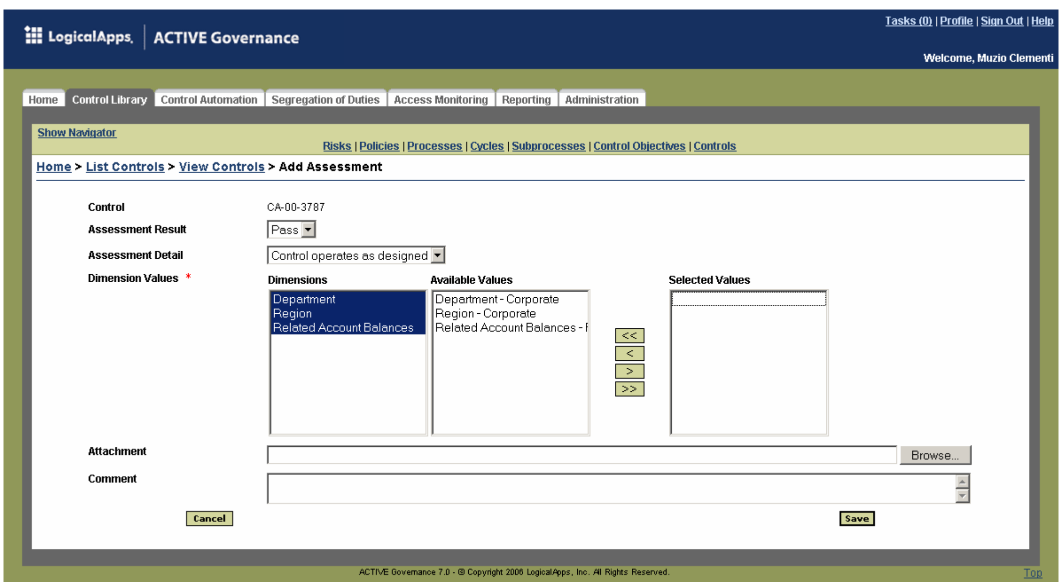
From here, you can click on a task ID to view details of the actions taken by a given user. ACTIVE Governance displays a replica of the Suspect Details panel in the Task Inbox, but removes any of the buttons one needs to make an actual status assignment. (Click on its Back button to return to the View Automation Run form.) Note also that when you click the Show Values link, it changes to read "Hide Values"; click on that link to restore the original display of the View Automation Run form.

Assessing Control-Library Elements

To assess the effectiveness of control-library elements:

1 Open the view panel for the element you want to assess (see page 47).

2 In the View panel, click on the Assessments tab, and then on the Add Assessment link. An Add Assessment form appears. On it, a field displays the name of the element you are assessing; it" filled by ACTIVE Governance, and you cannot change its value.



3 In the Assessment Result list box, select the value *Pass* or *Fail*.

4 In the Assessment Detail list box, select one of several statements that rate the extent to which an element satisfies its purpose. (These statements in effect form a range of evaluations from most to least satisfactory.)

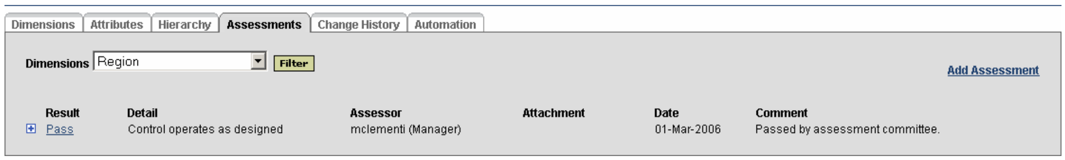
5 The Dimension Values area lists all of the dimension values with which an element is associated, either directly or indirectly. Select at least one of them to specify the segment of your business to which the assessment applies.

6 Optionally, attach a document that explains the reasoning behind the assessment you've made. In the Attachment field, type the path and file name of the document file. Or, click on the Browse button and, in a Choose File dialog box, use standard Windows techniques to navigate to the file.

7 In the comment box, type a comment about the assessment.

8 Click on the Save button.

When you complete the assessment, the Assessments tab displays details about it (and would display a similar row of data for each prior assessment):



As you review assessments, you can do the following:

- Filter the list of assessments. In the Dimension list box, select a dimension. The Assessments panel then lists only assessments that set a value for the dimension (see step 5, above). Or select All to view entries for all assessments.
- Click on the plus-sign icon to display the dimension values selected for the assessment. When you do, the icon changes to a minus sign; click on it to restore the original display.
- Click on the Result entry (*Pass* or *Fail*) to open an Edit Assessment panel — a copy of the Add Assessment panel in which the fields display the values selected for the assessment. You can alter the settings and resave the assessment.

