ACTIVE Governance™

ACTIVE Governance Platform User's Guide

Software Version 7.1

LogicalApps®

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Document Version AG001-710A

8/21/06

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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 a selection of "seeded" controls and adapt them as needed.

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, each of which 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. These items include control-library elements, as they are created or modified.
- Review approval requests at a Task Inbox.
- Manage ACTIVE Governance users and user groups.
- Review reports, which present 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.)

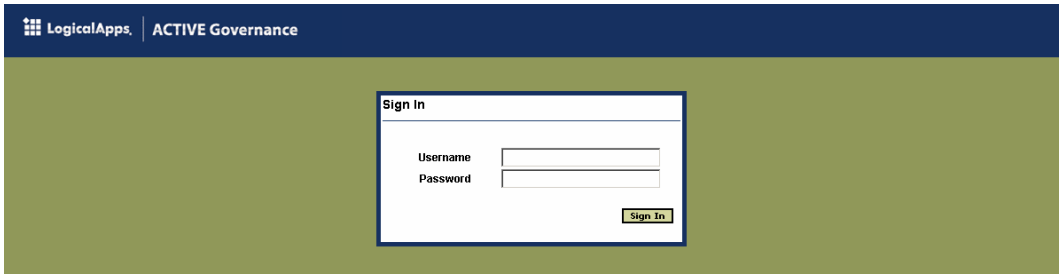
- ACTIVE Access Governor™ defines and detects segregation-of-duties (SOD) conflicts, either preventing them from occurring or uncovering them so that they can be properly managed. It can identify conflicts at both the responsibility and function levels in Oracle Applications. ACTIVE Access Governor also grants users temporary access 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 rules that apply change control to fields in Oracle Applications forms. Each change-control rule 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 lists of tasks. One presents the five most recently generated approval requests that you can review, and the other the five most recent approval requests you have generated. Each list contains a link to the Task Inbox.
- 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 or export control-library elements. Manage Active Governance users and user groups. Configure workflow routings and workflow definitions. Configure data sources (connections to database instances to which controls are to be applied) and manage other system-level properties.

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 primary application role (and may be assigned reporting roles) 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 roles. Each primary application role provides write 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 see items, but not create or edit them), and may provide no access to still other features. Each reporting role enables you to generate and review a distinct selection of reports. 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

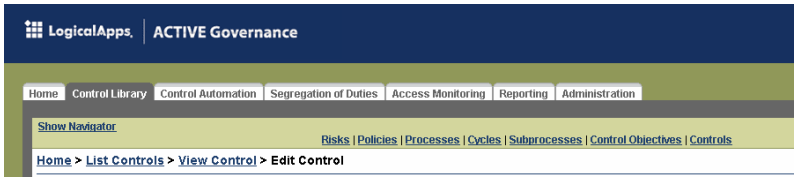
Each tab in the ACTIVE Governance Platform provides access to a set of related tasks. However, when you select a tab you open a panel that focuses on one of these tasks. For example, the control library manages not only controls, but also all of the elements that provide context for controls. When you 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 library 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 51.

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

Every ACTIVE Governance user is assigned one "primary application role" and any number of "reporting roles."

Each of eight primary application roles — Author, Manager, Rule Builder, SOD Super User, Executive, User, Auditor, and System Administrator — grants access to a distinct set of ACTIVE Governance features (apart from reports). For example, only an Author can create or modify Control Administration items that serve as "building blocks" for other items. Only a System Administrator can create or modify users and user groups. An Auditor has view and assessment rights, but can create or edit nothing. Before controls or related items can be configured, it's necessary to create users with rights to configure them.

(A ninth primary application role — AG Super User — has view, edit, and create privileges to all ACTIVE Governance features. Because this role has unlimited authority, it should be assigned as sparingly as possible.)

Moreover, control-library elements, once created or modified, must be approved before they can be used. Workflows distribute these elements for review, so workflow routings and definitions must be configured before any control-library elements can be created. Each workflow routing calls users or user groups; these must be created first so that they exist to be assigned to routings.

Each reporting role specifies a selection of reports a user is able to open and review. Each selection provides information appropriate to work performed by a user at one of the primary application roles, and so the reporting-role names correspond to the primary-application-role names.

ACTIVE Governance comes with one user configured at the System Administrator primary application role (and the Report-Admin reporting role); the user name and password for this user are both *admin*. By logging on as the admin user, one can create other users with rights to the various configuration tasks, or users and groups for membership in workflow routings. However, it's imperative for proper security that an authoritative user modify the admin user's password as soon after installation as that task can be completed.

Although only a System Administrator or AG Super User can configure users, any user can change his own password.

User Permissions in ACTIVE Governance

Every user has access 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 primary application role he has been assigned, as shown in the following tables:

Rights to Features On:	Author	Manager	Rule Builder	SOD Super User
Control Library Tab	C	C, A	C, A	C,A
Control Automation Tab	F	F	F	F
Segregation of Duties Tab	CA	CA	CA	F
Administration Tab — Control	F	V, U	V, I	V
Administration Tab — User	V	V	V	V
Administration Tab — Workflow	F	F	F	F
Administration Tab — Data	F	F	F	N
Administration Tab — System	D	D	N	N

Rights to Features On:	Executive	User	Auditor	System Administrator
Control Library Tab	C, A	C	V, A	V
Control Automation Tab	V	V	V	V
Segregation of Duties Tab	V	CC	V	V
Administration Tab — Control	V	V	V	I
Administration Tab — User	V	V	V	F
Administration Tab — Workflow	V	V	V	V
Administration Tab — Data	N	N	N	F
Administration Tab — System	N	N	D	F

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.
- **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.)

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.

On the Segregation of Duties tab, a user at any role can view conflicts generated by SOD rules, either viewing the status of a conflict or updating status if the conflict is generated by a rule that designates the user as an approver. Otherwise, each role has the following rights:

- **V:** View. Open a list of SOD rules, but do not view their configuration details; do not create or edit SOD rules. 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.
- **CC:** Create Conflicts. View, create, and edit SOD rules. View, but do not create or edit, entity groups. View simulation rules, but do not create or update them; view simulation results. In the Library Navigator, have access only to options that support these rights.
- **CA:** Create All. View, create, and edit SOD rules. View, create, and edit entity groups. View, create, and edit global subscribers (data groups, submenus, functions, operating units, or users who are exempt from rules). Create, edit, and view simulation rules; run simulation and view results. Have full access to the Library Navigator.
- **F:** Full. Enjoy all the privileges available to a Create All user; in addition run remediation (put simulated conflict resolutions to actual use).

Features accessible through the Administration tab divide into five 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. Data Administration exports control-library elements to, or imports them from, files. System Administration manages data sources and other system-level properties. For each, users may have these rights:

- **V:** View. Open panels showing configured settings; do not modify or create values.
- **F:** Full. Create, modify, or view settings.
- **U:** Mass-update assignments of dimension or attribute values to controls.

- **I:** Import. Import controls from an Excel spreadsheet. (This code applies only to Control Administration.)
- **D:** Create or modify data sources only.
- **N:** No rights.

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.

User Permissions for Reporting Roles

An ACTIVE Governance Super User has access to all reports even if no reporting role is assigned to him; the Auditor and Manager reporting roles also have access to all reports. Reports are organized by folder, and only these three roles have access to reports in the following folders:

- ChangeControl, which documents work done in ACTIVE Data Governor.
- OracleFlow, which applies to rules created in AppsFlow, a LogicalApps "embedded agent" that runs within Oracle Applications.
- OracleForm, which applies to rules created in AppsForm, another LogicalApps "embedded agent" that runs within Oracle Applications.

All roles have access to reports contained in the Segregation of Duties and Oracle EBS Security folders, which pertain to work done in ACTIVE Access Governor.

Apart from these rights, reporting roles have access to the following reports. (In the table, the value *Y* stands for *yes*, indicating that the role has access to the report, and the value *N* stands for *no*.)

Report	Author	Rule Builder	SOD Super User	Executive	User	Admin
Access Monitoring Folder						
Access Monitoring User Activity	N	Y	Y	Y	N	Y
Control Automation Folder						
Automated Controls	Y	N	Y	Y	Y	N
Automated versus Manual Controls	Y	N	Y	Y	Y	Y
Average Days of Outstanding Tasks	Y	N	Y	Y	Y	N

Table continues on the next page.

Report	Author	Rule Builder	SOD Super User	Executive	User	Admin
Control Automation List by Control Objective	Y	N	Y	Y	Y	N
Control Automation List by Primary Element Name	Y	N	Y	Y	Y	N
Control Automation List by Primary Element	Y	N	Y	Y	Y	N
Control Automation List by Subprocess	Y	N	Y	Y	Y	N
Control Automation Suspects by Dimension Value	Y	N	Y	Y	Y	N
Control Monitor Detail	Y	N	Y	Y	Y	N
Detail Suspect History	Y	N	Y	Y	Y	N
Open Suspect Tasks by Control Objective	Y	N	Y	Y	Y	Y
Open Suspect Tasks by Subprocess	Y	N	Y	Y	Y	Y
Open Suspects by Primary Control Element	N	N	Y	Y	Y	Y
Summary Suspect History by Control Element	Y	N	Y	Y	Y	N
Summary Suspect History by User	Y	N	Y	Y	Y	N
Control Library Folder						
Analysis of Control Elements	Y	N	N	Y	Y	Y
Analysis of Primary Control Elements	Y	N	N	Y	Y	Y
Conflicting Assessments by Control Element	Y	N	N	Y	Y	Y
Control Assessment Detail by Assessment	Y	N	N	Y	Y	Y
Control Assessment Result Details by Primary Control Element	Y	N	N	Y	Y	Y
Control Assessments by Dimension by Rating	Y	N	N	Y	Y	Y
Control Assessments by Primary Control Element	Y	N	N	Y	Y	Y
Control Assessments by Subprocess	Y	N	N	Y	Y	Y
Control Detail	Y	N	N	Y	Y	Y
Control Element Library	Y	N	N	Y	Y	Y
Control Elements Missing Mandatory Dimensions and Attributes	Y	N	N	Y	Y	Y
Control Framework	Y	N	N	Y	Y	Y
Control Library List by Control Objective	Y	N	N	Y	Y	Y
Control Library List by Control	Y	N	N	Y	Y	Y
Control Library List by Primary Elements	Y	N	N	Y	Y	Y
Control Library List by Subprocess	Y	N	N	Y	Y	Y
Control Objective Assessment Detail By Assessment	Y	N	N	Y	Y	Y
Control Objective Detail	Y	N	N	Y	Y	Y

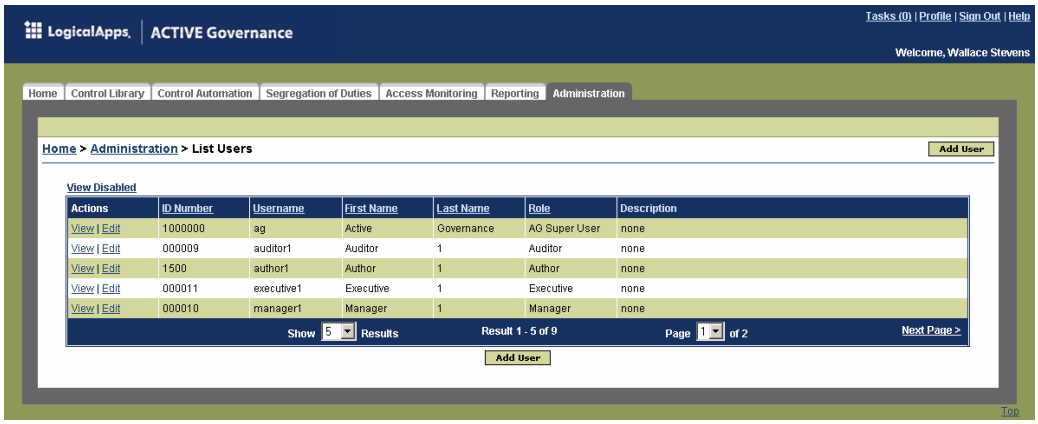
Table continues on the next page.

Report	Author	Rule Builder	SOD Super User	Executive	User	Admin
Failed Assessments by Dimension	Y	N	N	Y	Y	Y
Inherent Relationships	Y	Y	Y	N	Y	N
Primary Element Assessment Detail by Assessments	Y	N	N	Y	Y	Y
Primary Element Detail	Y	N	N	Y	Y	Y
Subprocess Assessment Detail by Assessments	Y	N	N	Y	Y	Y
Subprocess Detail	Y	N	N	Y	Y	Y
Unassessed Controls by Rating by Subprocess and Duration	Y	N	N	Y	Y	Y
Unassessed Controls by Subprocess by Rating	Y	N	N	Y	Y	Y
Unassigned Control Elements	Y	N	N	Y	Y	Y
OracleAudit Folder						
OracleAudit Audit	N	N	N	N	N	N
OracleAudit Submission Setup Details	N	N	N	N	N	N

Displaying a List of Users

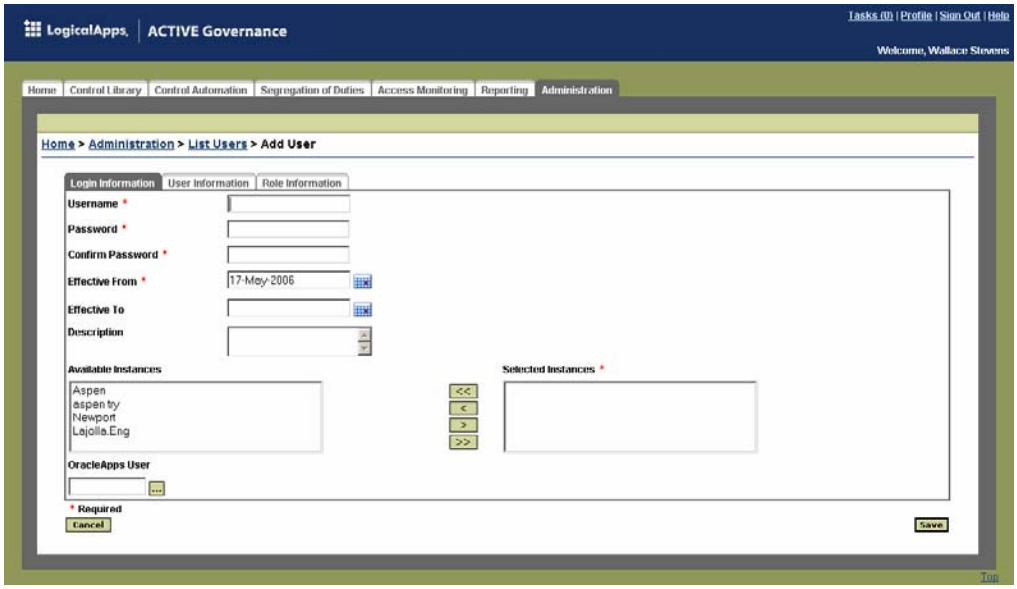
Only a system administrator or an ACTIVE Governance super user can add or edit a user or group. Users at other roles can view user configuration without changing it (and so have access to the View panels described below, but not to the Add or Edit panels).

To view, add, or edit a user, begin by clicking on the Administration tab. Then click on the List Users link in the User Administration section of the Administration Home. A List 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 given name and surname, the primary application role assigned to her, and a description. Users may be disabled (and those who are lose their 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 a View Current link.



Adding a User

To add a new user, click on an Add User button in the List Users panel. (The button appears in two places, near the top right of the panel and at the bottom center.) The following Add User panel appears:



Setting Logon Values

Click on the Login Information tab, and then 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.
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, which consist of the following: !@#$%&*. Moreover, the password cannot match the username.
3. Select starting and ending dates for the user in the Effective From and Effective To fields, respectively. By default, the current date appears in the Effective From field and the Effective To field is blank; accept these entries if you want the user to begin working with ACTIVE Governance immediately and continue indefinitely. Otherwise, enter new dates (see "Date Fields," page 6).
4. 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.
5. The Available Instances field contains a list of 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. Select the database instances in which the user you are configuring will be able to create SOD rules or use access monitoring:

- In the Available field, highlight the instances you want to assign to the user. To highlight a single instance, click on it. To highlight a continuous set of instances, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous set, hold down the Ctrl key as you click on instances.
- Click on the > button to send the instances you've highlighted from the Available field to the Selected field. Or, click on the >> button to send all instances to the Selected field, regardless of whether they are highlighted.

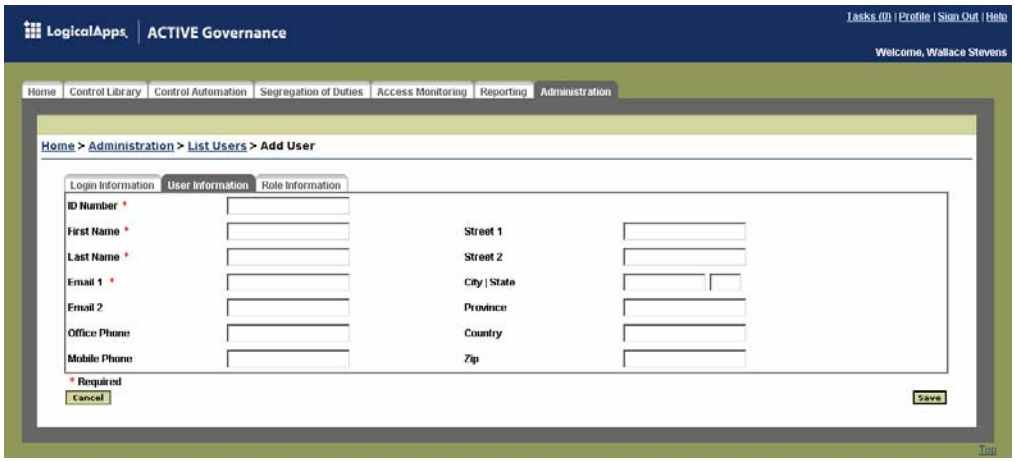
  If you reconsider, highlight instances in the Selected field, then click on the < button to return them to the Available field. Or, click on the << button to return all instances to the Available field, regardless of whether they are highlighted.

6 For each database in the Selected Instances field, identify the Oracle logon ID used 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.

Setting User Values

Next click on the User Information tab and then provide data that identifies the user:

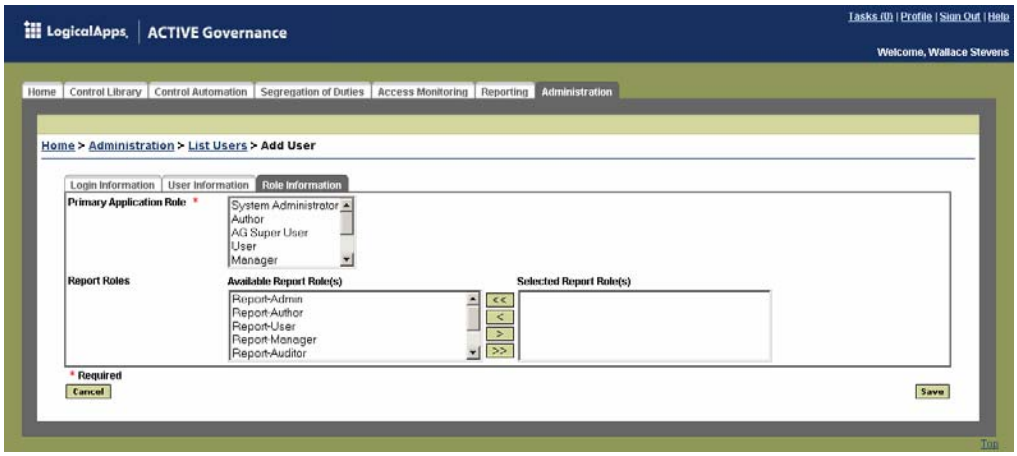


1 In the ID Number field, enter an ID number for the user. The intention is for this number to be unique, and therefore to distinguish the user from others when there is no other distinction (for example, when users have the same names). Use any format.

2. In the First Name and Last Name fields, enter the user's given name and surname.
3. In the Email1 field, supply an email address for the user. ACTIVE Governance sends email messages to the user for several reasons, such as being assigned a task in the Task Inbox, or receiving notification that an access request, made through the Access Monitoring feature, has been approved or rejected. It sends these messages to the email address you supply in this field.
4. Optionally, provide tracking information in the remaining fields: a second email address, office and mobile phone numbers, and physical address information. ACTIVE Governance does not use this information for any purpose.

Assigning Roles

Finally, click on the Role Information tab, and then assign roles to the user:



1. In the Application Role field, select (click on) the primary application role you want to assign to the user. (You must select one; primary application roles are defined on page 8.)
2. In the Available Report Roles field, highlight the reporting roles you want to assign to the user. (These are optional, and you can select as many as you like.) To highlight a single role, click on it. To highlight a continuous set of roles, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous set, hold down the Ctrl key as you click on roles.
3. Click on the > button to send the roles you've highlighted from the Available Report Roles field to the Selected Report Roles field. Or, click on the >> button to send all roles to the Selected Report Roles field, regardless of whether they are highlighted.

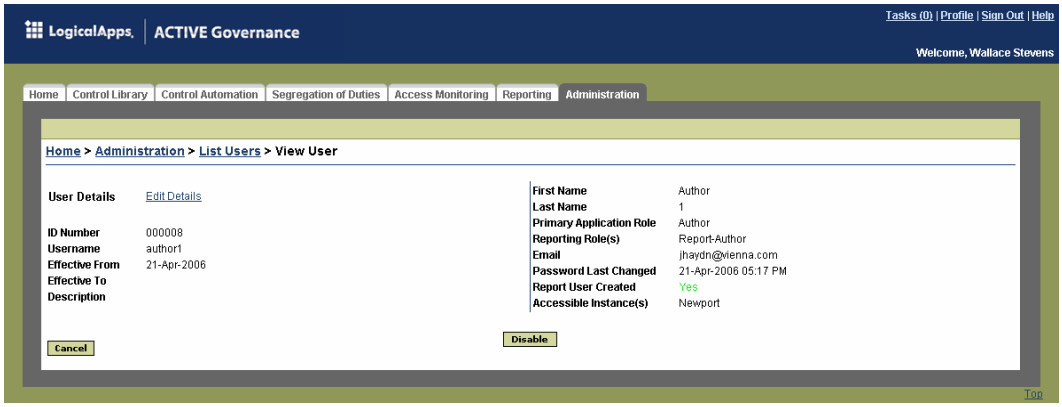
   If you reconsider, highlight roles in the Selected Report Roles field, then click on the < button to return them to the Available Report Roles field. Or, click on the << button to return all roles to the Available Report Roles field, regardless of whether they are highlighted

Saving the User

When you finish supplying logon, user, and role information, click on the Save button. (Note that several fields are mandatory; each is marked by a red asterisk. If you have not entered a value for any of them, you cannot save the user, and when you click on the Save button ACTIVE Governance presents an error message that lists the fields you must complete.) When the user is saved successfully, 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:



Editing User Values

To edit any of the current values for a user, either click on the Edit link in the Action column of the user's entry on the List Users panel (see page 10), or click on the Edit Details link in his View User panel.

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 13 for descriptions of the information you can provide), and click on the Save button. ACTIVE Governance returns to the List Users panel.

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 the View User panel, click on its Edit Details link to open the Edit User panel, delete the Effective To date, and save the user.

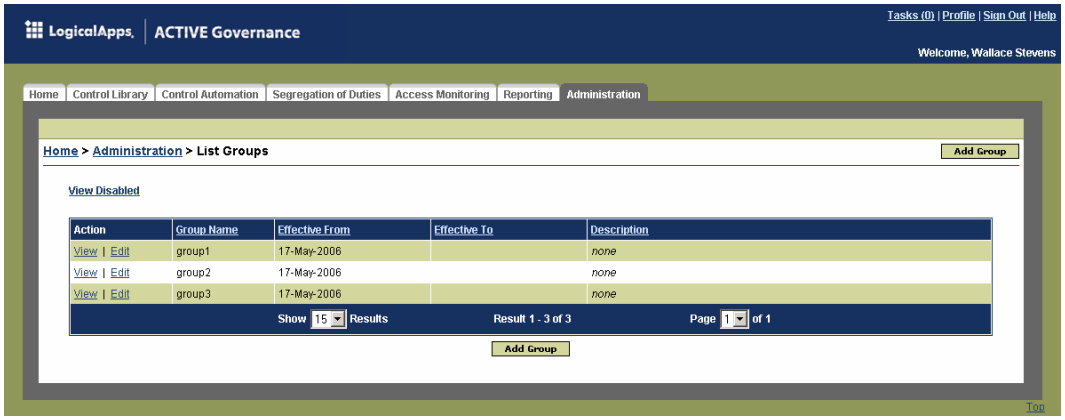
Setting the Report User

In addition to items detailed in "Adding a User" (page 13), the View User panel displays an entry for Report User Created. 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 Report User Created entry reads "Yes," and the user can view reports (provided that he has been assigned at least one reporting role).

Occasionally, a user is created in ACTIVE Governance while Business Objects is inaccessible. If so, the Report User Created entry reads "No," 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 Report User Created entry then changes to "Yes," and the user is able to view reports.

Displaying a List of Groups

To view, add, or edit a user group, begin by clicking on the Administration tab. Then click on the List 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 a View Current link.

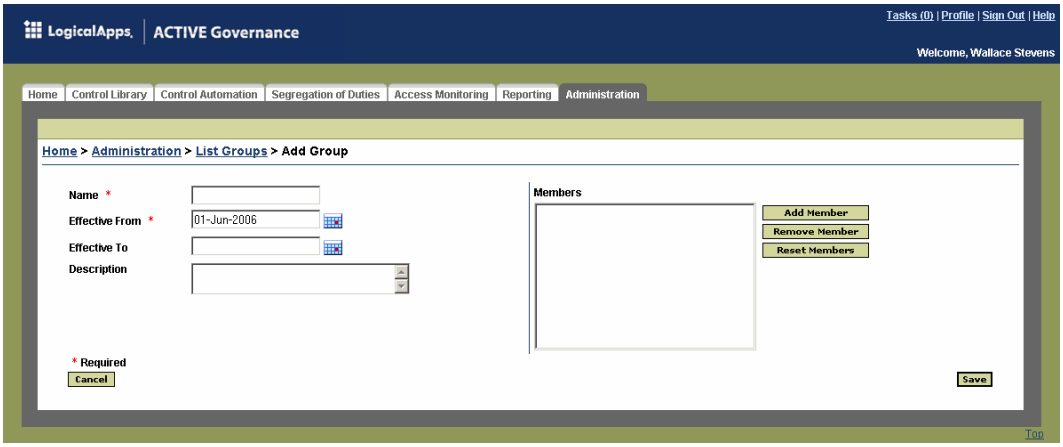


Adding, Viewing, or Editing a Group

To add a new group, open an Add Group panel: Click on an Add Group button in the List Groups panel. (The button appears in two places, near the top right of the panel and at the bottom center.)

To view the settings for an existing group, open a read-only View Group panel: In the Actions (leftmost) column of a group's entry on the List Groups panel, click on the View link. To modify those settings, open a write-enabled Edit Group panel: Either click on the Edit link in the Actions column of the group's entry on the List Groups panel, or click on the Edit Group button in its View Group panel.

Apart from its label (and write privileges), the panel you open looks like the following one:



Defining a Group

Define a new group by supplying the following values in the Add Group panel, or modify an existing one by altering any combination of these values in the Edit Group panel.

1. In the Name field, type a name for the group. (Note that if you create a group, 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.)
2. Select starting and ending dates for the group in the Effective From and Effective To fields, respectively. By default, the current date appears in the Effective From field and the Effective To field is blank; accept these entries if you want the group to exist immediately and remain indefinitely. Or, click on the icon to the right of each field and select a date in the pop-up calendar that appears. (See "Date Fields" on page 6.)
3. In the Description field, type a brief explanation for the purpose of the group. It appears in the Description column of the group's entry in the List Groups panel.
4. Add members. Either individual users or groups may be members of a group.
   a. Click on the Add Member button (located at the top of the set of three 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 Edit 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.

5 Optionally, remove members:

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 three buttons near the right of the Edit Group panel).

6 If you are dissatisfied with your membership selections, you may 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 three at the right of the Edit Group panel). Then make new additions and removals.

7 Click on the Save button. ACTIVE Governance returns to the List Groups panel.

Disabling or Re-enabling a Group

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.

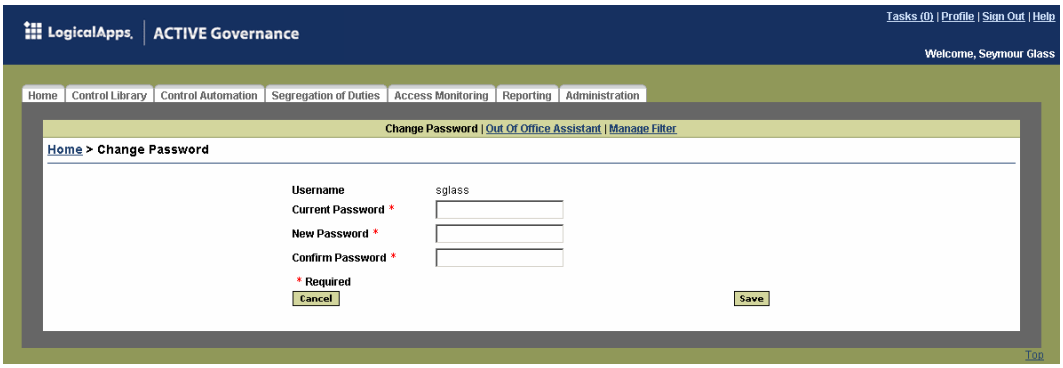
To disable a group, set its Effective To value to the current date. To re-enable a group, delete its Effective To value (or set it to a future date). You can view entries for disabled groups by clicking on the View Disabled link in the List Groups panel, or restore the listing of active groups by clicking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

Changing a Password

The user who is currently logged on to the ACTIVE Governance Platform can change his own password, regardless of the primary application role that has been assigned to him. To change your password, log on to the Platform and complete the following steps:

1 From any panel in the ACTIVE Governance Platform, click on the Profile link near the upper right corner of the panel.

2 Click on the Change Password link in the Library Navigator. The following panel appears:



3 Type your existing password in the Current Password field.

4 In both the New Password and Confirm Password fields, type the password to which you want to change. 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, which consist of the following: !@#$%&*. Moreover, your password cannot match your username.

5 Click on the Save button. If there are any problems with the format of the new password, a message explains the problem so that you may correct it as you retype the new password in the New Password and Confirm Password fields, and click on the Save button again. Typically, however, a message informs you that the new password has been accepted, and you can navigate to any other panel in the Platform to which your primary application role gives you access.

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, Rule Builders, SOD Super Users, Executives, Users, and Auditors can view, but not alter, control administration configuration. 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

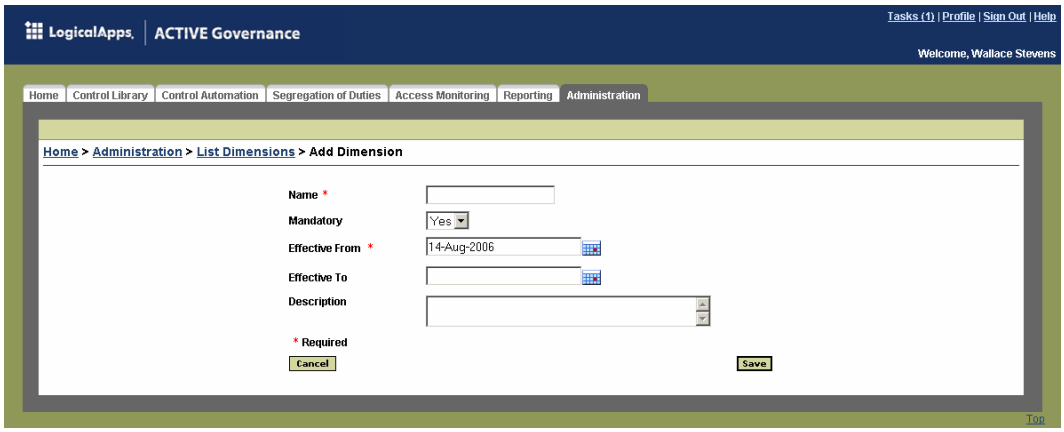
element selects one or more of these values for it — in this example East, West, or both.)

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 4, "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 List Dimensions link or on the List 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 and Effective To fields, respectively. (See "Date Fields," page 6.)

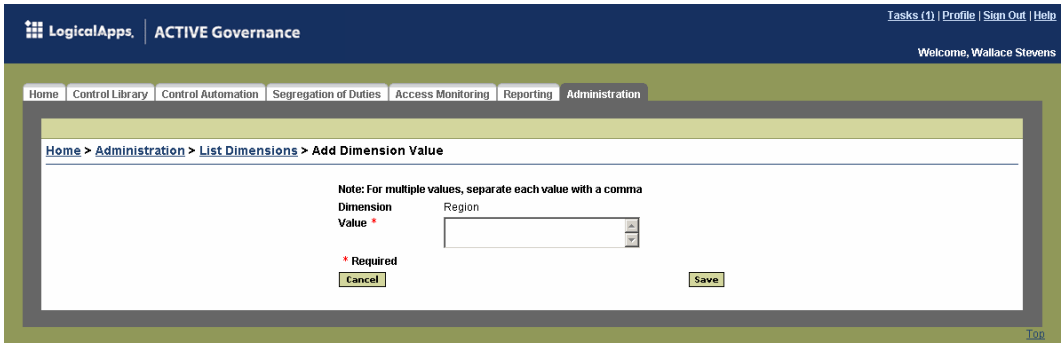
6 In the Description field, type a brief description of the item.

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 plus-sign icon at the left of its row. A Dimension Values or Attribute Values field appears, displaying an Add button and any values already configured for the dimension or attribute. (If, instead, you click on a plus-sign icon at the left of the header row, fields display 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 button. 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.

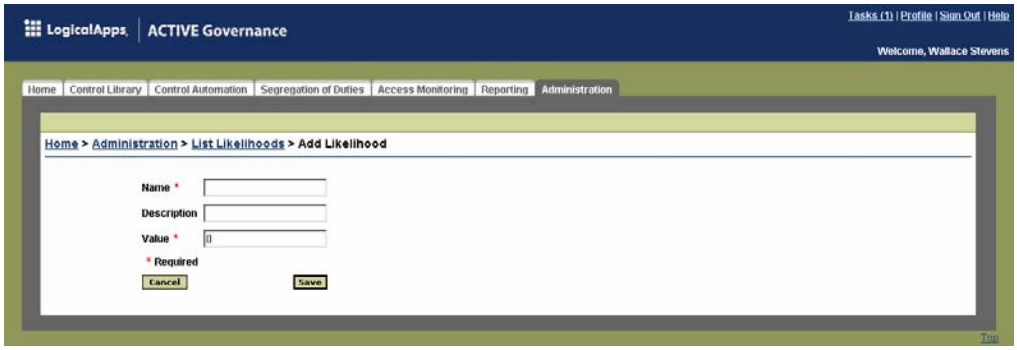
4 Click on the Save button. The List panel returns.

5 When you clicked on a plus-sign icon to display dimension or attribute values, the icon changed to a minus sign. Click on a minus-sign icon to restore a row, or the minus-sign icon in the header row 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 List Likelihoods link to create or edit likelihoods, or on the List 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.

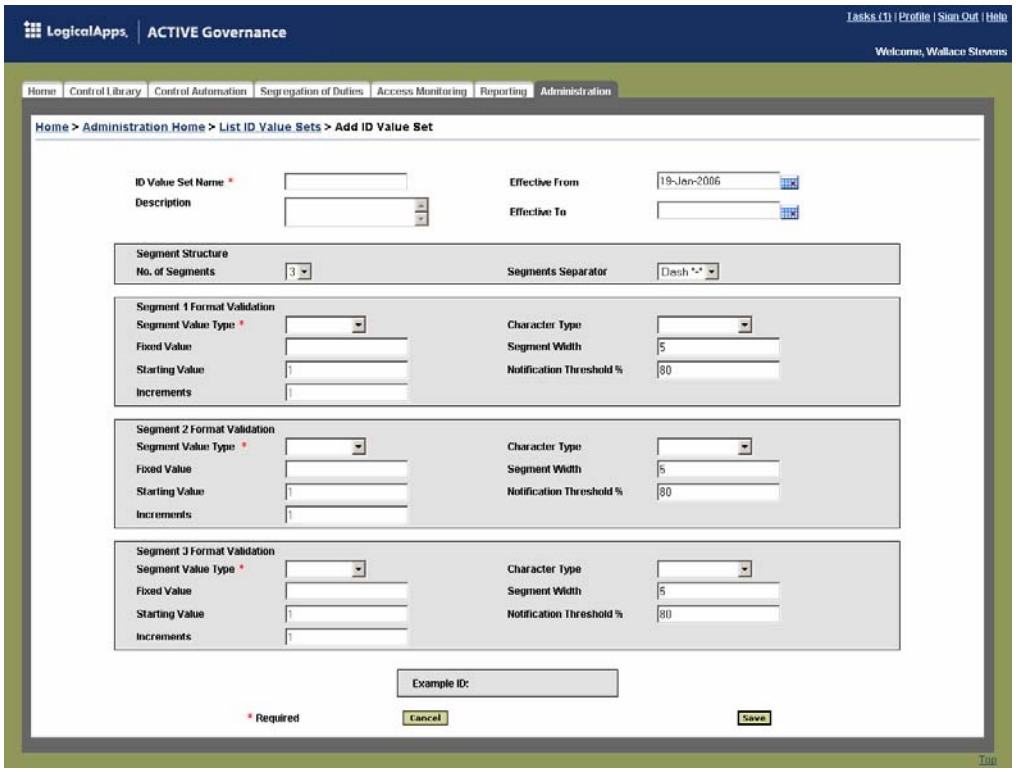
Creating and Mapping ID Value Sets

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 List 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 and Effective To 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.

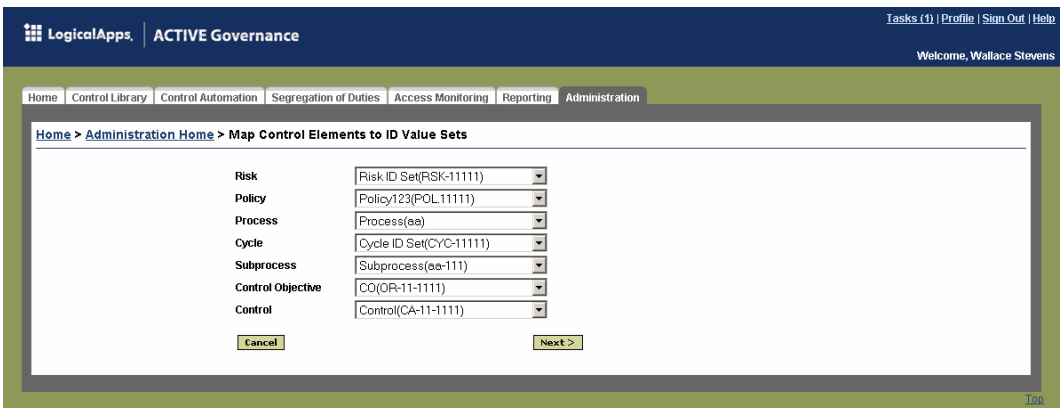
5 When you have finished defining all segment formats, click on the Save button. (Or, if you wish to discard the values you've configured, click on the Cancel button.)

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 and a workflow definition.

The workflow routing selects sets of users, groups, or both, and establishes a sequence in which they receive messages prompting review of control-library elements or access requests. The routing can designate users or groups with authority to approve or reject these items, and others who are notified of the decisions as they are made.

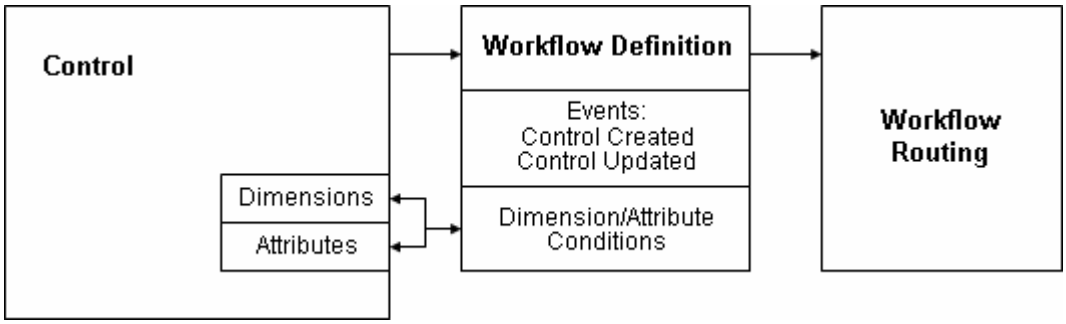
The workflow definition maps the workflow routing to items in need of review, by specifying events, dimension/attribute conditions, data source conditions, and a priority:

- An event is a circumstance — for example the creation of a control — that triggers the distribution of messages 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.
- A dimension/attribute condition specifies a dimension or attribute value. Because each control-library element is granted or inherits dimension and attribute values, dimension/attribute conditions select the control-library elements to which the workflow routing applies — those configured with a corresponding set of dimension and attribute values.
- A data source condition identifies a database instance in which user-access requests are to be implemented.
- 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 workflow 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 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 values for 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 that set no conditions 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 dimension and attribute values specified as dimension/attribute conditions in the workflow definition?

If so, the workflow routing mapped to the definition 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 routing 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 having 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 d1 (or any of the other values) 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 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 only 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 next-priority workflow, East. 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 only 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 conditions, and calls all possible events.

Combining Events and Conditions in Workflow Definitions

You may combine any number of events within a single, multipurpose workflow definition. However, each event can be paired only with conditions that do not filter out all of the items the event is intended to select. For example, access requests are not associated with dimensions or attributes and do not return data values, so an access-request event would never generate results if it were paired with a dimension/attribute condition or a data condition.

Similarly, control-library elements are associated with dimensions and attributes, but do not return data values. So a "Created" or "Updated" event for a control-library element may be paired with dimension/attribute conditions, but would never generate results if associated with a data condition.

Therefore, as you create a workflow definition, you select events before conditions, and ACTIVE Governance prevents you from setting conditions that do not agree with the events you've chosen. Specifically:

- You can create data conditions only if a workflow definition specifies the Control Monitor Task Created event and no other events. (The Control Monitor Task Created event triggers the review of suspects generated by control monitors; see the *ACTIVE Policy Governor User's Guide*.)
- You can create dimension/attribute conditions if a workflow definition specifies the Control Monitor Task Created event, one or more "Created" or "Updated" events for control-library elements, or both. These conditions become unavailable if the definition specifies a "Created" event for access requests.
- You can create data source conditions only if a workflow definition specifies "Created" events for access requests, but no other events.

Moreover, when you edit a workflow definition, ACTIVE Governance prevents you from adding or removing events if the definition includes any condition.

Statuses and Versions

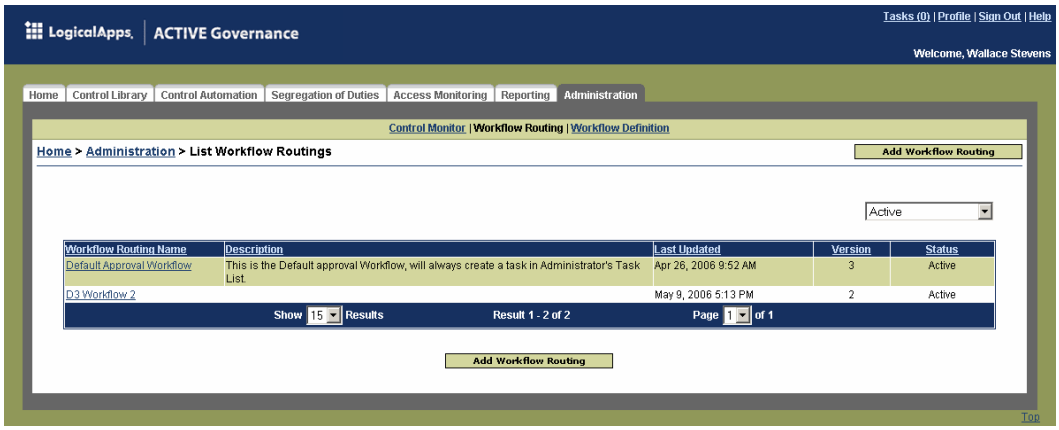
A workflow routing may have any number of versions, and each version exists at one of four statuses: Editing, Active, Pending Inactivation, and Inactive.

- 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 Inactive workflow routing is not used. A version may reach this status from Active (when a new 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:



Note

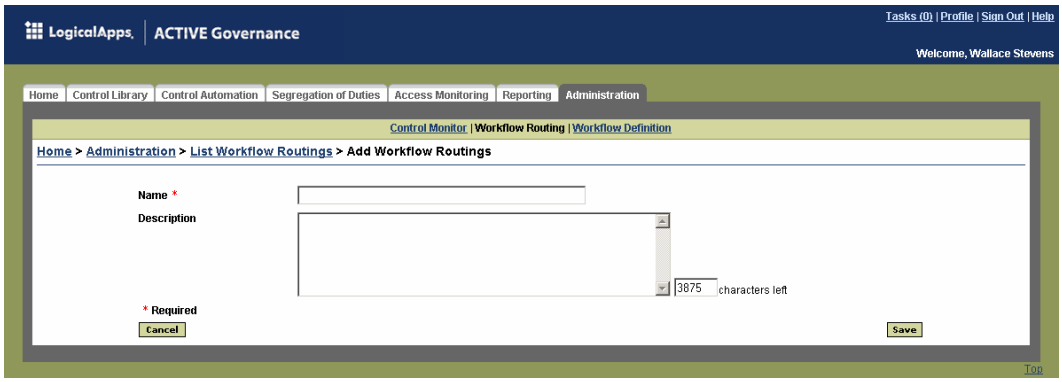
If ACTIVE Policy Governor is installed, you can select the Control Automation tab instead. You would then select a link in the Library Navigator — Workflow Routing to work with routings or Workflow Definition to configure definitions. By convention, however, this manual directs you to the Administration 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 Inactive.

Adding a Workflow Routing

To create a new workflow routing:

1. In the List panel, click on either of two buttons — one at the top right, and another at the bottom center — labeled Create Workflow Routing. A Create Workflow Routings panel appears:



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

3 In the Description field, explain how the routing is to be used. (Note that a second field keeps a tally of the number of characters you may use.)

4 Click on the Save button.

The act of saving the routing automatically opens a panel that lists its existing versions — in this case, a single version at the Editing status. From this panel (which is shown below), you can open the routing for editing.

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.

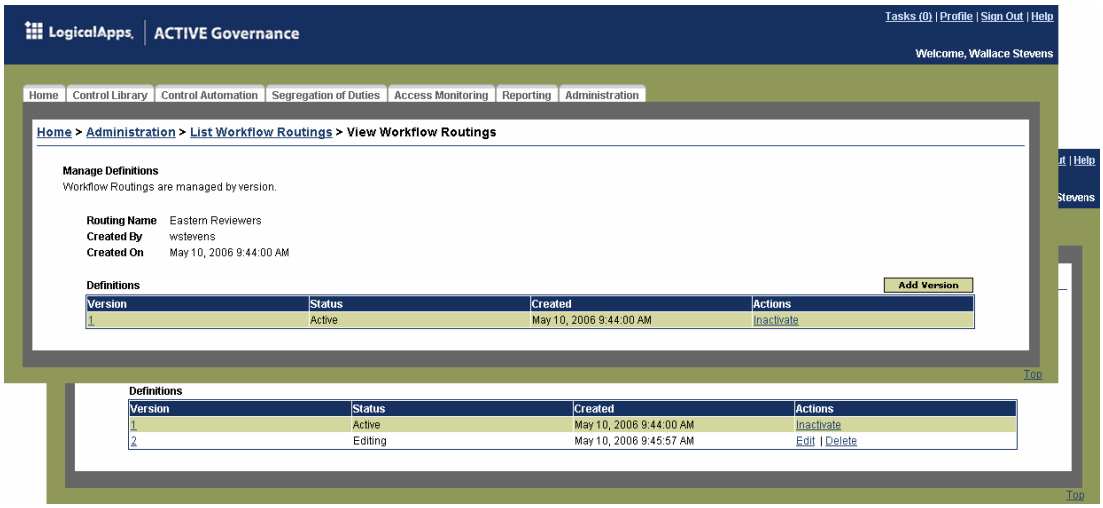
You begin to edit a routing by selecting (or creating) its Editing version in a panel that lists all its versions. In the same panel, you can select another version (if any has been created) to view its configuration details. The panel opens automatically for a newly created routing (which necessarily has only an Editing version). For an existing routing, complete these steps to open the panel:

1 Ensure that you have opened the List Workflow Routings panel. (See page 33.)

2 If you are interested in routings at a particular status, set the Status filter accordingly; or, select All if you want to see routings at more than one status.

3 The List panel presents a filtered list of workflow routings. Click on the name of the one you want to change. produces a View Workflow Routings panel, which lists all existing versions of the routing you've selected.

- If no Editing version yet exists, the panel displays a Add 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).



From this panel, you can:

- Create an Editing version by clicking on the Add Version button. The new version is a copy of the most recent (typically Active) version.
- Open the Editing version for modification by clicking on its version number or its Edit link.
- Open any other version for viewing by clicking on its version number. You cannot change any information for a version at any status other than Editing.
- Delete the Editing version by clicking on its Delete link.
- Retire the Active version by clicking on its Inactivate link.
- Rename the routing, or revise its description, by clicking on an Edit link that appears next to its name. (The link, and the renaming capability, exist only if the routing has an Edit version and no other version.) This opens an edit panel that works in the same way as the Add panel (page 34) in which the routing was originally named and described.

Editing a Workflow Routing

A workflow routing implements a series of steps, each of which selects either users or groups charged with rendering approval decisions, and may designate other users or groups who receive notification when each decision is made. All receive approval requests or notifications at the Task Inbox of the ACTIVE Governance Platform.

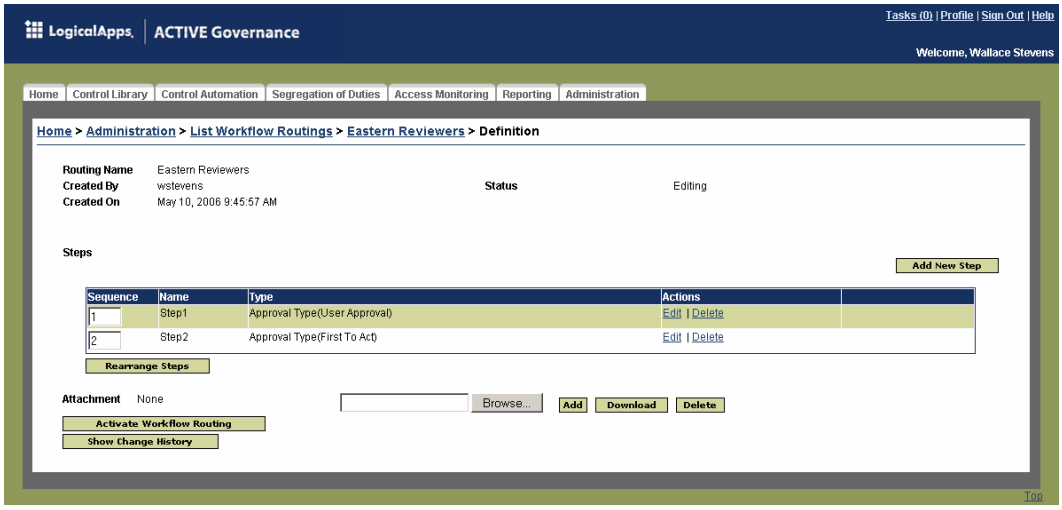
Those with decision-making authority approve or reject requests — for the creation or modification of a control-library element, or for access to extraordinary duties. A request must be approved at one step before it proceeds to the next. If it is rejected, the workflow ends; reviewers identified in subsequent steps are not sent messages.

At each step, you can select one of three types of decision-makers:

- Groups/First to Act: All members of one or more groups receive messages that an item is to be reviewed, but the first member to respond acts for everyone, either approving or rejecting. After the first response, other members of the groups can no longer respond.
- Groups/Requires All: All members of one or more groups receive messages that an item is to be reviewed. For the item to be approved, all group members must approve it. A single rejection decision causes the item to be rejected and the workflow to end.
- User: One or more users receive messages that an item is to be reviewed. If two or more users are designated, all must approve the item in order for the workflow to proceed to its next step. A single rejection decision causes the item to be rejected and the workflow to end.