Chapter 6

Reviewing Items in the Task Inbox

A Task Inbox enables users to review any of three types of items:

- Control library elements, as they are created or modified. When a new element is created, it does not appear in its List panel until it is approved. When an existing element is modified, further modifications are not possible until the original modifications are approved.
- Suspects generated by control monitors (which, of course, are developed in ACTIVE Policy Governor to define actions subject to control, and then attached to controls as "automations").
- Requests, made through the Access Monitoring feature of ACTIVE Access Governor, to give users access to duties they do not ordinarily perform. A user cannot assume the new duties until his request is approved.

The Task Inbox has two parts, User Tasks and User Requests. Each displays a selection of items tailored to the user currently logged on to the ACTIVE Governance Platform.

- User Tasks presents items that originate with users other than the current one; as a result, the current user can act upon them. However, each user receives User Tasks messages that apply only to items she is authorized to review; that authorization is determined by the configuration of workflow routings and definitions.
- User Requests presents items that originate with the current user — a control library element that the user has created, for example, or a suspect that the user

has reassigned to another user. Because a user approving her own requests would constitute a conflict, these items are read-only.

Moreover, each user can configure an Out of Office Assistant. If the user is unavailable, this feature redirects review messages to another specified user.

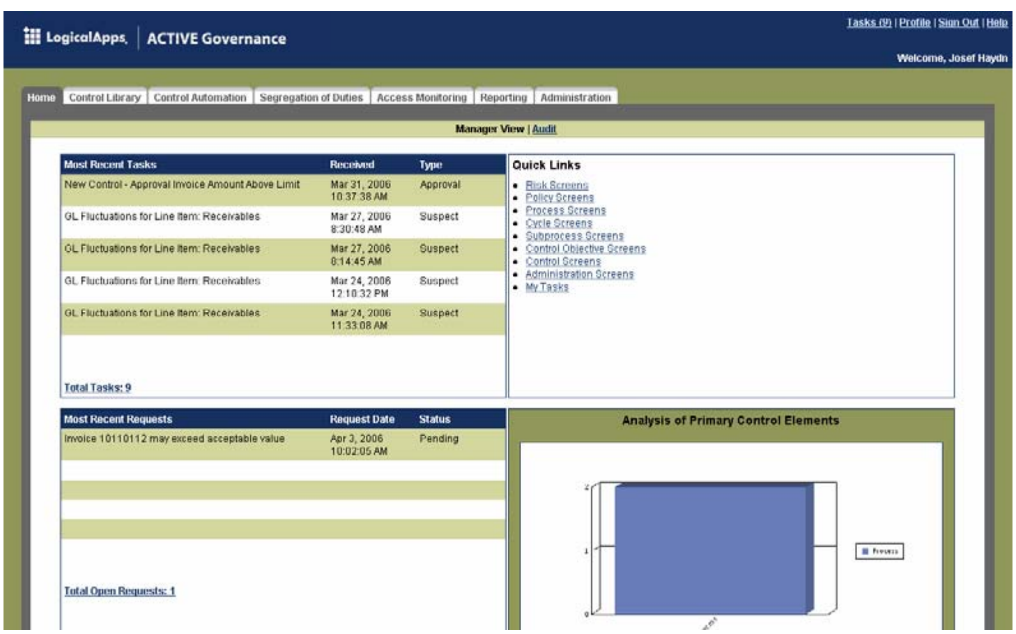
Who Can Do This?

Every ACTIVE Governance user can open the Task Inbox and respond to messages he receives in it. However, as noted above, a user is eligible to receive User Tasks messages only if he is named in at least one workflow routing. He can receive User Requests messages only if he is able to originate tasks — if his user role gives him rights to create or modify items that are subject to review, or if he is eligible to receive User Tasks messages and so can reassign them to other users. This chapter is written in the assumption that these conditions apply to you.