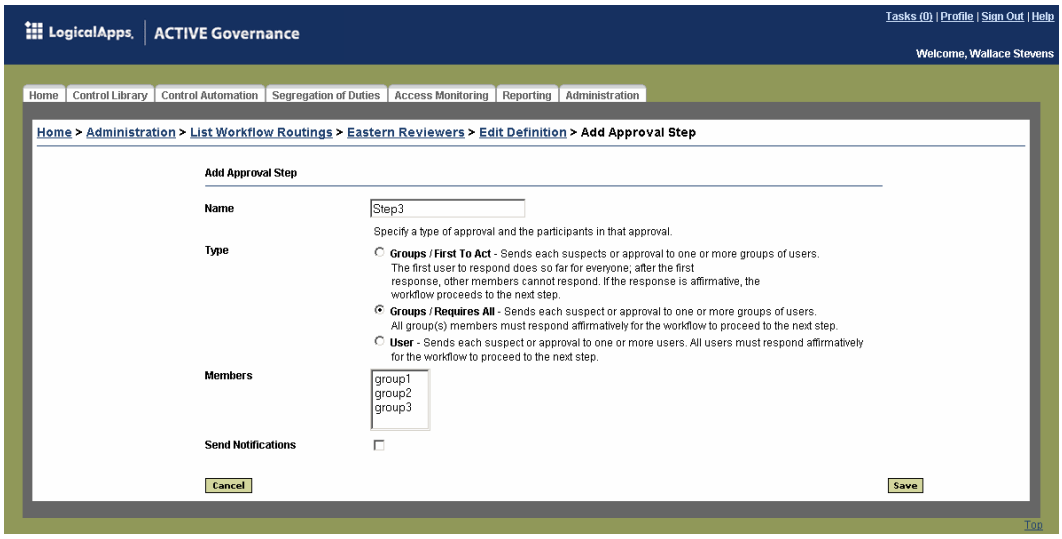
Before you can create a workflow routing, the groups or users it is to call must already have been created. (See Chapter 2, “User Administration.”)

Once this is done, either create a workflow routing (page 34) and open its Editing version (page 35), or open the Editing version of an existing routing. A Definition panel appears, displaying a prompt to create new steps; if steps have already been created, the panel also lists them, with prompts to edit them. (This instance of the Definition panel is shown below. You can open a version of the routing at a status other than the Editing; in that case, the Definition panel lists its steps with prompts to view, but not change, their details.) The Definition panel also enables you to attach a document to the Editing version (page 39) or review change history for any version (page 44).



To create or modify steps that designate reviewers:

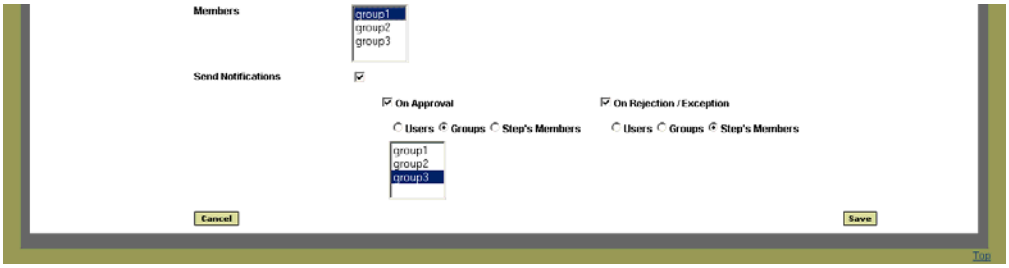
1. Click on the Add New Step button to create a new step, or click on the Edit link in the listing for an existing step to modify it. The following form opens:



2. In the Name field, type a name for the step.
3. Select groups or users who can approve or reject items:
   - Click on one of the Type radio buttons to determine the reviewer type.

- A list of values appears next to the Members label, displaying either groups or users (depending on the type selection you made). Highlight those you want: To highlight a single user or group, click on it. To highlight a continuous selection of users or groups, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous selection of users or groups, hold down the Ctrl key as you click on items.

4 Optionally, select users or groups who are notified when actions are taken. Click on the Send Notifications check box:



Two more check boxes appear, one labeled On Approval and the other On Rejection/Exception. Click on either or both to designate those who will receive notifications of approvals, rejections, or both.

Beneath each selected check box, a set of three radio buttons appears: Users, Groups, and Step's Members. Click on one.

- If you select Step's Members, you need make no further selections; notifications will be sent to the users or groups already chosen in the Members field.
- If you click on User or Groups, a list of values appears, displaying names of users or groups; highlight those you want. Again, to highlight a single item, click on it. To highlight a continuous selection of items, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous selection, hold down the Ctrl key as you click on items.

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 use the Definition panel to perform these additional actions:

- Delete a step by clicking on the Delete link in its entry on the panel.
- Rearrange the order in which steps are to be completed: In the Sequence column of the Steps listing, renumber the steps to reflect the sequence you want, and then click on the Rearrange Steps button.
- 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 an inactivate status.

  If an earlier Active version was linked to a workflow definition, and you promote a new version to Active, the existing workflow definition *does not* apply to the newly Active routing. You must create a new workflow definition for it.

Attaching a Document

You can attach a file to the Editing version of a workflow routing, and display the contents of the file. Typically, such a file documents how the workflow routing is to be used. First, use a text editor, word processor, or similar application to prepare the file. Then complete the following steps:

1. Navigate to the Definition panel for the workflow routing to which you want to attach a file.
2. Click on the Browse button near the lower center 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 Add button. The name of the attached file appears next to the Attachment label.

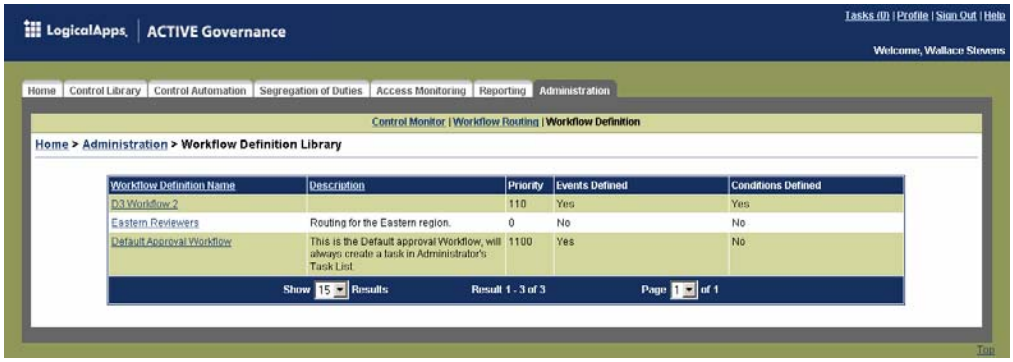
5. To open and review the file, click on the Download button.

You can attach only one file at a time, but you can detach an existing file to make room for a new one. To do so, click on the Delete button. A confirmation message appears in a pop-up window; click on its Yes button.

Configuring a Workflow Definition

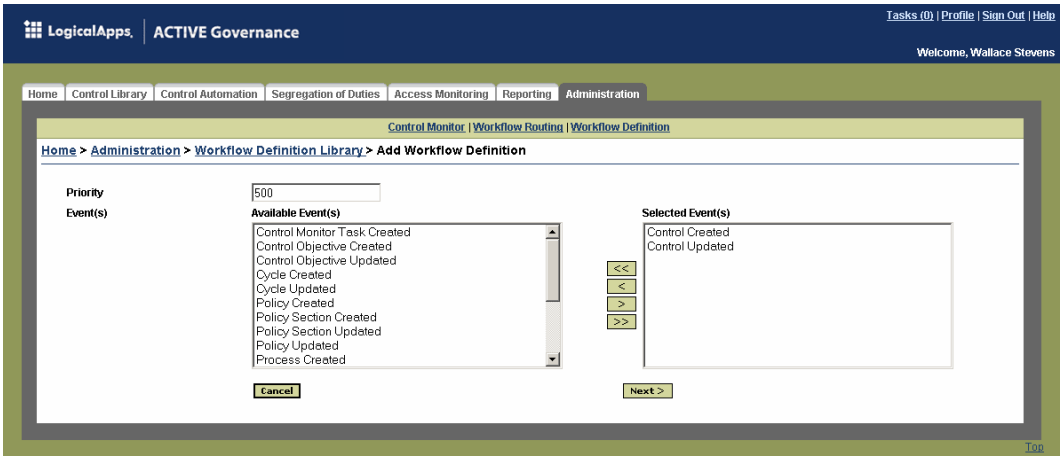
To create the workflow definition that applies a workflow routing to items in need of review, return to the Administration Home — click on the Administration link in the breadcrumb trail or on the Administration tab. Then click on the Workflow Definition link in the Workflow Administration section of the Administration Home.

A Workflow Definition Library panel displays an entry for each workflow routing with a version at the Active status, along with its description, the priority number of its workflow definition (if one has been assigned), and whether events and conditions have been assigned. Click on the name of the workflow routing for which you want to configure a definition.



Selecting Priority and Events in a New Definition

If you have selected a workflow routing for which no definition yet exists, an Add Workflow Definition panel opens.



In this panel, you can select both priority and events. Do *not* select 0 as a priority; apart from that, you can select any number not already in use (you'll receive an error message if you do select a duplicate). You may wish to review "Combining Priorities and Conditions in Workflow Definitions," page 31.

Each type of control-library element has a "Created" event and an "Updated" event; each type of access request has a "Created" event; and a "Control Monitor Task Created" event applies to the review of suspects generated by control monitors. You can select any combination of these events in a single workflow definition, but (as discussed earlier), the way you combine them determines the types of conditions you can configure for the definition. Take care to choose events that will enable you to create the conditions your workflow definition will need. You may wish to review "Combining Events and Conditions in Workflow Definitions" on page 32.

To use the Add Workflow Definition panel to select a priority and events:

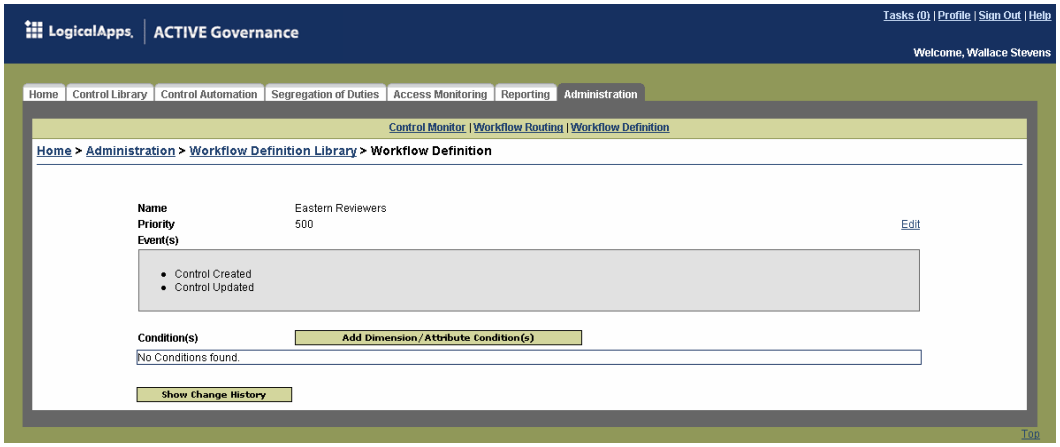
1. In the Priority field, delete the number 0 and type the priority number you want.
2. In the Available Events field, highlight the events you want to select. To highlight a single event, click on it. To highlight a continuous set of events, click on the first one, hold down the Shift key, and click on the last one. To highlight a discontinuous set, hold down the Ctrl key as you click on events.
3. Click on the > button to send the events you've highlighted from the Available Events field to the Selected Events field. Or, click on the >> button to send all events to the Selected Events field, regardless of whether they are highlighted.

   If you reconsider, highlight events in the Selected Events field, then click on the < button to return them to the Available Events field. Or, click on the << button to return all events to the Available Events field, regardless of whether they are highlighted.
4. Click on the Next button. The Add Workflow Definition panel now summarizes your selections. If you are dissatisfied with any of them, click on the Back button

to return to the previous panel; edit the values it displays and click on the Next button to return to this summary panel. When you are satisfied, click on the Finish button to complete the configuration of the priority and events.

Selecting Conditions for a New Definition

When you finish configuring priority and events, a Workflow Definition panel displays the values selected for the definition:



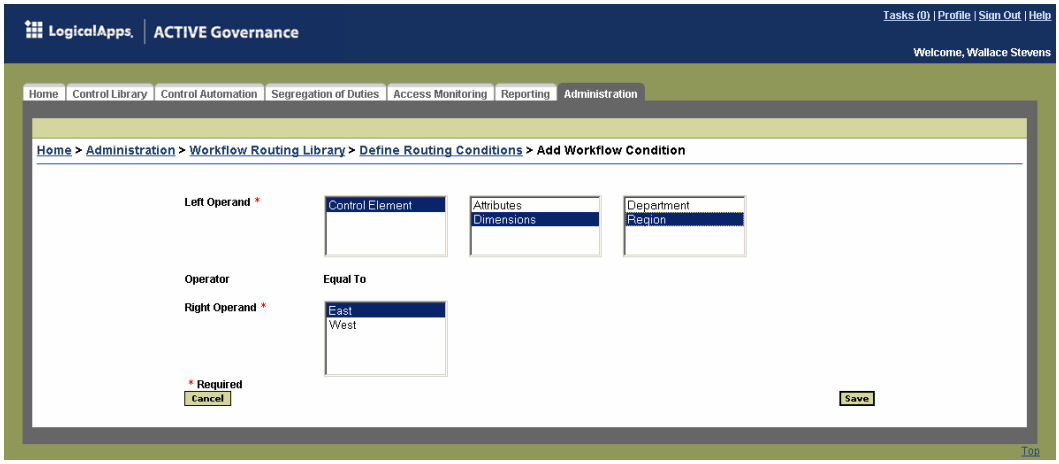
The panel presents buttons you can click to configure distinct types of conditions. As noted earlier, the types you can configure depend on the events selected for the definition, so the assortment of buttons on this panel also depends on the event selection:

- If you have selected "Created" or "Updated" events for control-library elements (with or without the Control Monitor Task Created event), the panel presents the dimension/attribute condition button, and you can create that type of condition.
- If you have selected only the Control Monitor Task Created event, the panel offers two buttons, for dimension/attribute conditions and data conditions, and you can create both types of conditions.
- If you have selected only "Created" events for access requests, the panel presents the data source condition button, and you can create that type of condition.
- If you combine access-request events with any other event type, the panel presents no condition buttons, and you cannot create conditions.

The conditions you create are joined by an AND connector. All must evaluate to true (and the workflow must have a higher priority than other eligible workflows) for the workflow routing associated with this definition to be used.

A dimension/attribute 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. To select dimension/attribute conditions:

1 Click on the Add Dimension/Attribute Conditions button. An Add Workflow Condition panel appears (as shown at the top of the next page).



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.

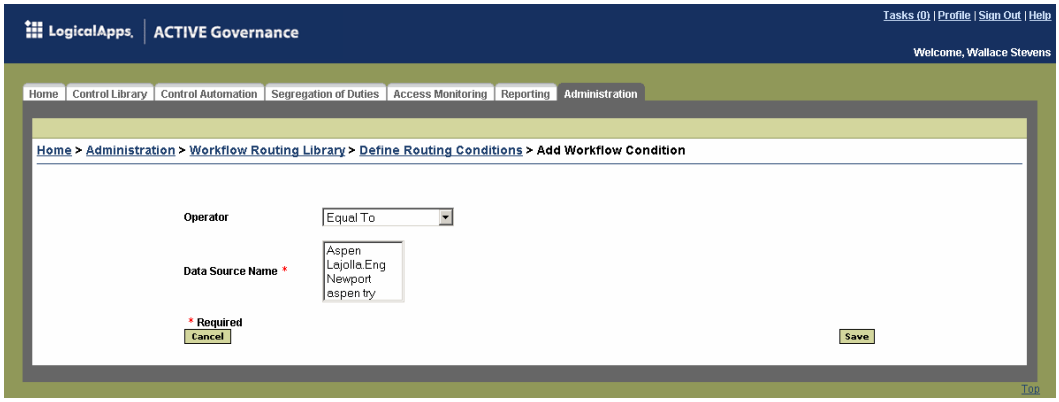
3 Accept the default, Equal To, as the Operator value. (You cannot change it.)

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.

A data source condition identifies a database instance in which user-access requests are to be implemented. To select data source conditions

1 Click on the Add Data Source Conditions button (if you have selected access-request events for a workflow definition, and the button is therefore present in the Workflow Definition panel). A different instance of the Add Workflow Condition panel appears:



2 Accept the default, Equal To, as the Operator value. (You cannot change it.)

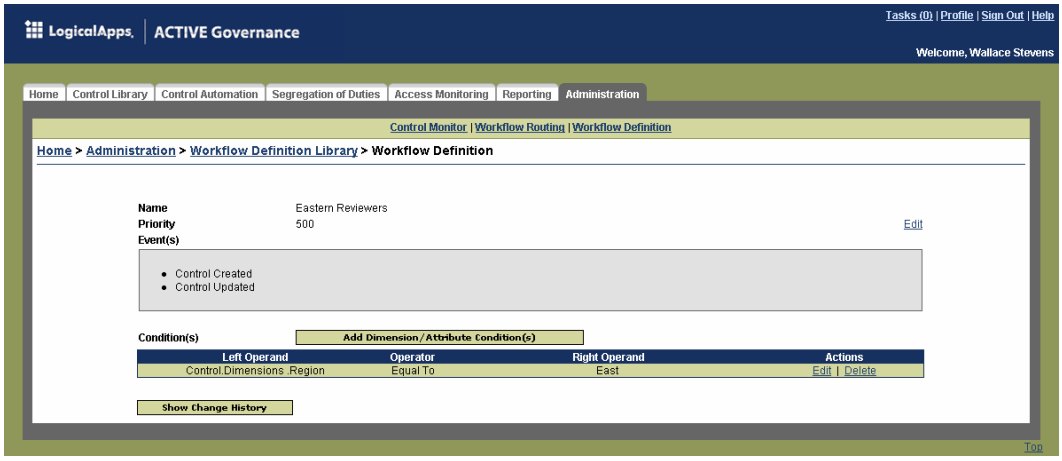
3 In the Data Source Name field, select the name of the database for which you want user-access requests to be reviewed.

4 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*.

Editing an Existing Definition

To edit a workflow definition, select it in the Workflow Definition Library panel (page 39). This takes you directly to the Workflow Definition panel that displays the configured values for the definition you've selected:



You can always modify the priority assigned to a workflow (providing that the new priority value is not already taken by another workflow). However, once you have configured an original set of events for a workflow definition, you cannot subsequently add or remove events if you have also configured conditions for the definition. To edit the selection of events for a workflow definition, you must first delete all of its conditions. To do this, click on the Delete link in the row for each condition.

To edit priority or events, click on the Edit link in the Workflow Definition panel. (This link is toward the upper right of the panel, aligned horizontally with the Priority field). This opens an Edit Workflow Definition panel; apart from its label, it's the same as the Add Workflow Definition panel, except that it shows the values already selected for the definition, and the event fields are read-only if you have not deleted the conditions associated with the definition. Use the Edit Workflow Definition panel as you would the Add Workflow Definition panel (see page 40).

To edit a condition, click on the Edit link in its row on the Workflow Definition panel. This opens an Edit Workflow Condition panel that is appropriate to the type of condition you are editing. Each of these panels, label aside, is the same as the corresponding Add Workflow Condition panel except, once again, that it displays the values already configured for the condition. You can use these panels in the same way that you would use the Add Workflow Condition panels (see page 41). You can also delete conditions (as discussed above) or use the Add buttons to add new conditions.

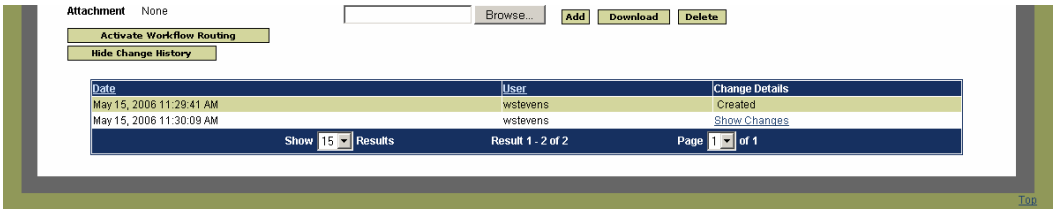
Reviewing Change History

For each version of a workflow routing, or for any workflow definition (which of course corresponds to the Active version of a workflow routing), you can view a history of the changes made to the item:

1 Open the panel from which change history can be viewed:

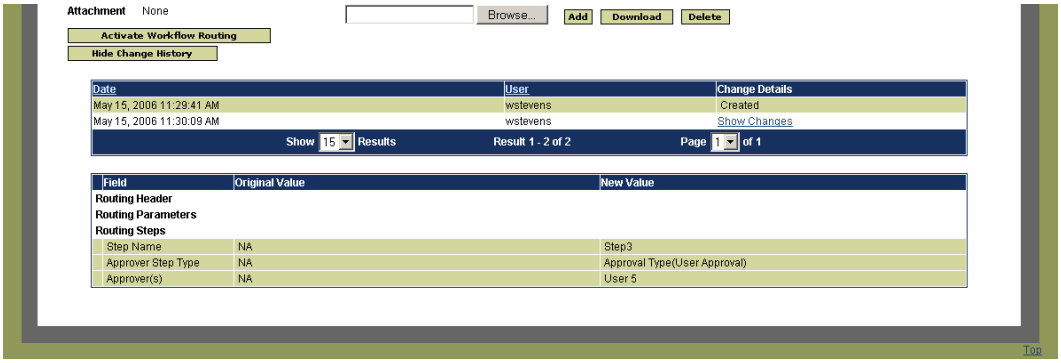
- For a workflow routing, this is the Definition panel. See "Editing a Workflow Routing" (page 36) for information on opening this panel.
- For a workflow definition, this is the Workflow Definition panel (page 43), which is opened from the Workflow Definition Library panel (page 39).

2 Click on the Show Change History button. A grid appears at the bottom of the panel, displaying a row for each time changes were saved for a workflow routing or workflow definition. Each row shows the date and time on which changes were saved, and identifies the user who made the changes.



3 The first row in the grid documents the creation of the item; it's read-only, and it displays a static value, "Created," in a Change Details Column. Each subsequent row documents a change, which may in fact involve modifications to several related fields, all of which were saved at once. To view details about such modifications, click on the Show Details link in the Change Details column for one of these rows.

A second grid appears, displaying the old and new values for each modified field associated with the row you selected.



This grid categorizes the changes according to whether they have been made to the "header" (the name and status of an item), the steps, or other miscellaneous items such as attachments. (This form is used also to show change history for control monitors created in ACTIVE Policy Governor, and a parameters category applies to them.)

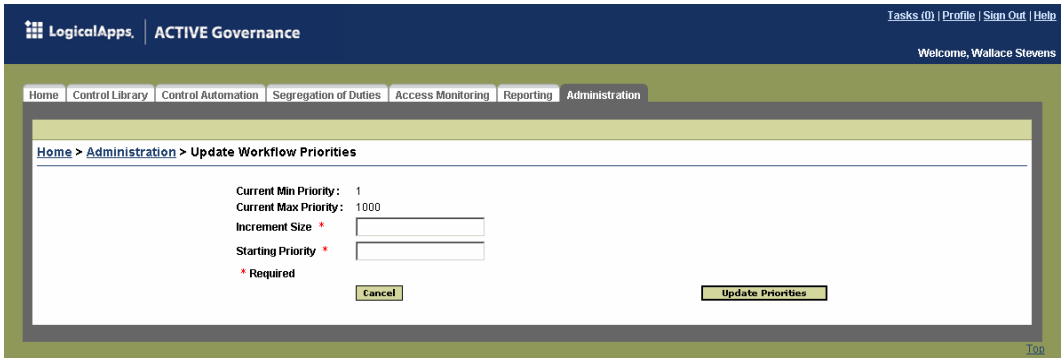
4 Click on the Show Details link in other rows to view old and new values for changes saved at other moments. Or, to close both grids, click on the Hide Change History button.

Updating Priority Values

You may create a large number of workflows, each, of course, incorporating a definition that includes a unique priority number. You may then identify a need to create a new workflow whose priority must be set at some point amid the values that have already been taken. This may require that the priorities assigned to many workflows be reset (if, for example, one thousand existing workflows have consecutive priority numbers, and you need to create a new workflow with a priority of, say, 15).

ACTIVE Governance enables you to reset the priorities of any number of workflows at once, rather than edit individual workflow definitions. To do so:

1 Click on the Administration tab in the ACTIVE Governance Platform. This opens an Administration Home panel; in it, locate the Workflow Administration section and click on the Manage Workflow Priorities link. An Update Workflow Priorities panel appears:



2 Review information about your current priority configuration:

- The Current Min Priority field shows the smallest priority value (and therefore actually the highest priority) assigned to an existing workflow definition.
- The Current Max Priority field shows the largest priority value (and therefore the lowest priority) assigned to an existing workflow definition.

3 In the Starting Priority field, type the existing number of the first priority you want to reset to a new value. In the example above, you want to create a new workflow at priority 15. So the first priority you need to reset is for the workflow currently at 15. It and subsequent priorities will increase by an amount to be determined in the next step.

4 In the Increment Size field, type the number of openings you want to create at the starting point.

In the example above, you're creating one new workflow, so you need one opening for it, and would enter the value 1 in the Increment Size field. The

workflow whose priority was originally at 15 would move to 16, and subsequent priorities would also be increased by one.

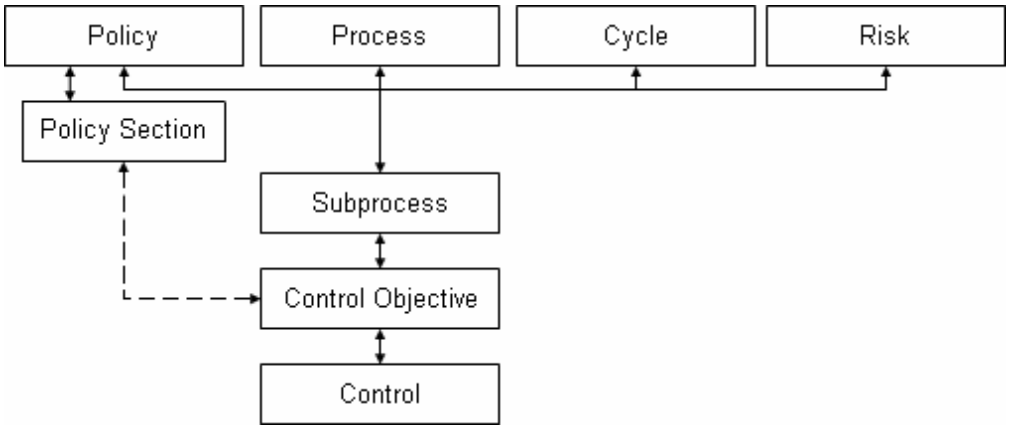
But if, instead, you had two new workflows to create and wanted to assign them priorities 15 and 16, you would enter 2 here; the existing number 15 would then become 17, and subsequent priorities would be renumbered accordingly.

5 Click on the Update Priorities button.

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.

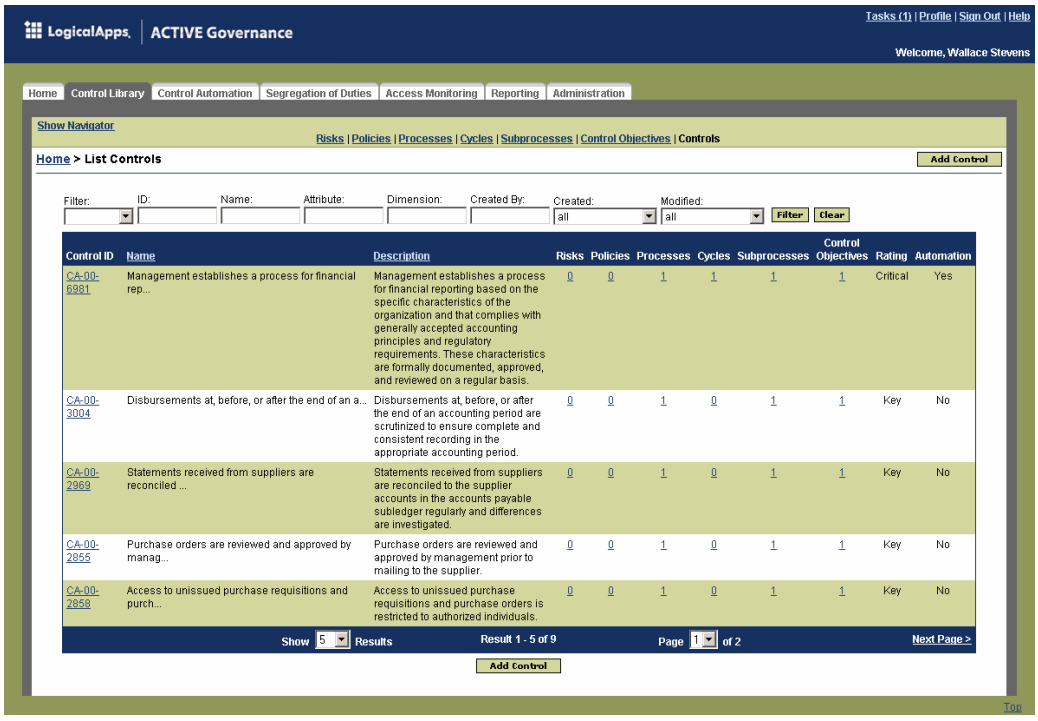
The one exception to this scheme is the policy section. While subordinate to a policy, it links to one or more control objectives, conceptually bypassing the subprocess.

Who Can Do This?

A Manager, Rule Builder, SOD Super User, or Executive can create, edit, or assess control-library elements. An Author or User can create or edit them, but not assess them. An Auditor can view and assess them, and a System Administrator can only view them; neither has create or edit rights. 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 52. 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.

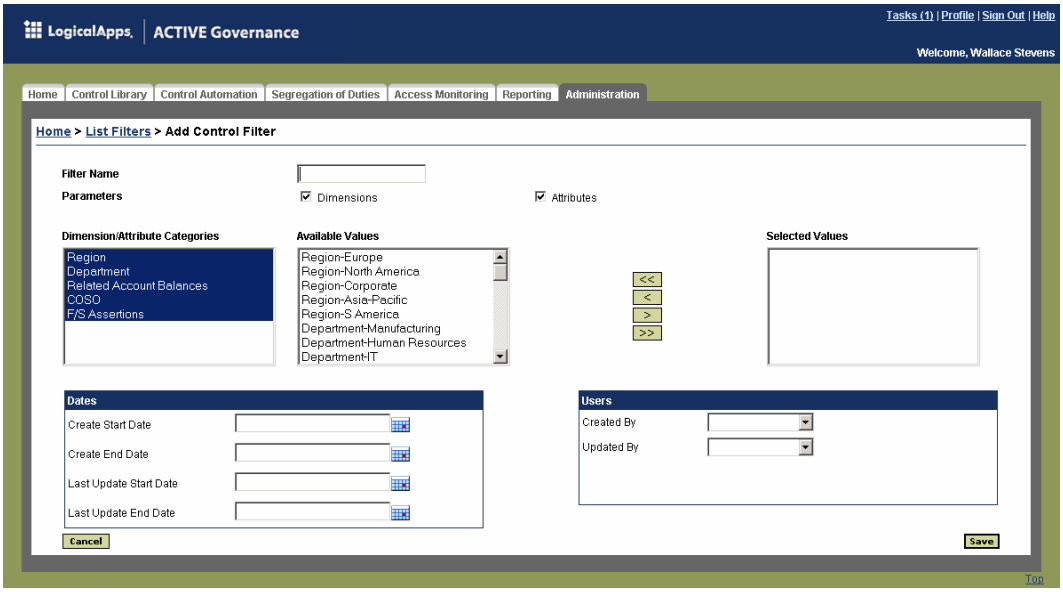
To discard filtering criteria and redisplay all configured elements of the type you've selected in the Library Navigator, click on the Clear button.

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:

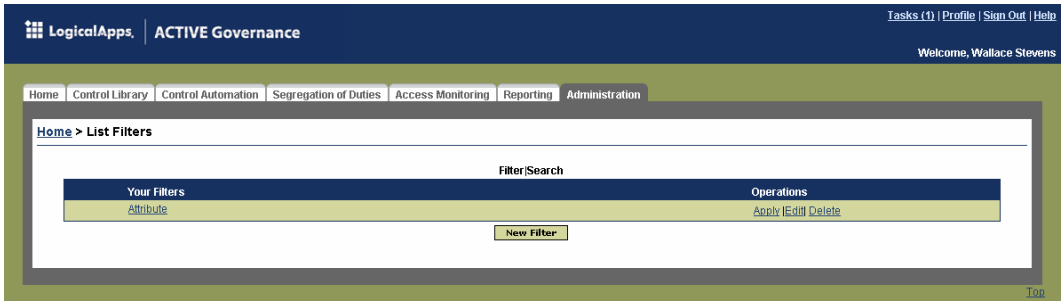
1. Click on the Profile link, and then on the Manage Filter option in the Library Navigator for the Profile option. A List Filters panel displays an entry for each filter that has already been created (if any).
2. Click on the New Filter button. An Add Control Filter panel appears:



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 52.)
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:



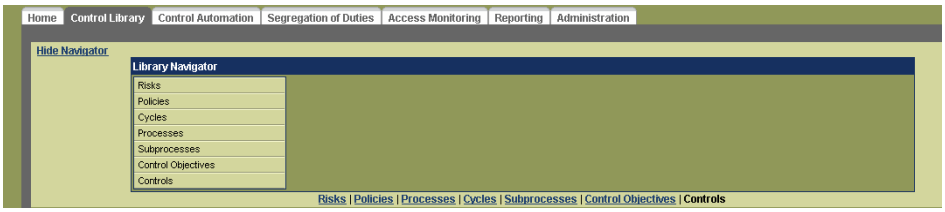
8 In this panel, you can:

- 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

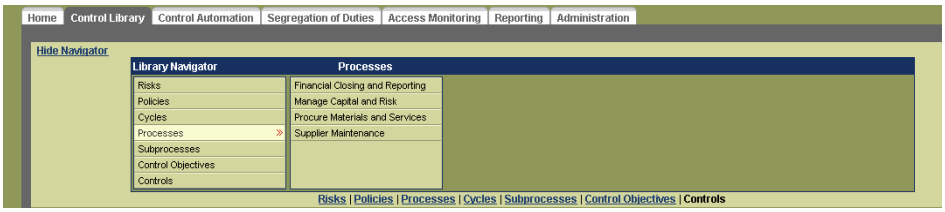
An enhanced Library Navigator enables you to trace the hierarchical relationships among individual elements in the control library, and to open a View panel to examine detailed information about any of the elements in the hierarchical chain you've constructed.

1 From the list panel for any type of control-library element, 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.

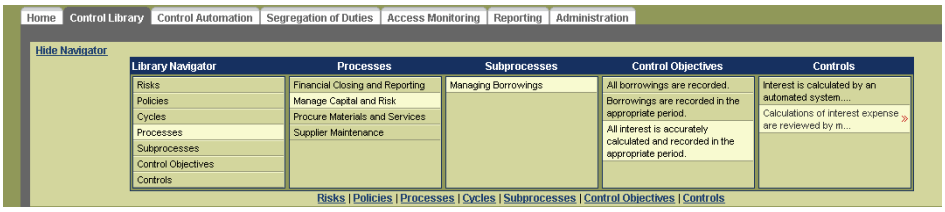


2 Double-click on any of the element-type names to open the list panel for that type of element. Or, single-click on any of the element-type names to display a second block. This one lists all configured elements of the type you selected in

the first block. Although 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:

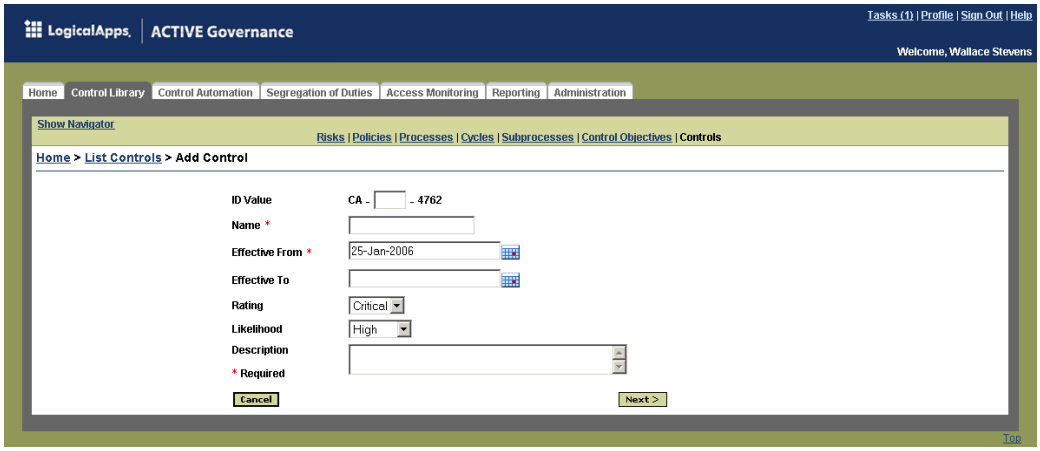
As you select values by transferring items between the Available and Selected boxes, you can do the following:

- 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:

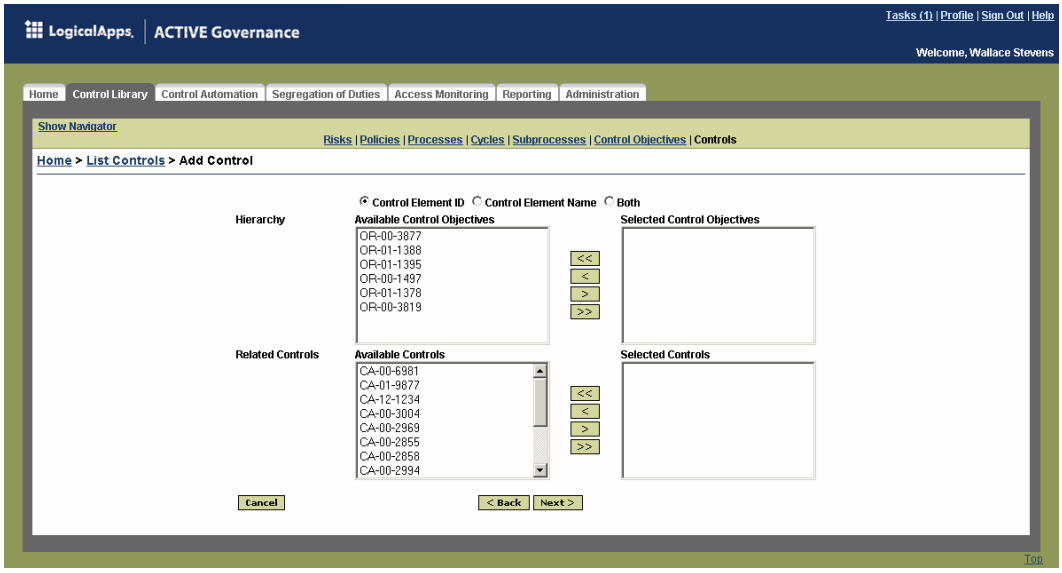


2 In this form, provide the basic descriptive information for the control:

- 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 and Effective To 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.

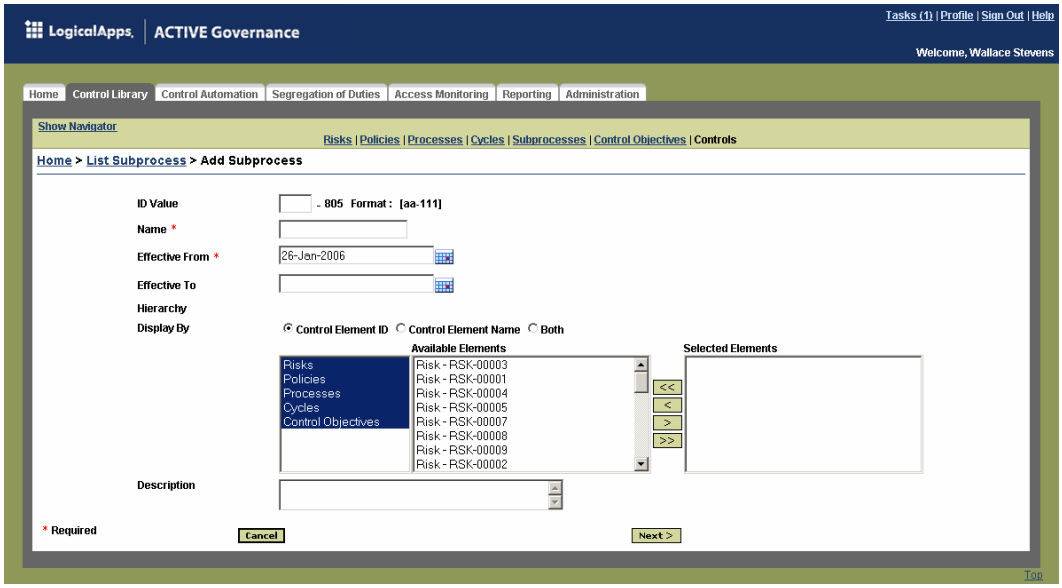


4 Click on the Next button to display a form in which you can select dimension or attribute values for the control. For instructions on using this and subsequent forms to finish configuring the control, skip ahead to "Completing the Control Element Configuration" (page 56).

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 and Effective To 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.

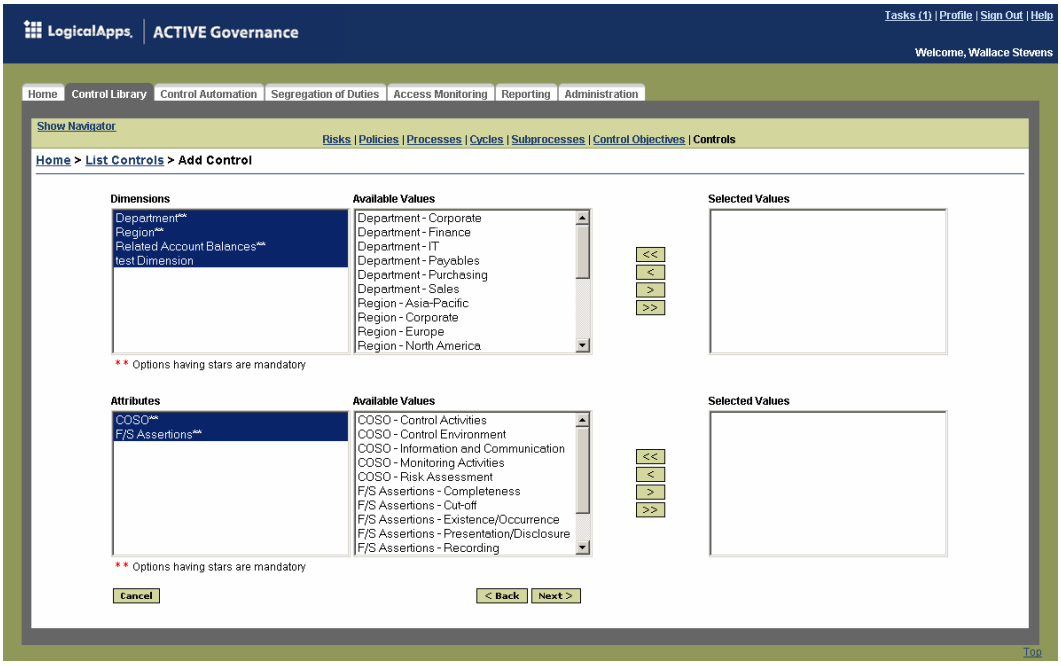
7 Click on the Next button to display a form in which you can select dimension or attribute values for the control-library element. For instructions on using this and subsequent forms to finish the configuration, see the next section, "Completing the Control Element Configuration."

Completing the Control Element Configuration

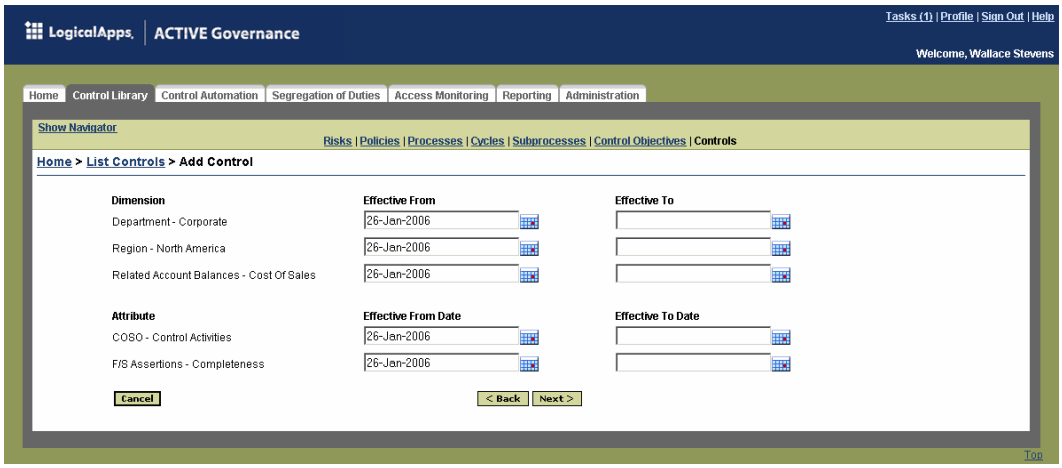
All that remains to configure a control-library element is to select dimension and attribute values that apply to it, specify a time period during which each value applies, and review all the configuration details. Keep in mind that an element not only acquires the dimension and attribute values you 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:

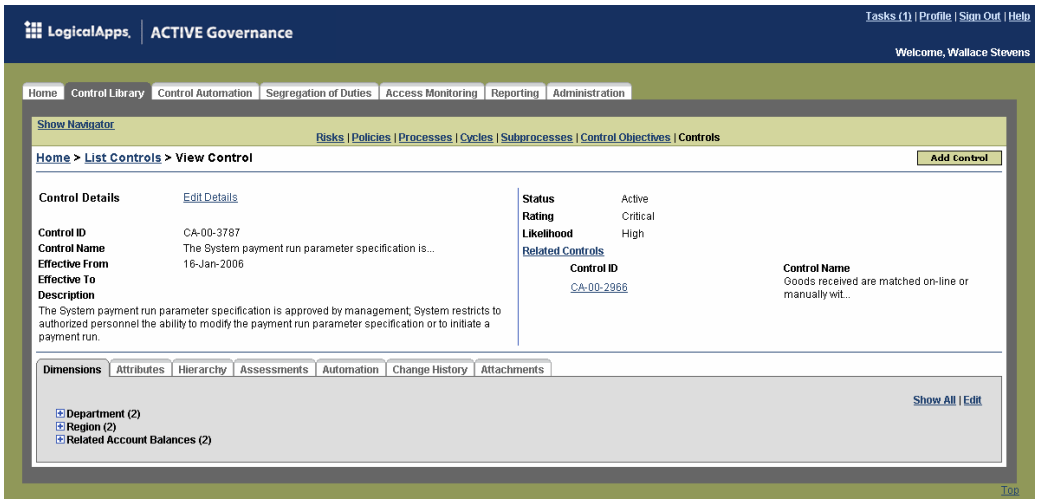


By default, all the dimension and attribute values are set to take effect immediately and remain in effect indefinitely. To make a change, set a new value in an Effective From or Effective To field (See "Date Fields," page 6.)

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 51). 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. So is Status (the first item to the right of the vertical blue line), which may be any of the following:

- Submitted: No reviewer has looked at the control-library element.
- Pending: Review has begun, but is incomplete.
- Active: The element is approved and in use.
- Inactive: The element is rejected, or its Effective To date has passed.
- Editing: The element has been modified, and further changes are prohibited until the modified version is approved.

Other items (all of which appear to the right of the vertical blue line) apply only to controls, and so appear only if a control has been selected. These include not only rating and likelihood, but also related controls — 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.

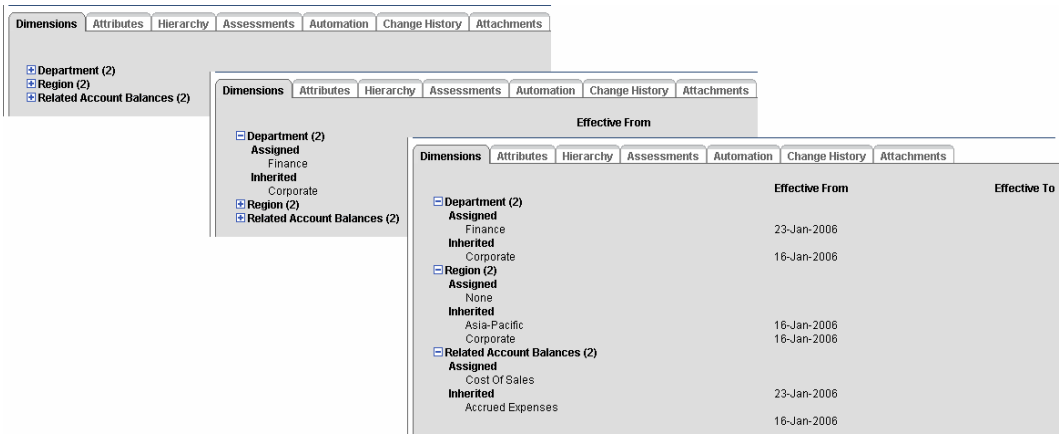
The gray portion of this form presents tabs on which you can click to view other hierarchy elements, dimensions, or attributes with which the element is associated; automations that can be run from it; a history of changes made to it; and assessments of it, as well as attached files that may document it further. The hierarchy elements, dimensions, or attributes may be directly or indirectly associated with this element:

- 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.

Rather than view all values, you can see the values for an individual dimension, attribute, or type of control-library element. To do so, click on the icon next to the item that interests you; the icon 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. Within the Hierarchy panel, if you click on the name of the element type you move to the List panel for that element, and if you click on an individual element you move to its View panel.

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 the icon next to 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

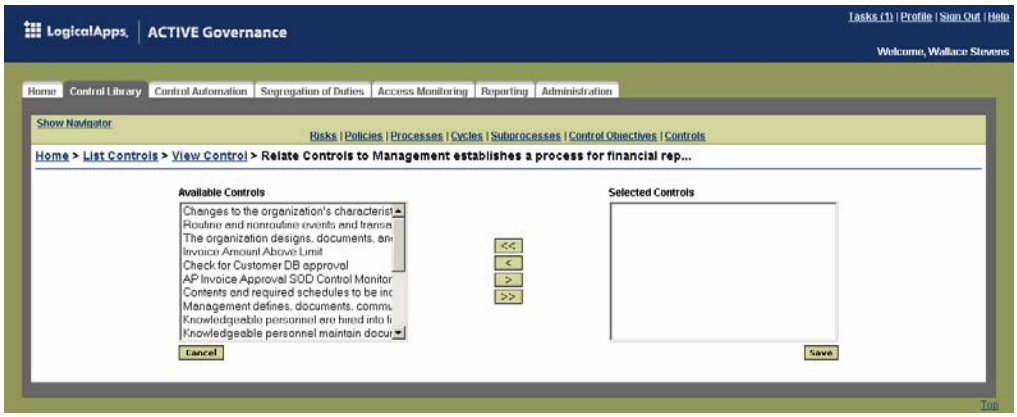
A control-library element can be edited only if it is at the Active or Inactive status. (At other statuses, prior changes are being reviewed, so the element cannot be changed.)

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

Adding or Removing Related Controls

Related controls 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 Related Controls panel opens:



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.

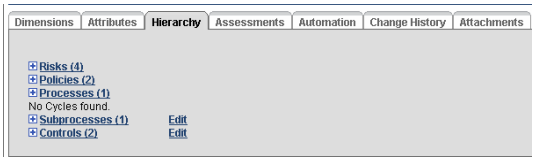
4 Click on the View Control link in the "breadcrumbs" trail to return to the View form. The controls you selected appear beneath the Related Controls label.