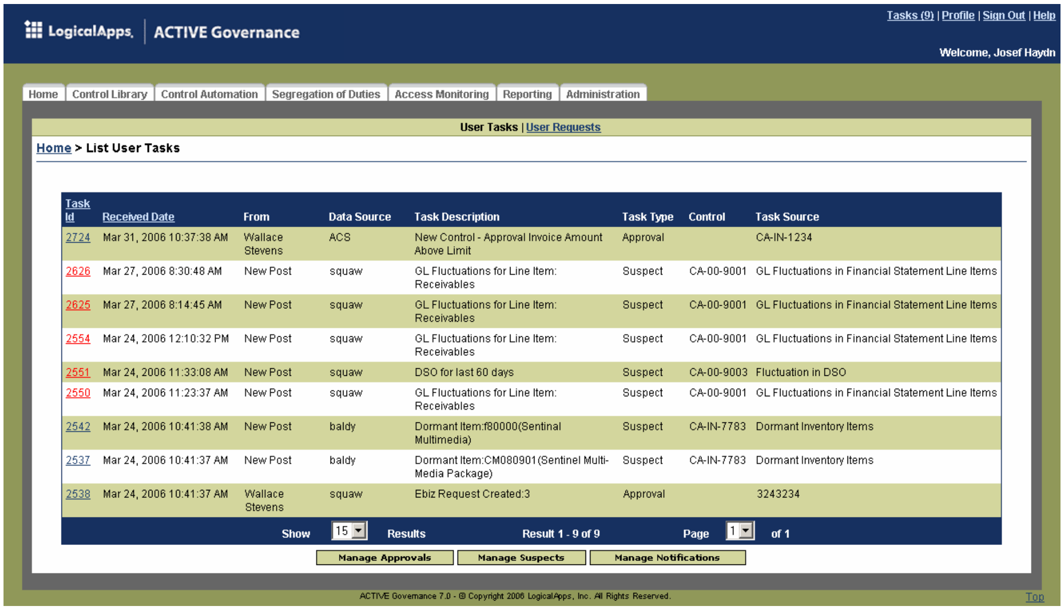
Opening the Task Inbox

Every panel in the ACTIVE Governance Platform displays four links at its upper right corner. The first of these is labeled *Tasks*, and it also displays the number of tasks assigned to the user who is currently logged on.

Moreover, the Home panel comprises a selection of portlets. For ever user role except auditor, one of these portlets lists the five tasks most recently assigned to the current user, and another lists the five most recent requests. (For these users, the Home panel has six portlets; the Recent Tasks portlet is at the upper left and the Recent Requests portlet is immediately below Recent Tasks.) Each has a link that displays the total number of tasks or requests assigned to the current user.



To open the Task Inbox, click on one of these links. Either the Tasks link or the link in the Recent Tasks portlet opens a List User Tasks panel (shown below); the link in the Recent Requests portlet opens a List User Requests panel. You can switch from one panel to the other by selecting each panel's link in the Library Navigator.



The List User Tasks panel enables you to open other panels in which you can record your judgment of items under review, either individually or en masse. The read-only List User Requests panel does not. Thus three buttons, which lead to other panels, occupy the bottom of List User Tasks, but are absent from List User Requests. Moreover, task IDs in the List User Tasks panel are active links to other panels, but are inert in the List User Requests panel.

However, both panels display tasks (or requests) of all types (approval, suspect, and access), and both present the same information about the items they list:

- Several columns present self-explanatory information: Received Date displays the date and time at which a message appeared in the Task Inbox. From names the user who originated a message (although in this column, the entry *New Post* applies to a suspect message sent by a workflow routing). Data Source identifies the database instance in which a control-library element, suspect, or access request exists.
- For each task (or request), ACTIVE Governance assigns a unique task ID, and the Task ID column presents these values. In the User Tasks panel, each ID is a link to another panel that presents detailed information about the task in question. A blue ID indicates a task for which the detail panel has never been opened; a red ID indicates a task for which the detail panel has been opened, but no action has been taken. In the User Requests panel, ID values appear in black, indicating they do not link to anything.
- Each entry in the Task Description column encapsulates the issue to be reviewed. For a control library task, a label identifies the type of element to be reviewed and whether it is new or updated, and provides its name. For a suspect task, the column displays a description written into the control monitor that generated the

suspect. For an access request, the description is either "Ebiz Request Created" (for access to an Oracle Applications responsibility) or "Database Request Created" (for direct access to a database table).

- In the Task Type column, the value *Approval* applies either to an access request or to a new or updated control-library element. The value *Suspect* applies to a suspect generated by a control monitor.
- The Control column is populated only for suspect tasks, and each entry displays the ID configured for the control with which a suspect is associated. (The association, of course, follows this path: A suspect is generated by a control monitor, and the control monitor is attached as an "automation" to a control.)
- For each suspect task, the Task Source column displays the name of the associated control (the one whose ID appears in the Control column). For each control-library element approval, the Task Source column displays the ID configured for the element. For each access request, the Task Source column displays a support-ticket ID configured for the request.

Reviewing Suspects

You can select individual suspects and, in a Suspect Details panel, review them one at a time, or open a Manage Bulk Suspects panel in which you can review any number of suspects at once.