Connecting Elements in the Hierarchy

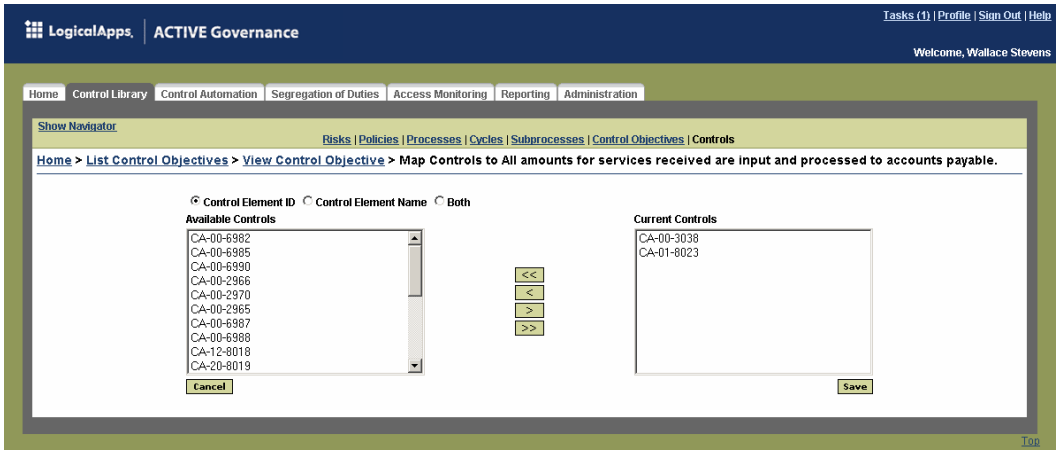
To modify hierarchy assignments for any element:

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.

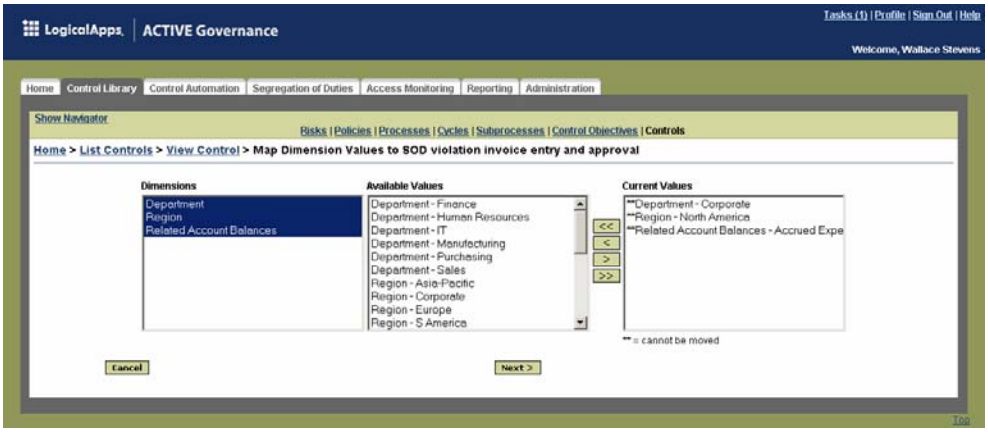
Editing Dimension and Attribute Assignments

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.

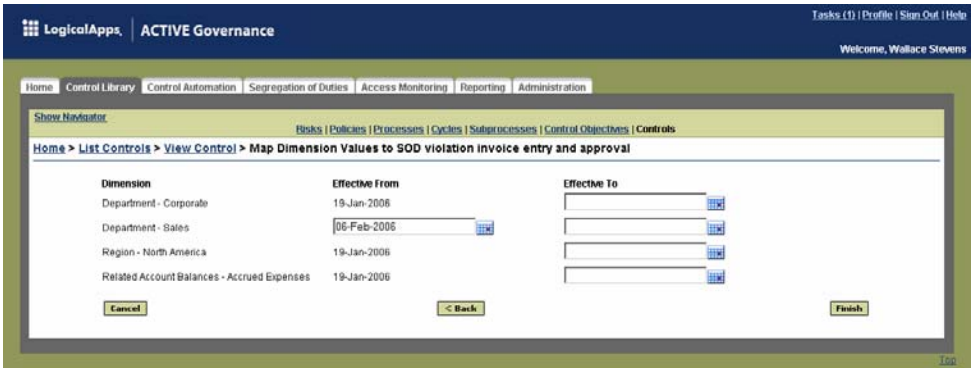
3 A "Map" form appears:



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. The < button, which returns selected values from the Current box to the Available box, works only on values that have not yet been saved as Current. The << button, which should move all values from the Current box to the Available box, works only if no dimension or attribute values have yet been saved.

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 dimension or attribute value, set an expiration date in its Effective To field.

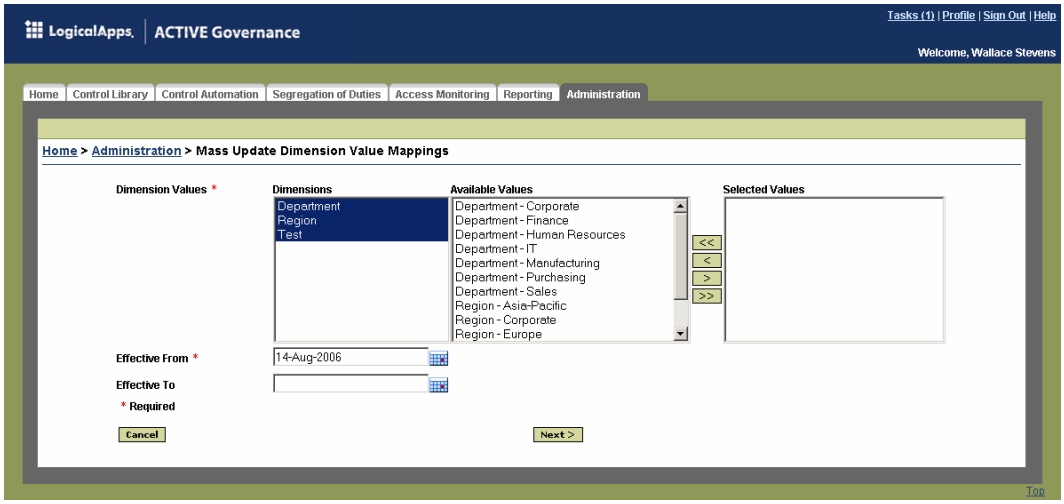
Newly added dimension or attribute values are set to go into effect immediately and continue indefinitely. Accept default values or set new dates (see "Date Fields," page 6.)

5 Click on the Finish button.

Mass Updating Dimension or Attribute Assignments

As you create new dimensions or attributes, or assign new values to existing dimensions or attributes, you may want to use the new values in any number of existing controls. Mass-update features enable you to incorporate new dimension or attribute values in many elements at once, rather than one at a time.

1 When new dimension or attribute values are ready (see page 21), click on the Administration tab, and then on one of two links in the Control Administration section: Mass Update Dimension Value Mappings or Mass Update Attribute Value Mappings. A mass-update panel like the following one appears:



2 In the leftmost of the large fields — labeled *Dimensions* or *Attributes* depending on your selection in step 1 — choose the dimensions or attributes for which you want to add values to controls. Their values then appear in the Available Values field; move the values you want to the Selected Values field. (See "Selecting Sets of Values — a Software Convention" on page 52.)

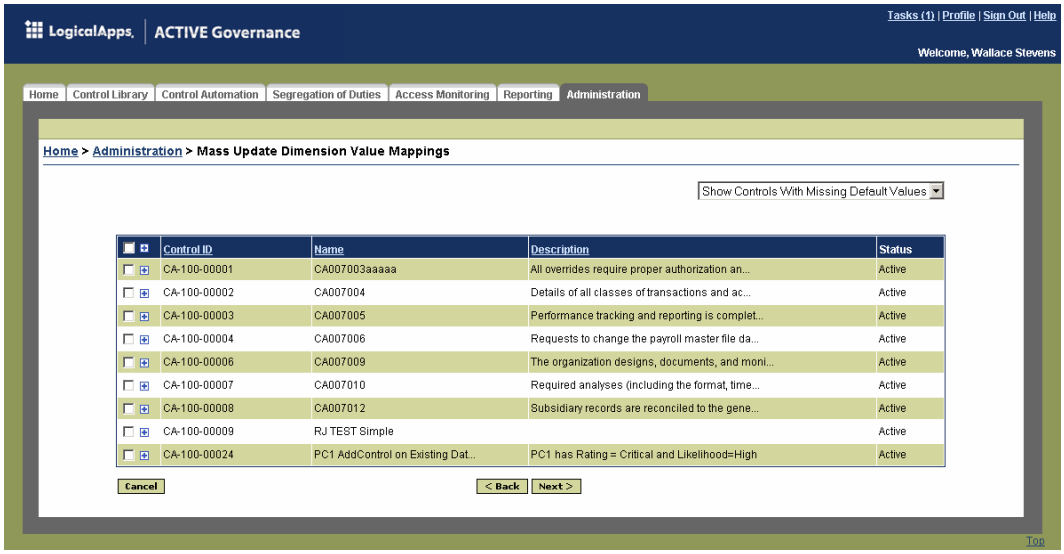
3 Select starting and ending dates for the dimensions or attributes in the Effective From and Effective To fields, respectively. (See "Date Fields," page 6.)

4 Click on the Next button. A second mass-update panel appears (as shown at the top of the next page).

5 In the list box near the top right corner, select one of two options:

- Show All Controls causes the panel to list all controls configured for your instance of ACTIVE Governance.
- Show Controls with Missing Default Values causes the panel to list only those controls that have not been assigned the dimension or attribute values you selected in the first mass-update panel.

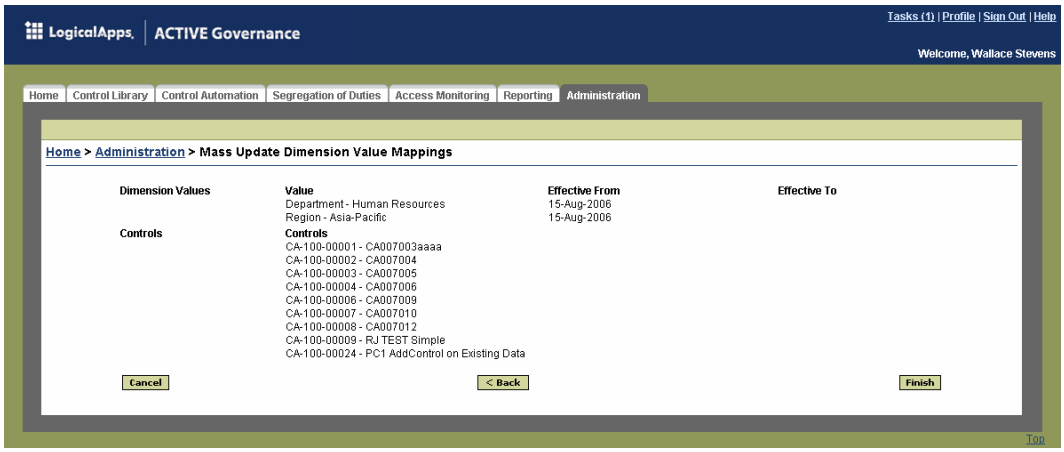
In either case, each control occupies a row in a grid, which displays ID, name, a truncated description, and status. To review other details for a control, click on the plus-sign icon in the left column of its row; or, to see details for all controls, click on the plus-sign icon in the header row. This presents the full description, as well as current dimension and attribute assignments. (Click again on the icon, which now looks like a minus sign, to restore the original display.)



6 Select controls to which you want to assign values. As is always the case, you can update controls only at the Active and Inactive statuses; controls at other statuses, although listed in this panel, cannot be selected.

To select individual controls, click on the check box in the left column of each of their rows. To select all displayed controls, click on the check box in the left column of the header row. A control is selected when a check mark appears; to take back a selection, click on a check box so that the check mark disappears.

7 When you are satisfied with your selection of controls, click on the Next button. A third mass-update panel displays your selections — the values you want to add and the controls to which you want to add them:

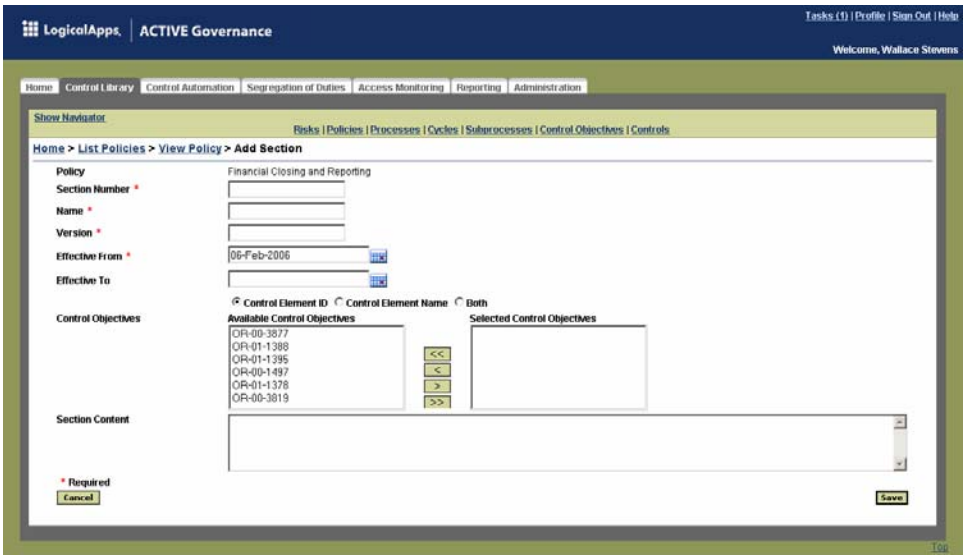


If you are dissatisfied with any of your selections, click on the Back button until you reach the earlier panel in which that selection was made, change it, and then click on the Next button to return to the summary panel. When you are satisfied with your selections, click on the Finish button to complete the assignment of dimension or attribute values to controls.

Defining Policy Sections

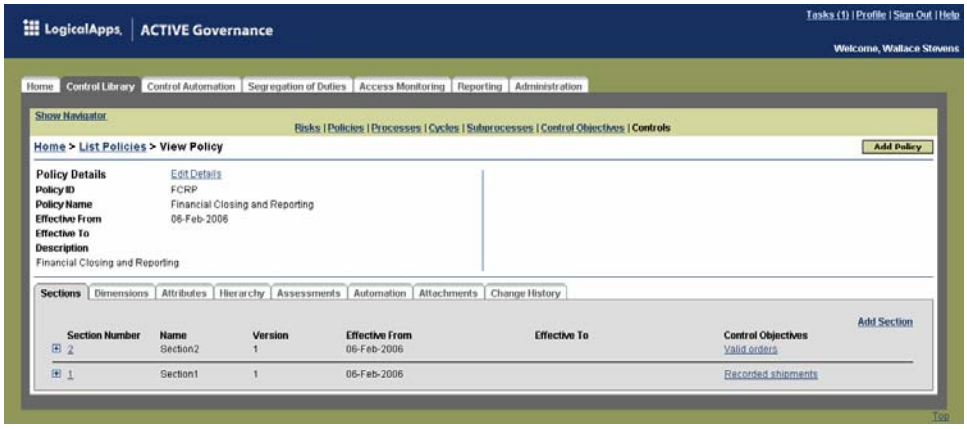
Having created a policy, you can configure sections for it. Each describes a facet of the policy and is addressed by at least one control objective. If you have moved away from the Control Library tab, click on it again, and then complete the following steps:

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 their policy:



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.

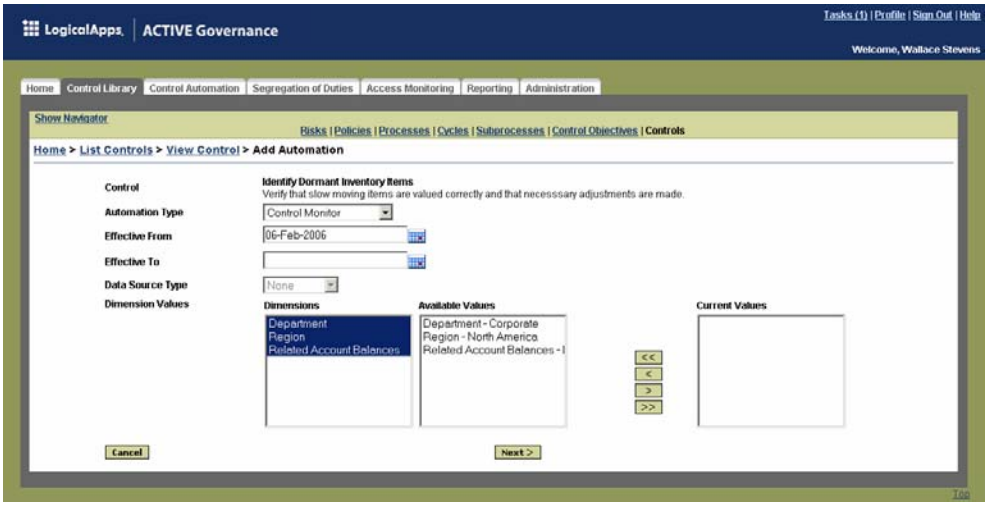
Adding Automations to Controls

While a control in ACTIVE Governance is essentially documentary, an automation is a software object that implements the control. Automation types include control monitors created in ACTIVE Policy Governor, segregation-of-duties rules created in ACTIVE Access Governor, change-control rules created in ACTIVE Data Governor, or form or flow rules created through the use of LogicalApps tools embedded in Oracle Applications.

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 automation 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.
- Change Control is a change-control rule written in ACTIVE Data Governor.
- Oracle Flow Rule and Oracle Form Rule are rules that regulate the use of Oracle Applications, as written through the use of LogicalApps tools — AppsFlow and AppsForm — embedded in Oracle Applications.

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.)

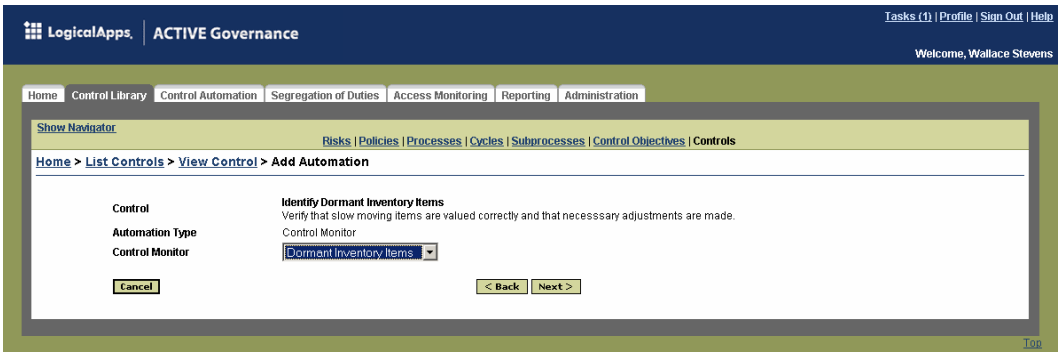
At this point, follow distinct procedures for adding distinct automation types.

Control Monitor Automations

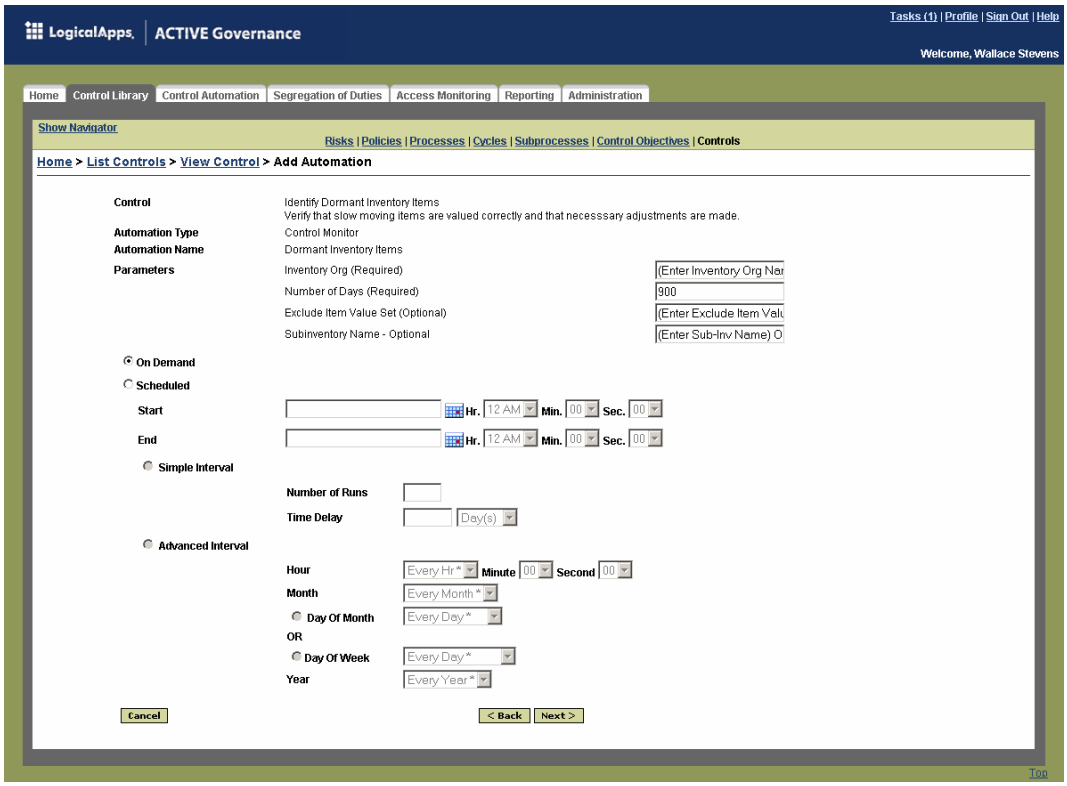
To add a control monitor as an automation for a control:

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, use the Start and End 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 monitor 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 monitor should become active or cease being active.

Next, define the interval at which the monitor runs within the start and end dates you've set. To do so, use simple or advanced options; click on the Simple Interval or Advanced Interval radio button to activate one or the other.

Note
ACTIVE Governance does not validate the schedule you set. As you define either a simple or an advance interval, you can configure a recurrence cycle entirely outside of the active period defined by the Start and End fields. Be sure that your schedule makes sense.

If you select Simple Interval, configure the cycle on which the control monitor is to run:

a In the Number of Runs box, type the number of times the control monitor should run.

b In the two Time Delay boxes, set the period between each running of the monitor — 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 and End sets of fields to define a 24-hour time span, and then cause the monitor to run once every other hour by typing 12 in the Number of Runs field and selecting 2 hours in the Time Delay fields.

If, instead, you select Advanced Interval, determine when and how often the control monitor runs. Each field in this section sets a unit of time; by default, most read "Every," but Minute and Second are set to zero, so that the monitor would run every hour on the hour. As you modify the defaults, work from small units of time to large, in effect defining a time and a date at which the monitor recommences running.

If you were to set Second to 30, for example, the monitor would run once per hour at 30 seconds after the hour. If you were then to set Minute to 15, the monitor would run every hour at 15 minutes and 30 seconds after the hour. If you were then to set Hour to, say, 3 PM, the monitor 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 monitor 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 monitor 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 monitor 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 monitor 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.

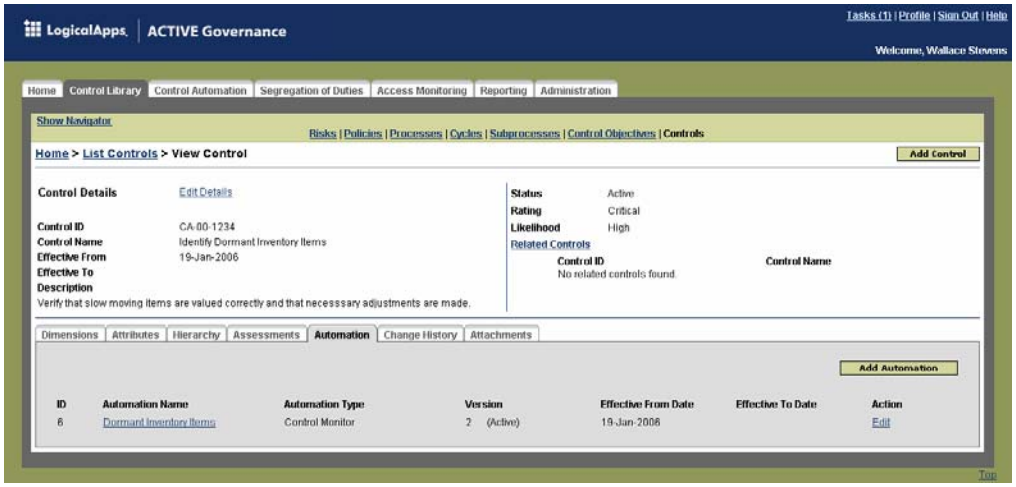
Other Automations

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

1. After you make the selections you want in the initial Add Automation panel — including Segregation of Duties, 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. If you selected Segregation of Duties or Change Control, this step does not apply; skip to step 3. If you selected Oracle Flow Rule or Oracle Form rule, a second Add Automation panel presents a Library list box, which 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 AppsForm or AppsFlow. 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 another Add Automation panel, a list box displays the names of rules from which you can select. These are SOD rules or change-control rules on the database instance you've chosen, or form or flow rules in the library you've chosen. Click on one of them, and then click on the Next button.
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.)

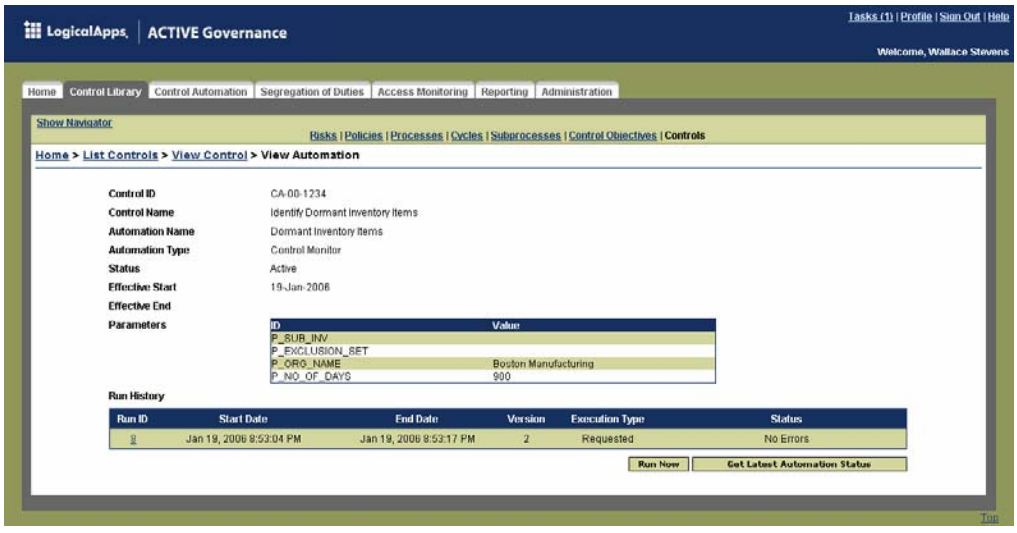


In addition to automation name, type, and effective dates, each entry (for any type of automation) displays an Edit link in an Action column. It enables you to edit some of the details by which the automation is attached to the control:

- 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 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.



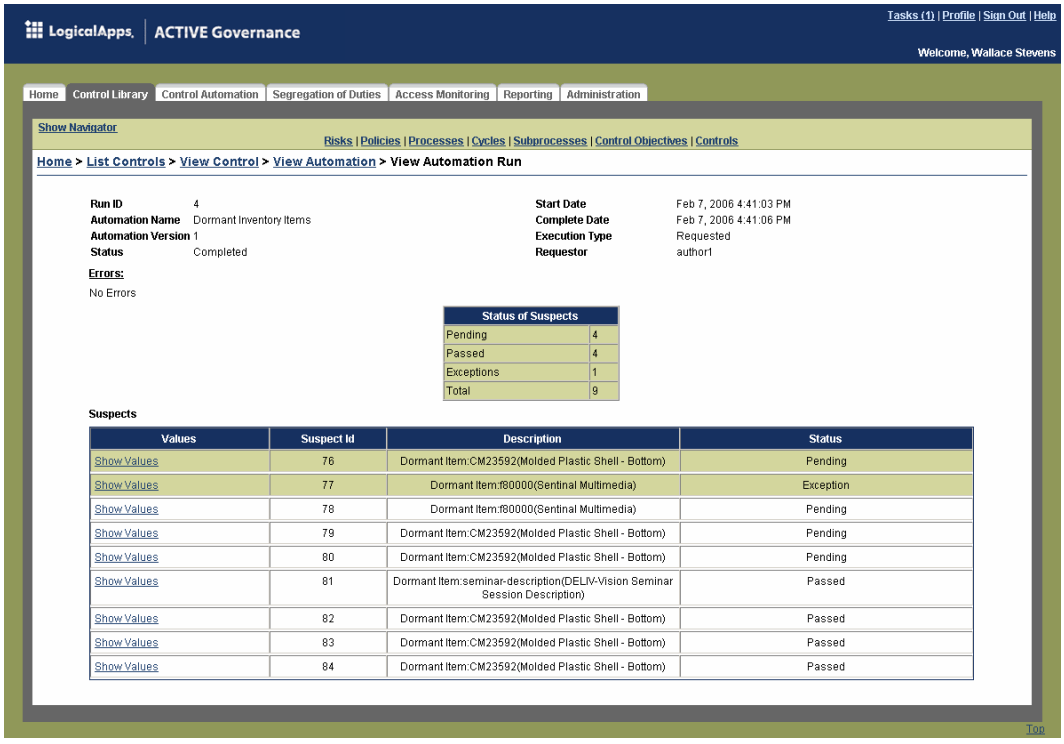
To run a control monitor, click on the Run Now button in this form. Each time you do, and each time the control monitor runs on a schedule, ACTIVE Governance evaluates the SQL statements contained in the control monitor to generate a new set of suspects. When you then click on the Get Latest Automation Status button, ACTIVE Governance displays information about the new evaluations, each 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 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:

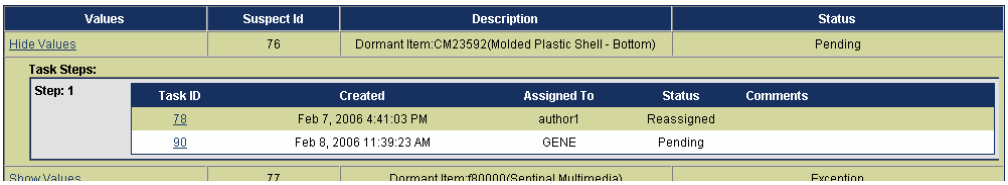
- Passed means that a suspect condition is allowed to stand.
- Exception means that a suspect condition must be remedied.
- Pending means that no decision has been reached.



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.

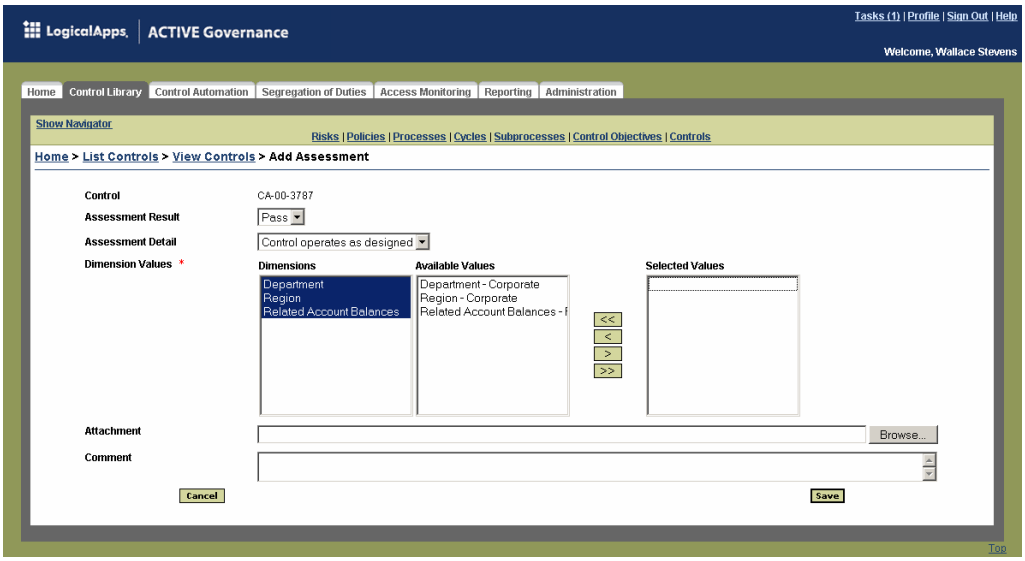


From here, you can click on a task ID to view details of the actions taken by a given user. ACTIVE Governance displays a replica of the Suspect Details panel in the Task Inbox, but removes any of the buttons one needs to make an actual status assignment. (Click on its Back button to return to the View 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 57).
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's 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:

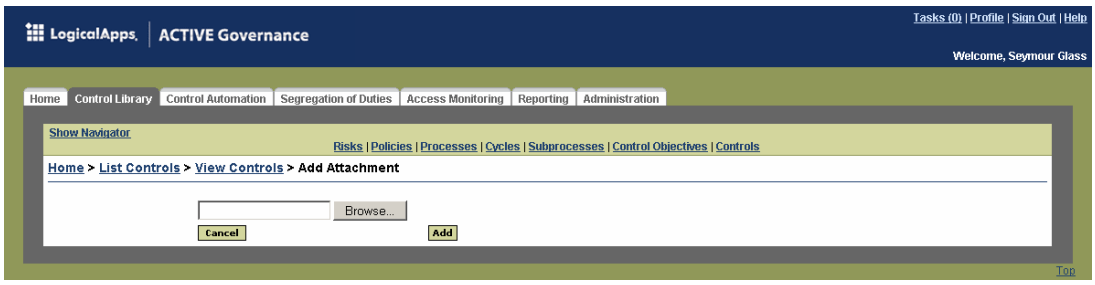
- Filter the list of assessments. In the Dimension list box, select a dimension. The Assessments panel then lists only assessments that set a value for the dimension (see step 5, above). Or select All to view entries for all assessments.
- Click on the plus-sign icon to display the dimension values selected 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.

Attaching Documents to Control-Library Elements

To each control-library element, you can attach any number of files that document the element more fully than the description you write as you create it. First, use a text editor, word processor, or similar application to prepare the files. Then, to add an attachment:

1 Open the View panel for the element to which you want to attach documents (see page 57).

2 Click on the Attachments tab, and then on Add Attachment button located at the right of the panel activated by the tab. An Add Attachment panel appears:



3 Click on the Browse button.

4 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.

5 The path to the file you've selected appears in the text box next to the Browse button, and a second text box and browse button appear beneath the first. If you wish, select a another file to add. Each time you select a file, another text box and browse button appear; continue adding as many files as you like.

6 When you have selected all the files you want, click on the Add button.

The View screen for element reappears, and its Attachments panel displays a row for each document you've added:

As you review the attachments, you can:

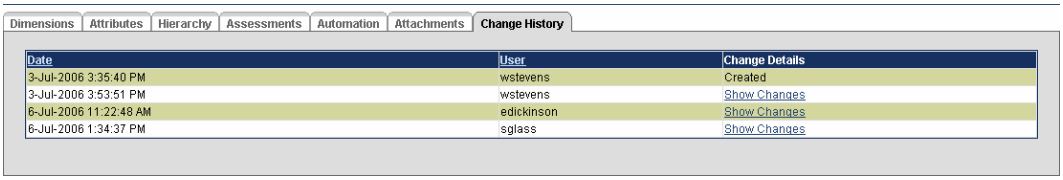
- Open and read them. Click on the Download link in the row for an attachment. A File Download dialog appears; click on its Open button.
- Delete them. Click on an Delete link in the row for an attachment. Deletion of the attachment requires no confirmation. (The attached document continues to exist; it's the attachment to the control-library element that is deleted.)

Reviewing Changes to Control-Library Elements

You can view a history of the changes made to each control-library element:

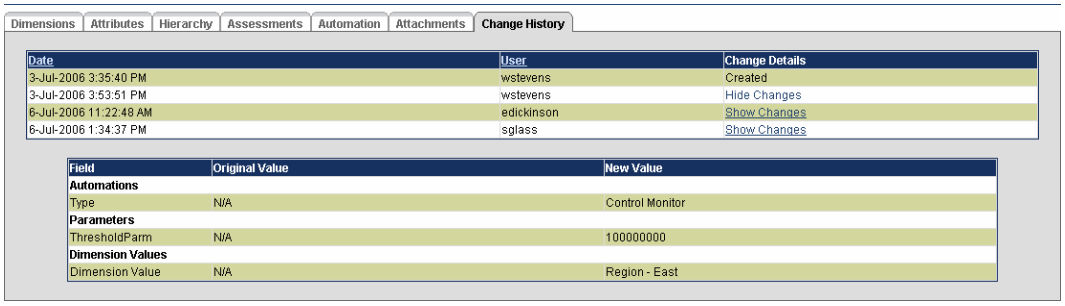
1 Open the View panel for the element to which you want to view history (see page 57).

2 Click on the Change History tab. A Change History panel displays a row for each time changes were saved for the element. Each row shows the date and time on which changes were saved, and identifies the user who made the changes:



3 The first row in the grid documents the creation of the element; it's read-only, and it displays a static value, "Created," in a Change Details Column. Each subsequent row documents a change, which may in fact involve modifications to several related fields, all of which were saved at once. To view details about such modifications, click on the Show Changes link in the Change Details column for one of these rows.

A second grid appears, displaying the old and new values for each modified field associated with the row you selected.



4 Click on the Show Changes link in other rows to view old and new values for changes saved at other moments. Or, to close the lower grid, click on the Hide Changes link.

Chapter 6

Reviewing Items in the Task Inbox

In the Task Inbox, users receive requests to review three types of item:

- Suspects generated by control monitors.
- 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 reviewed.
- 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 uses seven panels to list items for review. Each panel is available from a link in the Library Navigator (and most provide access to additional panels in which the actual review takes place). Each displays a selection of items tailored to the user currently logged on to the ACTIVE Governance Platform:

- List Task panels present items that have been created, modified, or reviewed by users other than the current one. As a result, the current user can pass judgment upon these items. There are three List Task panels, one each for suspects, approvals (the review of control-library elements or access requests), and notifications (the review of other users' dispositions of approval tasks or suspect tasks). Each user receives task messages that apply only to items she is authorized to review; that authorization is determined by the configuration of workflow routings and definitions.

- List Task History panels present records of decisions the current user has made in the List Task panels. There is one panel each for suspect-task history, approval-task history, and notification-task history.
- A List User Requests panel presents records of control-library elements, access requests, or suspects created or modified by the current user. Because a user approving her own work 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.

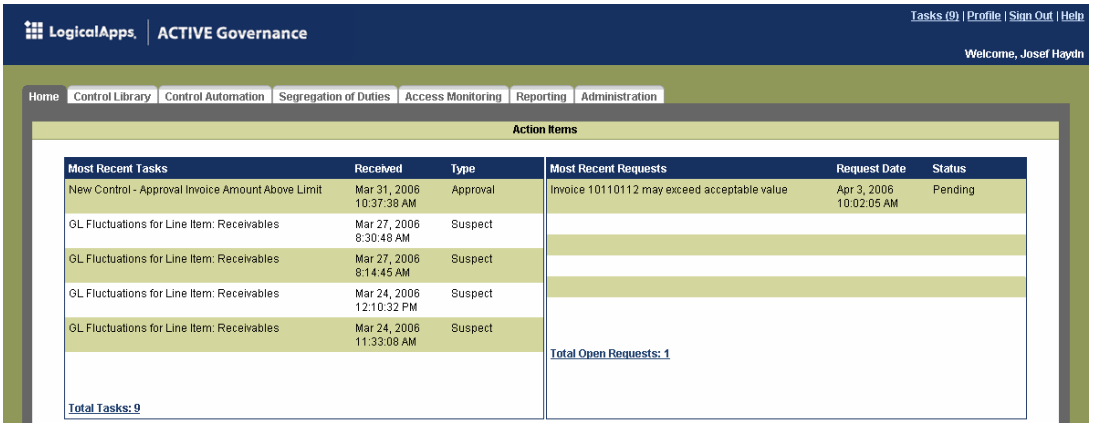
Who Can Do This?

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 task messages only if he is named in at least one workflow routing (and generates task-history messages only if he can receive task messages). He can receive user-request messages only if he is able to originate tasks — if his primary application role gives him rights to create or modify items that are subject to review, or if he is eligible to receive task 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

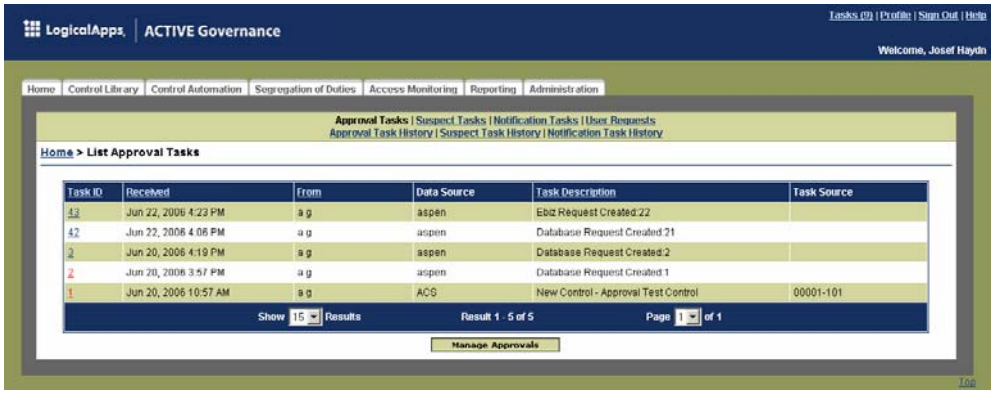
Every panel in the ACTIVE Governance Platform displays four links at its upper right corner. The first of these is labeled *Tasks*, and it also displays the number of tasks assigned to the user who is currently logged on.

Moreover, for every primary application role except Auditor, the Home panel presents two lists of tasks — one list shows the five tasks most recently assigned to the current user, and the other presents the five most recent user requests. Each list 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 Most Recent Tasks list opens a List Approval Tasks panel (shown below); the link in the Most Recent Requests list opens a List User Requests panel. To switch

among the seven List panels, click on the Library Navigator link for the panel you want to open.



The seven List panels present similar information about the items they list:

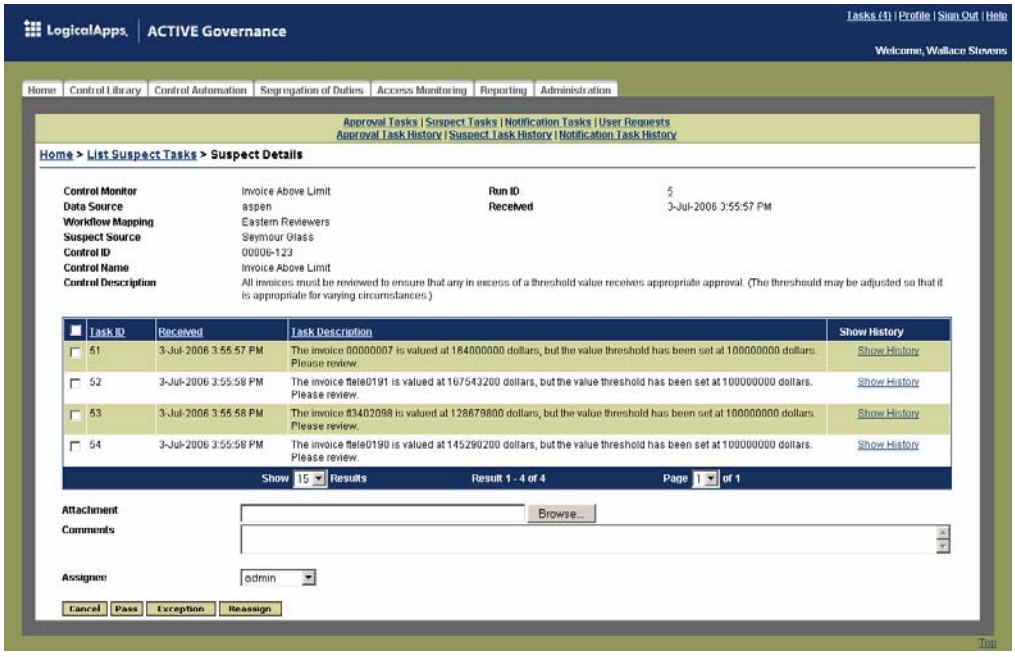
- Several columns present self-explanatory information: For each entry on a panel, a Received column displays the date and time at which the entry appeared in the Task Inbox. A From column names the user who originated a task or request. Data Source identifies the database instance in which a control-library element, suspect, or access request exists. (These columns appear in all the List panels.)
- A Task Description column encapsulates issues 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. (This column also appears in all the List panels.)
- A Run ID column (in the List Suspect Tasks panel) or a Task ID column (in each of the other panels) presents numeric identifiers for control-monitor runs or for tasks (or requests). In all but the User Requests panel, each ID is a link to another panel in which you may act upon the item in question. A blue ID indicates a task for which the action panel has never been opened, and a red ID indicates a task for which the action panel has been opened, but no action has been taken. In the User Requests panel, ID values are black, indicating they do not link to anything.
- A Control (or Control ID) 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. (These columns appear in the List Suspect Tasks, List Suspect Task History, List Notification Tasks, and List User Requests panels.)
- 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, if any. (The column appears in all but the List Suspect Tasks panel.)

- The two Notification panels include a Task Type column, in which the value *Approval* indicates that an entry is either an access request or a new or updated control-library element, and the value *Suspect* indicates that an entry is a suspect generated by a control monitor.
- The List User Requests panel includes a Status column. For each control-library element, access request, or suspect that you generate, the panel may contain multiple entries, each recording an action taken by a reviewer; the Status column displays the decision reached by the reviewer.

Reviewing Suspect Tasks

If control monitors have generated suspects, and workflows are configured so that you must review them, you receive an email message announcing that they await your review. In response, open the Task Inbox and click on the Suspect Tasks link in the Library Navigator. A List Suspect Tasks panel presents entries representing occasions when control monitors have been run:

Select a run by clicking on its ID. A Suspect Details panel opens, listing the individual suspects generated by that run.



Judging Suspects

In the Suspect Details panel, you can decide whether to "pass" suspects, mark them as "exceptions," or reassign them to another user — either individually or collectively:

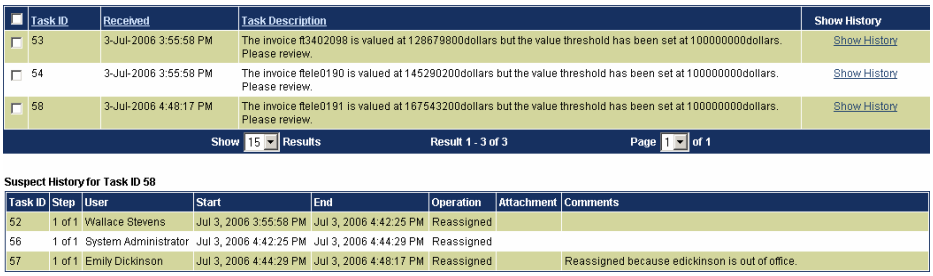
1. At the top of this panel, review information that traces how these suspects came to your attention. This includes the control monitor that generated them, the user who ran the monitor, the run ID, and the control to which it is attached; the database instance on which the suspects exist; and the workflow that routed them to you. Most of this information is read-only; you can, however, click on the run ID to open the View Automation Run panel (see page 69). Note that if you do, you leave the Task Inbox.
2. In the grid that lists the suspects, click in the check box to the left of each suspect upon which you want to act. Or click in the check box next to the Task ID heading to select all of the suspects generated by the control-monitor run. A suspect is selected when a check mark appears; you can rescind a selection by clicking on a check box a second time, so that the check mark disappears.
3. Optionally, attach a document: Click on the Browse button, and 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. The path to the file you've selected appears in the Attachment text box (and the attachment itself will be available in the Suspect Task History panel). The attachment applies to all the suspects you selected in step 2.
4. Optionally, click in the Comments text box and write a comment of up to 255 characters. The comment can be viewed in the Suspect Task History panel, and applies to all the suspects you selected in step 2.
5. If you want to reassign the suspects to another user, select that person's username in the Assignee list box. (If you don't what to reassign suspects, skip this step.)
6. Click on the button corresponding to the action you want to take:
   - *Pass* means that suspect circumstances are allowed to stand.
   - *Exception* means that suspect circumstances must be remedied.
   - *Reassign* means that the suspect will be forwarded for judgment to the user identified in the Assignee list box.

When you click on one of these buttons, the suspects you selected in step 2 disappear from the grid (and entries are created for them in the Suspect Task History panel). If any suspects remain in the grid, you can select a set of them and once again assign status or reassign them to another user.

Displaying a Running History

If you receive suspect tasks because you are a reviewer named in the first step of a workflow routing, then the tasks do not yet have any history. If, however, you are a reviewer named in the second or later step of a workflow routing, or if tasks have

been reassigned to you by another user, then you can review the actions taken so far by others before coming to your own decision about the suspect. To review the history for an individual suspect, click on the Show History link at the right of its row in the Suspect Details panel:



	Task ID	Received	Task Description	Show History
☐	53	3-Jul-2006 3:55:58 PM	The invoice ft3402098 is valued at 128679800dollars but the value threshold has been set at 100000000dollars. Please review.	Show History
☐	54	3-Jul-2006 3:55:58 PM	The invoice ftele0190 is valued at 145290200dollars but the value threshold has been set at 100000000dollars. Please review.	Show History
☐	58	3-Jul-2006 4:48:17 PM	The invoice ftele0191 is valued at 167543200dollars but the value threshold has been set at 100000000dollars. Please review.	Show History

Show 15 Results Result 1 - 3 of 3 Page 1 of 1

Suspect History for Task ID 58

Task ID	Step	User	Start	End	Operation	Attachment	Comments
52	1 of 1	Wallace Stevens	Jul 3, 2006 3:55:58 PM	Jul 3, 2006 4:42:25 PM	Reassigned		
56	1 of 1	System Administrator	Jul 3, 2006 4:42:25 PM	Jul 3, 2006 4:44:29 PM	Reassigned		
57	1 of 1	Emily Dickinson	Jul 3, 2006 4:44:29 PM	Jul 3, 2006 4:48:17 PM	Reassigned		Reassigned because edickinson is out of office.

A second grid appears below the one that lists suspects. In it, each row describes a prior action taken by another user about the selected suspect, identifying its task ID, its step in the workflow that routed it for review, the user who acted and the action he took, and the dates and times at which the user received the task and finished with it. If that user added an attachment or comment, these are also displayed. Each time you click on the Show History link for another suspect, its history replaces entries that had been there previously.

Reviewing Approval or Notification Tasks

Workflows may be configured so that you review approval tasks — the creation or updating of control-library elements, or requests for extraordinary access to responsibilities or database tables. Or workflows may nominate you to receive notifications of reviewers' decisions about approval tasks or suspect tasks. In either case, you receive an email message whenever an item requires your attention. In response, open the Task Inbox and click, as appropriate, on the Approval Tasks link or the Notification Tasks link in the Library Navigator.

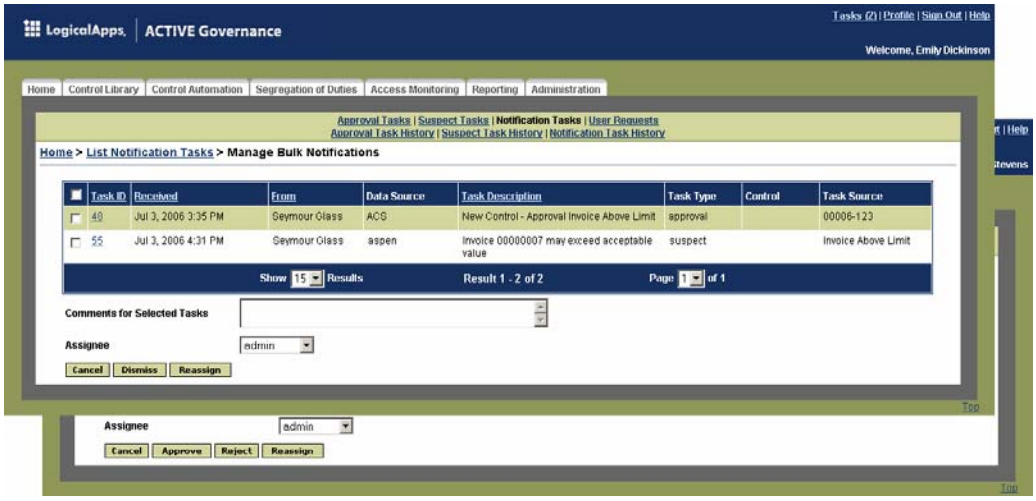
A List panel, like the one shown on page 79, appears. Because the List Notifications panel may display entries for suspects or approvals, it provides slightly different information about each item than the List Approvals panel does (see the descriptions of field values on page 79). However, in each panel you can click on the task ID for an individual item to open a Details panel and render a decision about it, or click on a button — Manage Approvals or Manage Notifications — to open a panel in which you can review any number of items at once.

Initiating a Bulk Review

To select a set of items for review (or for reassignment to another user):

1 Click on the Manage button at the bottom center of the List Approval Tasks or List Notification Tasks panel. A new panel — Manage Bulk Approvals or Manage Bulk Notifications — lists all the approvals or all the notifications available for you to review. (Instances of this panel are shown at the top of the next page — Notifications on top and Approvals on the bottom. They are essentially the same, except for the buttons along the bottom of each panel.) Each entry in the

list provides a summary description of an approval or notification — the same information, in fact, as the List panel provides.



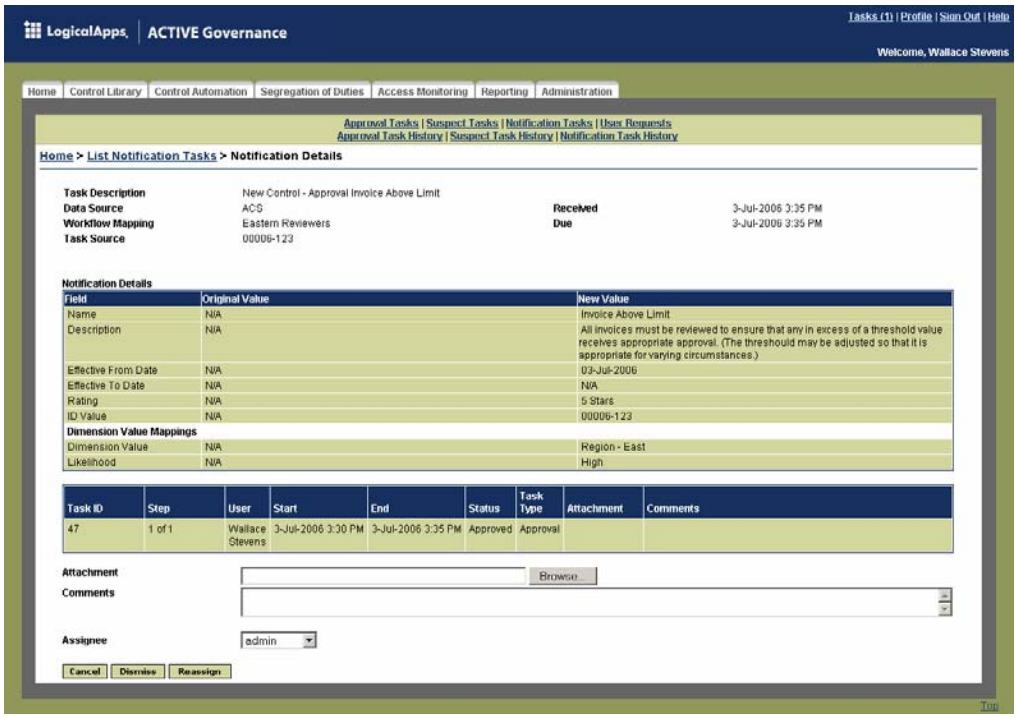
2 Click in the check box to the left of each item upon which you want to act. Or click in the check box next to the Task ID heading to select all of the items in the list. An item is selected when a check mark appears; you can rescind a selection by clicking on a check box a second time, so that the check mark disappears.

3 To finish the review process, skip ahead to "Completing the Review" (page 84).

Initiating an Individual Review

To view greater detail, and render a decision, about a single item:

1 Click on its task ID in List Approval Tasks or List Notification Tasks panel. A Details panel opens:



2. At the top of this panel, review information that traces how the item came to your attention. This includes its task description and task source (which are the same values as those on the List panel; see page 79), the database instance on which the item exists, the workflow that routed it to you, and dates on which you received it and should respond to it.
3. In a Details grid, examine the changes you are to affirm or deny. For a control-library element, a review may encompass changes to any number of fields, and the grid contains one row for each field that has changed. (You must affirm all or none.) For an access request, a single row presents all of the information included in the request: the name of the user for whom access is requested and the temporary ID to be assigned to him, the type of request and the responsibility or database table for which access is requested, the start and end dates for the proposed access, the database instance, and the reason access is requested.
4. In a History grid, review a running tally of actions taken by others before you.

   If you are reviewing an approval task, there is no history if you are a reviewer named in the first step of a workflow routing. If, however, you are a reviewer named in the second or later step of a workflow routing, or if tasks have been reassigned to you by another user, the History grid contains one row for each action taken so far by another user.

   If you are reviewing a notification task, the History grid necessarily contains at least one row, since at least one user must have acceded to or denied a change for the task to reach you. If any other users have also acted, the grid contains a row for each of them.
5. To finish the review process, see the next section, "Completing the Review."

Completing the Review

Once you have selected either an individual item or a set of items to review:

1. Optionally, attach a document: Click on the Browse button, and 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. The path to the file you've selected appears in the Attachment text box, and the attachment itself will be available in the Approval Task History or Notification Task History panel. (If you're working in a Bulk panel, the file is attached to all the items you selected.)
2. Optionally, click in the Comments text box and write a comment of up to 255 characters. The comment can be viewed in the Approval Task History or Notification Task History panel. (If you're working in a Bulk panel, the comment applies to all the items you selected).
3. If you want to reassign the items to another user, select that person's username in the Assignee list box. (If you don't what to reassign suspects, skip this step.)
4. Click on the button corresponding to the action you want to take. If you are working with approvals:
   - *Approve* means you assent to a change or request (or to each change or request you selected in the Manage Bulk Approvals panel). Once all approvers

designated by a workflow have approved, a control-library element appears in its List panel if it has been newly created or adopts changes if it has been modified, or a user receives access requested through the Access Monitoring feature.

- *Reject* means you decline each change or request. A single rejection prevents a new control-library element from appearing in its List panel or restores an element to its state before a change was attempted, or prevents a user from receiving access requested through the Access Monitoring feature.

If you are working with notifications, *Dismiss* means that you agree with the decisions other users have made about an item (or each the item you selected in the Manage Bulk Notifications panel). Within ACTIVE Governance, there is no way to signify disagreement. If you do not concur in another user's approval decision, click on the Cancel button to allow its notification to remain active, resolve the issue outside of ACTIVE Governance, and then dismiss it.

For approvals or notifications, *Reassign* means that the items will be forwarded to the user identified in the Assignee list box.

When you resolve issues, they disappear from their panels (and entries are created for them in the Approval Task History or Notification Task History panel). If any items remain, you can select one or more of them (in the List or Bulk panels) and once again assign status or reassign them to another user.

Reviewing History

Whenever you act upon an approval, suspect, or notification, a record of your action is recorded in the appropriate one of three List History panels: Like their new-item counterparts, the List Approval Task History panel displays records of individual control-library elements or access requests, and the List Notification Task History panel presents records of individual notifications. The List Suspect Task History panel, however, displays records of individual suspects you've reviewed (unlike the List Suspect Tasks panel, which presents control-monitor runs).

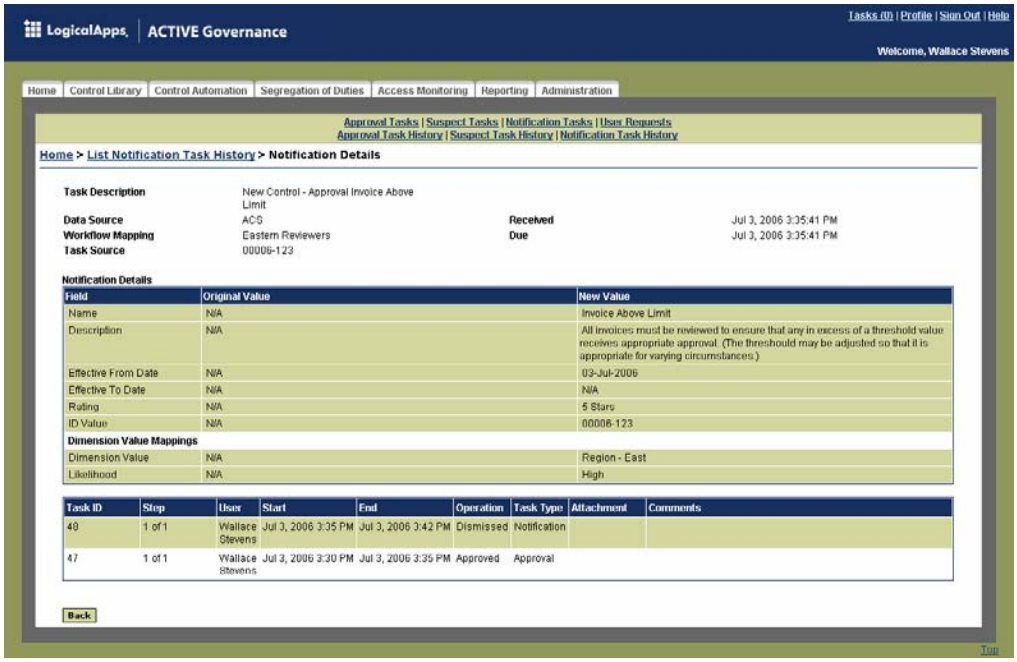
From each of the List History panels, you can select an item and open a Details panel. It presents information about the item, which mirrors the information available when the item was reviewed:

- For a suspect or suspect notification, you see the database instance on which the suspect exists, the workflow that distributed it for review, the run ID of the control monitor that generated it, the control to which the monitor is attached, dates and times at which review commenced and ended, and the detailed description of the suspect (as written into the control monitor that generated it).
- For an approval or approval notification, you see the database instance on which the item exists, the workflow that distributed it for review, the task source, and dates and times at which review commenced and ended. For a control-library element, a grid shows how field values have changed, or for an access request, a grid shows what access has been requested, when, and for whom.

In addition, a History grid devotes one row to each task that been completed by any user with respect to the item, culminating with the task you completed that caused this history record to be created. Each row identifies the task ID, the step in the workflow that routed the task for review, the user who completed the task and the action he took, and the dates and times at which the user received the task and finished with it. If that user added an attachment or comment, these are also displayed.

To review the history of an approval, suspect, or notification:

1. Open the Task Inbox, and click on the Library Navigator link for the List History panel you want to open: Approval Task History, Suspect Task History, or Notification Task History.
2. In the grid on the List History panel, identify the row corresponding to the approval, suspect, or notification whose history you want to review, and click on its task ID. A Details panel opens. (The following illustration shows the details of a notification task concerning creation of a control, but it is representative of the Details panel for any of the History selections.)



3. Review the information. The illustration, for example, shows that a user named Wallace Stevens was both an approver and the recipient of a notification for the creation of a control. In one task (number 47), he approved the control, and in another task (number 48), he dismissed the notification.

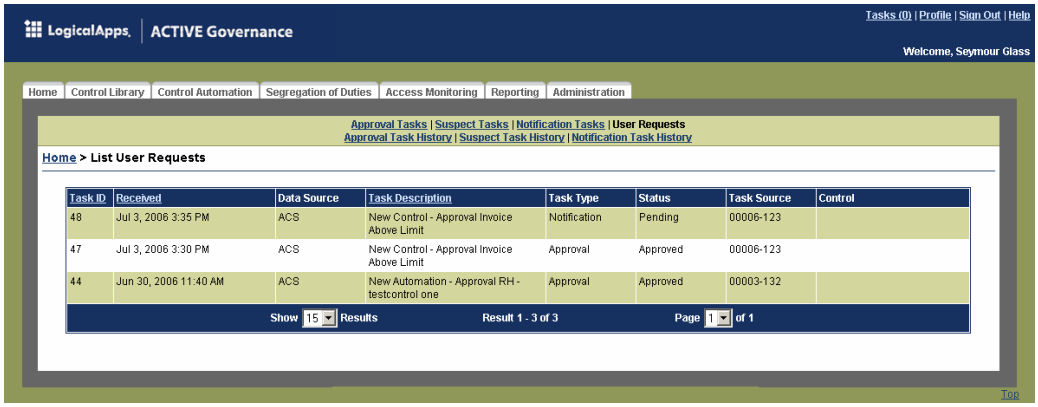
   Typically, History Details panels are read-only; you cannot change a decision after it's been made. There is one exception: in the History Details panel for a suspect task, you can click on the run ID to open the View Automation Run panel for the control monitor that generated the suspect (see page 69). Note that if you do, you leave the Task Inbox.

4. When you finish reviewing the information, click on the Back button. This returns you to the List History panel from which you opened the Details panel.

Viewing User Requests

In the User Requests panel, you can view entries that pertain to control-library elements you have created or modified, requests you have made for users to have access to responsibilities or database tables, or suspects generated by control monitors that you have run. For each such item, the panel may contain several entries. One documents your having generated the item, and another entry is added each time another user acts upon the item — affirms or denies it, or dismisses a notification about it. Each entry presents the status of the item at the moment a user has made a decision about it, so the User Requests panel charts the progress of items you generate.

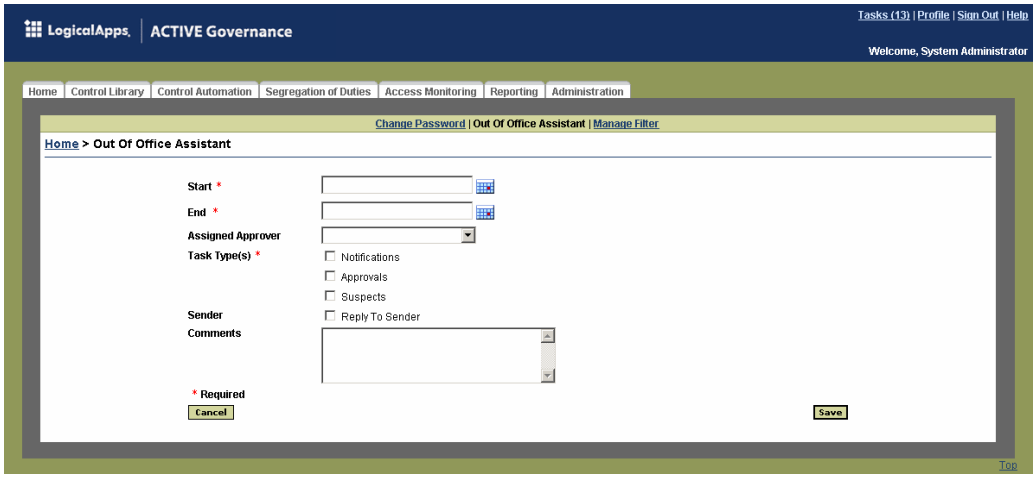
To view User Requests, open the Task Inbox, click on the User Requests link in the Library Navigator, and review the entries in the panel. It has no links to other panels.



Using the Out of Office Assistant

An Out of Office Assistant directs your tasks to a user whom you specify, for a period of time that you set. You may also create a message informing others that tasks intended for you are being redirected. Use this feature to ensure that your tasks are addressed when you are away from your office. To set the Out of Office Assistant:

1 From any panel in the ACTIVE Governance Platform, click on the Profile link near the upper right corner of the panel. An Out of Office Assistant panel opens:

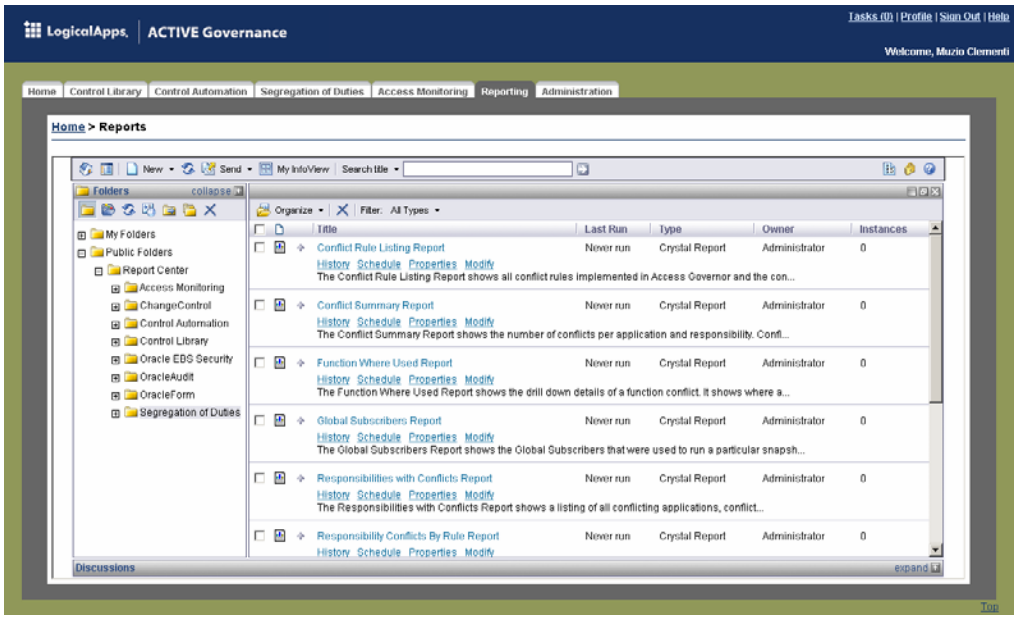


2. In the Start and End fields, select dates on which your tasks should start and stop being redirected to another user. (See "Date Fields," page 6.)
3. In the Assigned Approver list box, select the ACTIVE Governance user to whom your tasks will be redirected.
4. In the Task Types area, select any combination of the Notifications, Approvals, and Suspects check boxes to determine what types of tasks are to be redirected to the user you chose in step 3. (If you leave any of these types unselected, that task type will accumulate in your Task Inbox during your absence. You cannot create multiple Out of Office Assistants in order to direct various types of tasks to various users.)
5. If you want to alert the originators of tasks that their tasks are being redirected to a user other than yourself, select the Reply to Sender check box.
6. If you select the Reply to Sender check box, type the message you want to send to task originators in the Comments text box. message can be up to 255 characters in length, and it is sent to the task originators' email addresses.
7. Click on the Save button.

Chapter 7

Reports

Reports, which display information about the control framework you create in ACTIVE Governance and its application to your business, are available from a Reports browser. To open the browser, click on the Reporting tab:



A Folders panel on the left of the Reports browser presents a hierarchical display of folders that contain reports. In it, click on Public Folders, and then Report Center.

Reports available in the Segregation of Duties, Access Monitoring, and Oracle EBS Security folders are documented in the *ACTIVE Access Governor User's Guide*. Reports available in the Change Control folder are documented in the *ACTIVE Data Governor User's Guide*.

Reports available in the remaining folders are documented here. These present information about control-library elements, their relationships to one another, and their assessments; control monitors, their attachments to controls, and the suspects they generate; form and flow rules that may be attached to controls as automations; and audit features used in the background for access monitoring and change control.

To open a report, locate the folder that contains it under the Report Center heading in the Folders panel. Click on the folder, and the larger panel on the right presents links to the reports contained in the folder. Click on the link for the report you want. The larger panel then displays fields in which you can enter values for report parameters; do so, then click on the OK button to run the report. (The reports contained in each folder, and the parameters that apply to each report, are listed below.)

Who Can Do This?

All users who have been assigned reporting roles can run and review the reports allotted to their roles. See "User Permissions for Reporting Roles" on page 10.

Exporting a Report

When you generate a report, it appears in the larger panel on the right of the Reports browser. For ease of viewing, however, you may want to export it to another format, such as Adobe Acrobat. To do so:

1. Click on the Export icon in the Reports browser. (It looks like two juxtaposed rectangles, representing a disc and a sheet of paper. It appears only when a report has been generated, and is located at the upper left corner of the larger panel in the Reports browser.)
2. An Export Report dialog appears. In it, select a destination program in the File Format field (for example, Adobe Acrobat). Then click on the OK button.
3. A dialog presents you with options appropriate to the program to which you've elected to export the file — for example, save or open in Adobe Acrobat. If you select the open option, the report opens in a new window. If you select the save option, you can specify a file path and name to which to save it.

Other Report Features

ACTIVE Governance reports are presented through use of a "third-party" component, which offers features in addition to the presentation or exporting of reports. For documentation of these features, open the Help file available from the Reports browser. You can do this by clicking on a Help icon, which looks like a question

mark enclosed in a circle, and is located at the very right of the tool bar, just above the upper right corner of the larger panel in the Reports browser.

Control Automation Folder

The Control Automation folder contains reports on control monitors, the suspects they generate, and their attachments to controls. These reports commonly accept the following parameter:

AG Source Data: Select the instance that contains the data about which you want to generate reports. (You may supply this value more than once for a given report, first to generate a list of the remaining parameters and then, within that list, to generate the report itself.)

Automated Controls Report

The Automated Controls Report consists of a bar graph that presents the number of automations, by type, that are attached to controls. Automation types include control monitors, SOD rules, flow rules, form rules, and change-control rules; the graph includes a bar for each type; the vertical height of each bar corresponds to the number of automations. (If there are no automations of a particular type, its bar is omitted from the graph.) This report accepts only the AG Source Data parameter.

Automated Versus Manual Controls Report

The Automated Versus Manual Controls Report presents a pie graph that shows the proportion of automated to manual controls (and provides the percentage of each to total controls). A control is considered to be automated if it has at least one control monitor, SOD rule, flow rule, form rule, or change control rule attached to it, and is considered to be manual if it has no such attachment. (A control may have more than one automation, but if so, is still considered to be one automated control.) This report accepts only the AG Source Data parameter.

Average Days of Outstanding Tasks Report

The Average Days of Outstanding Tasks Report displays three graphs, each of which shows the average number of days that a type of task has remained unresolved. The three task types are suspect, approval, and notification (see page 77 for definitions of these task types). Each graph resembles a speedometer, with number values arrayed along an arch, increasing regularly from left to right, and a needle pointing to a number value on the arch. This report accepts only the AG Source Data parameter.

Control Automation List Reports

There are four Control Automation List reports, each of which displays information about control monitors — for each, its name, version, description, last-update date,

status, the controls to which it is attached, and the database instance on which it resides. The reports differ in the way they group the monitors they list:

- The Control Automation List by Control Objective Report groups control monitors by the individual control objectives with which they are associated.
- The Control Automation List by Subprocess Report groups control monitors by the individual subprocesses with which the are associated.
- The Control Automation List by Primary Element Name Report groups control monitors by individual primary elements (policies, processes, cycles, and risks) with which they are associated.
- The Control Automation List by Primary Element Report groups control monitors by the type of primary element with which they are associated.

In each case, the association results from the configuration of your control hierarchy: a monitor is attached to a control, and is associated with a control objective if the control is linked to it; is associated with a subprocess if the control objective is linked to it; and is associated with a primary element if the subprocess is linked to it. Because each object may be linked to more than one parent object, the reports may list monitors and each of the hierarchy objects more than once.

Each of the reports accepts some combination of the following parameters:

- Primary Element: Select types of elements, in any combination, for which you want the report to present information. Options include Policy, Process, Cycle, and Risk. (All four reports use this parameter.)
- Primary Element Name: Select individual primary elements for which you want the report to present data. The list from which you can choose is determined by the selections you make for the Primary Element parameter. (The By Primary Element Name, By Subprocess, and By Control Objective reports use this parameter.)
- Subprocess Name: Select individual subprocesses for which you want the report to present data. The list from which you can choose is limited to subprocesses associated with the elements you chose for the Primary Element Name parameter. (The By Subprocess and By Control Objective reports use this parameter.)
- Control Objective Name. Select the control objectives for which you want the report to present data. The list from which you can choose is limited to objectives associated with the subprocesses you chose for the Subprocess Name parameter. (Only the By Control Objective report uses this parameter.)
- Status: Select *Active* to see results for control monitors that are active, *Inactive* to see results for control monitors at any other status, or *Both*. (All four reports use this parameter.)
- Updated Date: Define a period in which control monitors must have been created or updated to be included in the report. You may enter dates in the Start and End fields; in that case, clear the No Lower Value and No Upper Value check boxes. Or you may omit the start date and select the No Lower Value check box to start with the earliest existing transaction, or omit the end date and select the No Upper Value check box to finish with the latest existing transaction.

If you do enter actual dates, select an Include This Value check box (for either or both dates) to include the value you specify in the period, or clear the check box to exclude the value (thus selecting transactions that begin after but not on the start date, or end before but not on the end date). You can click on the calendar icons to select dates.

(All four reports use this parameter.)

- Sort by: Select values that order the information in the report — *Automation Name*, *Status*, or *Last Updated*. The order in which you select the values determines the priority by which they sort data. (All four reports use this parameter.)

Control Automation Suspects by Dimension Value Report

The Control Automation Suspects by Dimension Value Report presents a bar graph displaying the number of suspects generated by monitors for each dimension value. Each bar in the graph represents a dimension value, and its height is proportional to the number of suspects. The bars are arranged in groups, with each group consisting of all the values for a given dimension.

The report also provides a table in which each row displays information about a suspect: Task ID (a unique numeric identifier assigned to the suspect by the workflow that distributed it for review), Received Date (the date on which it became available for review), From (the user who ran the control monitor that generated the suspect), Data Source, Task Description (as written into the control monitor that generated the suspect), Control ID (the identifier for the control to which the control monitor is attached as an automation), and Task Source (the name of the control). As you run the report, you can select values for the following parameters:

- Dimension Name: Select any combination of dimensions for which you want to see associated suspects. The report allows you to select among all dimensions configured for your system.
- Dimension Value: Select dimension values for which you want to see associated suspects. The report enables you to select among values configured for the dimensions you selected in the previous parameter.

Control Monitor Detail Report

The Control Monitor Detail Report shows, for a selection of the control monitors on your system, the configuration details for each monitor. These include name, status, creator, and creation date. Depending on your report-parameter selections, it may also show version history (the version number and status of each configured version), the control-monitor parameters, and the steps configured for the monitor. For each step, it would provide the step name, number, type, and (if any) detail (for example, the SQL written for an execute-query step). As you run the report, you can select values for the following parameters:

- Workflow Status: Select the appropriate value to focus the report on monitors at the active, retired (inactive), or editing status, or select *All*.

- Include Version History: Select *Yes* or *No* to determine whether the report shows version history for the monitors it documents.
- Sort by: The report alphabetizes control monitors by name. Select *Ascending* or *Descending* to determine whether it uses forward or reverse alphabetical order.
- Display Parameters Detail: Select *Yes* or *No* to determine whether the report lists parameters for the monitors it documents.
- Display Sequence Detail: Select *Yes* or *No* to determine whether the report lists steps for the monitors it documents.

Detail Suspect History Report

The Detail Suspect History Report presents the results of control-monitor runs. It devotes a section to each control-library element for which a control monitor has been run. It identifies the type, name, and ID of the element; the name, ID, and description of the control associated with that element; and the name and version of the monitor that has been run. It also provides an entry for each suspect generated by the control monitor. For each suspect, it shows the run date and time, and IDs for the suspect task itself and for the run that generated it. It displays record details (a "suspectInfo" value — the more detailed of two descriptions, written into the control monitor, of the conditions it is intended to detect). It further provides suspect status, the date on which status was assigned and the ID of the user who assigned it, and comments by that user. As you run the report, you can select values for the following parameters:

- Control Element Level: Select the types of control-library element, in any combination, for which you want to view control-monitor runs.
- Control Element Value: Select individual control-library elements for which you want to view control-monitor runs. The parameter displays only elements of the type you selected in the Control Element Level parameter.
- Control Monitor: Select the names of control monitors whose runs you want to review. The report documents occasions when these monitors were run as automations for the control elements you selected in the Control Element Value parameter.
- Control Monitor Version: Select version numbers, in any combination, for control monitors. The report returns results for runs of the versions you've selected.
- Date From and Date To: Define the time period in which control monitors must have been run for their results to appear in the report. Type dates in the From and To fields in the format *yyyy-mm-dd*, or click on the calendar icons to select dates.
- Suspect Action: Choose any combination of *All*, *Pass*, *Pending*, and *Exception* to have the report display results for suspects at the statuses you select.

Open Suspect Reports

There are three Open Suspect reports, each of which displays information about suspect tasks that have not yet been addressed:

- The Open Suspect by Primary Control Element Report provides information about suspects associated with processes, policies, risks, or cycles.

- The Open Suspect Tasks by Subprocess Report provides information about suspects associated with subprocesses.
- The Open Suspect Tasks by Control Objective Report provides information about suspects associated with control objectives.

In each case, the association results from the configuration of your control hierarchy: a monitor is attached to a control, and is associated with a control objective if the control is linked to it; is associated with a subprocess if the control objective is linked to it; and is associated with a primary element if the subprocess is linked to it.

In each report, a bar graph shows the number of suspects for each control-library element — each type of primary element in the Primary Element report, or each individual subprocess or control objective in their respective reports.

In each report, tables display one entry per suspect. Each entry provides the name and ID of a control from which a monitor is run, and the name and version of the monitor. Each displays a task description (a "suspectDesc" value — the less detailed of two descriptions, written into the control monitor, of the conditions it is intended to detect). Each entry further provides the task ID, the database on which the monitor ran, and the date and time on which the suspect was generated.

Each report includes one of these tables for each of the control-library elements on which the report is based — once again, each type of primary element in the Primary Element report, or each individual subprocess or control objective in their respective reports.

Each of the reports accepts some combination of the following parameters:

- Control Element or Element Name: Select types of elements, in any combination, for which you want the report to present information. Options include Policy, Process, Cycle, and Risk. (All three reports use this parameter; it's called *Element Name* in the By Subprocess report and *Control Element* in other two reports.)
- Subprocess: Select individual subprocesses for which you want the report to present data. The list from which you can choose is limited to subprocesses associated with the elements you chose for the Control Element/Element Name parameter. (The Subprocess and Control Objective reports use this parameter.)
- Control Objective: Select the control objectives for which you want the report to present data. The list from which you can choose is limited to objectives associated with the subprocesses you chose for the Subprocess parameter. (Only the Control Objective report uses this parameter.)
- Control Element Status: Select the status of primary elements, subprocesses, or control objectives for which a report returns results — *Active* (the Effective To date for the element has not passed, or it has no Effective To date), *Inactive* (the element's configured Effective To date has passed), or *Both*. (All three reports use this parameter.)
- Control Monitor: Select the names of control monitors whose runs you want to review. The report will document occasions when these monitors were run as

automations for the control elements you selected in the Control Element Value parameter. (All three reports use this parameter.)

- Control Rating Name: Select a rating value to have the report return results only for suspects generated by monitors attached to controls that have the rating you select. Valid values include the Rating Names (see page 24) configured for your system. (All three reports use this parameter.)
- Sort By or Group By: Select a sort key to determine the order in which a report presents results in each of its tables. Valid values include control ID, control name, control rating, received date, and data source. (All three reports use this parameter; it's called *Sort By* in the By Primary Control Element report and *Group By* in the other two reports.)

Summary Suspect History Reports

Two Summary Suspect History reports provide the following information about individual control monitor runs: the run date, number, and type (manual or scheduled); the number of suspects generated by the run and their status; the version of the control monitor that generated the suspects; the name of the workflow routing that distributed the suspects for review; and the version of the workflow routing.

In each report, a run constitutes a row in a table of related runs, and the reports differ in how they consider runs to be related:

- The Summary Suspect History by Control Element Report devotes one table each to any number of specified control-library elements; each table lists all runs within a specified time period for a control monitor associated with a specified element. Header information for the table provides:
  - The name and type of the specified control-library element.
  - The name and ID of a control to which the specified element is linked by your hierarchy configuration.
  - The dimensions configured for that control.
  - The name of a control monitor attached as an automation to the control (and which generated the runs documented in the table rows).
- The Summary Suspect History by User Report does the same, but further groups control-library elements (tables) by the user who ran the control monitors documented in the tables.

Each of the reports accepts some combination of the following parameters:

- User: Select the user IDs of users about whom you want the report to return results. (Only by the By User report uses this parameter.)
- Control Element Level or Library Type: Select types of control-library elements about which you want the report to return results. Choose any combination of control, control objective, subprocess, policy, process, or risk. (The By Control Element report uses the name *Control Element Level*; the By User report uses the name *Library Type*.)

- Control Element Value or Library Name: Select the individual elements about which you want the report to return results. The list from which you can choose is determined by the selections you make for the Control Library Element/Library Type parameter. (The By Control Element report uses the name *Control Element Value*; the By User report uses the name *Library Name*.)
- Control Monitor: Select the names of control monitors whose runs you want to review. The report will document occasions when these monitors were run as automations for the control elements you selected in the Control Element Value/ Library Name parameter. (Both reports use this parameter.)
- Control Monitor Version: Select the versions of control monitors whose runs you want to review. (Both reports use this parameter.)
- Date From and Date To: Define the time period in which control monitors must have been run for their results to appear in the report. Type dates in the From and To fields in the format *yyyy-mm-dd*, or click on the calendar icons to select dates. (Both reports use this parameter.)

Control Library Folder

The Control Library Folder contains reports that present information about the configuration of control-library elements, their relationships to one another, and their assessments. These reports commonly accept the following parameter:

AG Source Data: Select the instance that contains the data about which you want to generate reports. (You may supply this value more than once for a given report, first to generate a list of the remaining parameters and then, within that list, to generate the report itself.)

Analysis of Control Elements Report

The Analysis of Control Elements Report consists of a bar graph that presents the number of elements, by type, that have been configured. Element types include primary elements (processes, policies, cycles, and risks), subprocesses, control objectives, and controls. The graph includes a bar for each type; the vertical height of each bar corresponds to the number of elements. (If there are no elements of a particular type, its bar is omitted from the graph.) This report accepts only the AG Source Data parameter.

Analysis of Primary Control Elements Report

The Analysis of Primary Control Elements Report consists of a bar graph that presents the number of primary elements, by type, that have been configured. Types include processes, policies, cycles, and risks. The graph includes a bar for each type; the vertical height of each bar corresponds to the number of elements. (If there are no elements of a particular type, its bar is omitted from the graph.) This report accepts only the AG Source Data parameter.

Control Framework Report

The Control Framework report consists of sections, each of which provides the name and ID of a primary control element and provides information about the items that descend from it in one branch of its hierarchical associations with lower-level objects. In each section, the report displays the name, ID, and status of the subprocess and control objective which, in a given branch, lead down to a set of controls, and provides information about the controls. For each control, the report shows the ID, name, description, status, and rating, and whether the control has automations or assessments. As you run the report, you can select values for the following parameters:

- Primary Control Element Type: Select types of primary elements for which you want the report to present information. Options include Policy, Process, Cycle, and Risk.
- Status: Select the status of components for which a report returns results — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*.
- Data Sort by: Select a sort key — *Element ID* or *Element Name* — to determine the order in which a report arranges the sections devoted to primary elements.
- Control Sort by: Select a sort key — *Control ID*, *Control Name*, or *Control Rating* — to determine the order in which a report lists controls within each section.

Control Library List Reports

Four Control Library List reports provide lists of configured control-library elements, together with summary information about them. Each report lists elements of the type specified in its title: Control Library List by Control, Control Library List by Control Objective, Control Library List by Subprocess, and Control Library List by Primary Elements (which include processes, policies, cycles, and risks). For each item in its list, each report displays the ID, name, description, and effective dates, and the number of other objects, by type, to which the item is linked in the control framework. The By Control report also shows the each control's rating and whether it has automations.

Each of the reports accepts some combination of the following parameters:

- Primary Control Types: Select types of elements, in any combination, for which you want the report to present information. Options include Policy, Process, Cycle, and Risk. (All four reports use this parameter.)
- Primary Control Values: Select individual primary elements for which you want the report to present data. The list from which you can choose is determined by the selections you make for the Primary Element parameter. (All four reports use this parameter.)
- Subprocess Values: Select individual subprocesses for which you want the report to present data. The list from which you can choose is limited to subprocesses associated with the elements you chose for the Primary Control Values parameter. (The By Subprocess, By Control Objective, and By Control reports use this parameter.)

- Control Objective Values: Select individual control objectives for which you want the report to present data. The list from which you can choose is limited to control objectives associated with the elements you chose for the Subprocess Values parameter. (The By Control Objective and By Control reports use this parameter.)
- Control Values: Select individual controls for which you want the report to present data. The list from which you can choose is limited to controls associated with the elements you chose for the Control Objectives parameter. (Only the By Control report uses this parameter.)
- Dimension Categories: Select dimensions to have the report list only elements granted values for the dimensions you specify. (All four reports use this parameter.)
- Dimension Values: Select dimension values to have the report list only elements assigned those values. The list from which you choose is limited to values for dimensions you chose in the Dimension Categories parameter. (All four reports use this parameter.)
- Attribute Categories: Select attributes to have the report list only elements granted values for the attributes you specify. (All four reports use this parameter.)
- Attribute Values: Select attribute values to have the report list only elements assigned those values. The list from which you choose is limited to values for attributes you chose in the Attribute Categories parameter. (All four reports use this parameter.)
- Status: Select the status of components for which a report returns results — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*. (All four reports use this parameter.)
- Control Rating: Select one or more ratings to limit a list of controls to those that have been given the rating you specify. (Only the By Control report uses this parameter.)
- Sort by: Select the key that determines the order in which each report lists elements, *ID* or *Name*. (All four reports use this parameter.)

Detail Reports

Four Detail reports provide detailed configuration data for a selection of control-library elements — the same information as is available in the View panel (and subpanels) for the elements (see page 57). A Control Detail Report displays information about controls; a Control Objective Detail Report about control objectives; a Subprocess Detail Report about subprocesses, and a Primary Element Detail Report about processes, policies, cycles, and risks.

At minimum, each report includes the ID, name, and description of each element; the number of other elements with which it is associated, by type; and whether an automation has been attached to it. The Control Detail Report also displays the status, rating, likelihood, and related controls configured for each control.

Depending on parameter settings, each report may also show the following for a given element:

- Dimension details: The assigned and inherited values for each dimension associated with the element, together with their effective dates.
- Attribute details: The assigned and inherited values for each attribute associated with the element, together with their effective dates.
- Hierarchy details: The names and IDs of other control-library elements to which the element is linked, by type.
- Assessment details: For each assessment of the element, the Result (*Pass* or *Fail*), and Detail configured for the assessment, the username of the assessor, his comments, whether there are attachments, and the date of the assessment. (See page 72.)
- Automation details: The name, ID, type, version number, and effective dates for each of the automations attached to the element.

Each of the reports accepts some combination of the following parameters:

- Primary Control Element Types: Select types of elements, in any combination, for which you want the report to present information. Options include Policy, Process, Cycle, and Risk. (All four reports use this parameter.)
- Primary Control Values: Select individual primary elements for which you want the report to present data. The list from which you can choose is determined by the selections you make for the Primary Element parameter. (All four reports use this parameter.)
- Subprocess Values: Select individual subprocesses for which you want the report to present data. The list from which you can choose is limited to subprocesses associated with the elements you chose for the Primary Control Values parameter. (The Subprocess Detail, Control Objective Detail, and Control Detail reports use this parameter.)
- Control Objective Values: Select individual control objectives for which you want the report to present data. The list from which you can choose is limited to control objectives associated with the elements you chose for the Subprocess Values parameter. (The Control Objective Detail and Control Detail reports use this parameter.)
- Control Values: Select individual controls for which you want the report to present data. The list from which you can choose is limited to controls associated with the elements you chose for the Control Objectives parameter. (Only the Control Detail report uses this parameter.)
- Sort by: Select the key — *ID* or *Name* — that determines the order in which each report presents results. (All four reports use this parameter.)
- Display Control Dimension Detail: Select *Yes* or *No* to determine whether the reports includes dimension details.

- Display Control Attribute Detail: Select *Yes* or *No* to determine whether the reports includes attribute details.
- Display Hierarchy Detail: Select *Yes* or *No* to determine whether the reports includes hierarchy details.
- Display Assessment Detail: Select *Yes* or *No* to determine whether the reports includes assessment details.
- Display Automation Detail: Select *Yes* or *No* to determine whether the reports includes automation details.

Inherent Relationships Report

The Inherent Relationships Report shows how pairs of primary elements are implicitly associated with one another because each is linked to a common lower-level object in the control-library hierarchy. It provides bar graphs showing the numbers of policies, processes, cycles, and risks that share elements with other primary elements. It presents "summary reports," each of which focuses on one primary element and lists other primary elements with which it shares links to lower-level elements. And it provides "Detail Reports," each of which again focuses on a primary element, lists the related primary elements, but also provides information about the lower-level elements to which each pair of primary elements is linked. As you run the report, you can select values for the following parameters:

- Primary Control Element Types: Select types of primary elements for which you want the report to present information. Options include Policy, Process, Cycle, and Risk.
- Primary Control Values: Select individual primary elements for which you want the report to present data. The list from which you can choose is determined by the selections you make for the Primary Element parameter.
- Attributes: Select attributes to have the report list only elements granted values for the attributes you specify.
- Attribute Values: Select attribute values to have the report list only elements assigned those values. The list from which you choose is limited to values for attributes you chose in the Attributes parameter.
- Dimensions: Select dimensions to have the report list only elements granted values for the dimensions you specify.
- Dimension Values: Select dimension values to have the report list only elements assigned those values. The list from which you choose is limited to values for dimensions you chose in the Dimensions parameter.
- Sharing Element Types: Select types of lower-level control-library elements. To be considered related, primary elements must then share links to these types of elements.
- Include Graphs: Select *Yes* or *No* to determine whether the report displays bar graphs.

Control Elements Missing Mandatory Dimensions and Attributes Report

Dimensions or attributes may be configured to be mandatory, meaning that at least one value for each must be assigned directly to every control and so be inherited by higher-level elements linked to controls. The Control Element Missing Mandatory Dimensions and Attributes Report presents a bar graph depicting the number of each element type lacking mandatory dimensions or attributes. For each of these dimension or attributes, it also compiles a list of the elements that lack values. For each element it shows the type, ID, name, and status. As you run the report, you can select values for the following parameters:

- Based on: Choose the type of missing item for which the report should return results — *Attribute*, *Dimension*, or *Both*.
- Dimension/Attribute Status: Choose the status of dimensions or attributes about which the report should return results — *Active* (the Effective To date for an item has not passed, or it has no Effective To date), *Inactive* (an item's configured Effective To date has passed), or *Both*.
- Status of Controls: Choose the status of controls that are to be searched for missing dimensions or attributes — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*.
- Control Element Type: Select, in any combination, the types of control-library elements that are to be searched for missing dimensions or attributes.
- Data Sort By: Select the sort key that determines the order in which the report lists control-library elements — *Control Element ID*, *Control Element Name*, or *Control Element Type*.

Unassigned Control Elements Report

The Unassigned Control Elements Report lists controls, control objectives, or subprocesses that have not been linked to parent objects; risks, cycles, policies, processes, subprocesses, or control objectives that have not been linked to child objects; or both. For each element, it displays the ID, name, and effective dates. As you run the report, you can select values for the following parameters:

- Element: Select the types, in any combination, of control-library elements for which you want the report to return results.
- Hierarchy Direction: Choose *Parent* to have the report list lower-level elements that lack links to higher-level elements (for example, a control object with no link to any subprocess). Choose *Child* to have the report list higher-level objects missing links to lower-level objects (for example, processes without links to subprocesses). Or choose *Both*.
- Dimension: Select dimensions to have the report list only elements granted values for the dimensions you specify.

- Dimension Values: Select dimension values to have the report list only elements assigned those values. The list from which you choose is limited to values for dimensions you chose in the Dimension Categories parameter.

Assessment Detail Reports

Four Assessment Detail reports display information about assessments of control-library elements — one report each for controls, control objects, subprocesses, and primary elements. The report titles are Control Assessment Detail by Assessment Report, Control Objective Assessment Detail by Assessment Report, Subprocess Assessment Detail by Assessments Report, and Primary Element Assessment Detail by Assessment Report.

When creating an assessment, a user selects dimension values for it, thus assessing the value of a control-library element in particular segments of a business. He determines whether the element passes or fails, selects a configured "detail statement" that expresses the extent to which the element satisfies its purpose, and may attach documentation or write comments. (See page 72.)

For a given assessment of a specified element, each report displays the pass-fail result, and then devotes a row to information showing how the assessment applies to individual dimension values configured for the element. This information includes the name of the element, its ID (if the element is a control, control objective, or subprocess) or type (if it is a primary element), the assessor's username and primary application role, the date of the assessment, the detail statement selected for the assessment and comments written for it, and the dimension value to which the assessment applies.

Each of the reports accepts some combination of the following parameters:

- Primary Control Element Types or Element Type: Select types of primary elements for which you want the report to present information. Options include Policy, Process, Cycle, and Risk. For the Primary Element Assessment Details by Assessment Report, you can select only one type; for the other reports you can select any number. (All four reports use this parameter.)
- Primary Control Element Names or Element Names or Element Values: Select individual primary elements for which you want the report to present data. The list from which you can choose is determined by the selections you make for the Primary Element parameter. (All four reports use this parameter.)
- Subprocess Name: Select individual subprocesses for which you want the report to present data. The list from which you can choose is limited to subprocesses associated with the elements you chose for the Primary Control Values parameter. (The Subprocess Assessment Detail, Control Objective Assessment Detail, and Control Assessment Detail reports use this parameter.)
- Objective Name: Select individual control objectives for which you want the report to present data. The list from which you can choose is limited to control objectives associated with the elements you chose for the Subprocess Values parameter. (The Control Objective Assessment Detail and Control Assessment Detail reports use this parameter.)

- Control Names: Select individual controls for which you want the report to present data. The list from which you can choose is limited to controls associated with the elements you chose for the Control Objectives parameter. (Only the Control Assessment Detail report uses this parameter.)
- Assessor: Select any number of assessor usernames to focus the report on assessments prepared by these users. (All four reports use this parameter.)
- Assessment Date Range: Define a period in which assessments must have been made to be included in the report. You may enter dates in the Start and End fields; in that case, clear the No Lower Value and No Upper Value check boxes. Or you may omit the start date and select the No Lower Value check box to start with the earliest existing transaction, or omit the end date and select the No Upper Value check box to finish with the latest existing transaction.

  If you do enter actual dates, select an Include This Value check box (for either or both dates) to include the value you specify in the period, or clear the check box to exclude the value (thus selecting transactions that begin after but not on the start date, or end before but not on the end date). You can click on the calendar icons to select dates.

  (All four reports use this parameter.)
- Assessment Type: Select *Pass* or *Fail* to restrict the report to assessments of either type, or select *Both*. (All four reports use this parameter.)
- Dimension Category or Dimension Name: Select any combination of dimensions. This parameter works with the next one to focus the report upon assessments that apply to particular dimension values. (All four reports use this parameter.)
- Dimension Value: Select a set of dimension values; the list from which you can choose is limited to values configured for dimensions you chose for the Dimension Category/Dimension Name parameter. The report displays results only for assessments that apply to dimension values you select here. (All four reports use this parameter.)

Control Assessments by Subprocess Report

The Control Assessments by Subprocess Report presents a bar graph in which each bar represent a subprocess. The height of each bar indicates the number of assessments for controls associated with the subprocess. A bar may be multicolored, with each color representing a control rating; the height of each colored portion of a bar indicates the number of assessments for controls configured to have a given rating.

Moreover, for each subprocess the report presents a table in which each row displays information about one of the control assessments — the ID, name, and rating of the control, the assessor's name and date of the assessment, the "result detail" statement selected for the assessment as well as comments written for it, and the name of a document attached to it (if any).

As you run the report, you can select values for the following parameters:

- Subprocess: Select individual subprocesses for which the report presents data.

- Assessor: Select any number of assessor usernames to focus the report on assessments prepared by these users. (All four reports use this parameter.)
- Assessment Result: Assessment Type: Select *Pass* or *Fail* to restrict the report to assessments of either type, or select both options.
- Control Status: Select the status of controls for which a report returns results — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*.
- Control Rating: Select any number of ratings to have the report return results for controls at the selected ratings. Valid values include the Rating Names (see page 24) configured for your system.
- Sort by: Select the sort key that determines the order in which the report lists controls — *Control Element ID*, *Control Element Name*, or *Control Element Type*.

Control Assessments by Primary Control Element Report

The Control Assessments by Primary Control Element Report presents a bar graph in which each pair of bars applies to a primary control element of a specified type. Within each pair, one bar represents passing assessments, and the other failing assessments, of controls associated with the primary element. The height of each bar indicates the number of passing or failing control assessments.

Moreover, for each primary element the report presents two tables, one of which presents information about passing control assessments, and the other about failing control assessments. In each, one row corresponds to one assessment, and contains the control ID, name, rating, and status, the assessor's name and date of the assessment, the "result detail" statement selected for the assessment as well as comments written for it, and the name of a document attached to it (if any).

As you run the report, you can select values for the following parameters:

- Primary Control Element: Select one type of primary control element (process, policy, cycle, or risk) about which the report returns results.
- Status: Select the status of components for which the report returns results — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*.

Control Assessment Result Details by Primary Control Element Report

The Control Assessment Result Details by Primary Control Element Report presents a bar graph in which each bar represents a primary control element of a specified type. The height of a bar indicates the number of assessments for controls associated with the primary element. Each bar may be multicolored, with each color representing one of the "result detail" statements configured for assessments; the height of each colored portion of a bar indicates the number of control assessments for which the assessor has selected a given statement.

Moreover, for each primary element the report presents a table in which each row displays information about one of the control assessments — the ID, name, and rating of the control, and for the assessment, its result (*Pass* or *Fail*), detail statement, date and time, comments, username of the assessor, and the name of an attached document (if any).

As you run the report, you can select values for the following parameters:

- Primary Control Element: Select one type of primary control element (process, policy, cycle, or risk) about which the report returns results.
- Control Rating: Select the rating applied to controls for which the report returns results. You can select ratings configured from the Manage Ratings link on the Administration Home (see page 24).
- Status: Select the status of components for which the report returns results — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*.
- Sort By: Select the sort key — *Control ID*, *Control Name*, or *Control Rating* — that sets the order in which the report presents results.

Control Assessments by Dimension by Rating Report

The Control Assessments by Dimension by Rating Report presents counts of, and information about, assessments of controls. It organizes results both by the dimension value assigned to the assessment and the rating assigned to the assessed control.

A bar graph shows assessment counts. Each bar represents a dimension value selected for an assessment, and the color of each bar indicates the rating of a control; the height of the bar shows the number of assessments for a given dimension value and rating.

In addition, the report presents a set of tables, each of which displays information about assessments that apply to a combination of dimension value and rating. For each assessment, a table shows the ID and name of the control that has been assessed, the pass-fail result, detail statement, date and time, comments, username of the assessor, and whether documents are attached.

As you run the report, you can select values for the following parameters:

- Dimension Name: Select any combination of dimensions. This parameter works with the next one to focus the report upon assessments that apply to particular dimension values.
- Dimension Value: Select a set of dimension values; the list from which you can choose is limited to values configured for dimensions you chose for the Dimension Name parameter. The report displays results only for assessments that apply to dimension values you select here.
- Control Rating: Select the rating applied to controls for which the report returns results. You can select ratings configured from the Manage Ratings link on the Administration Home (see page 24).

- Assessor Role: Select any combination of primary application roles. The report returns results only for assessments created by users at those roles.
- Assessment Results: Select *Pass* or *Fail* to restrict the report to assessments of either type, or select *Both*.
- Status: Select the status of components for which the report returns results — *Active* (the Effective To date for an element has not passed, or it has no Effective To date), *Inactive* (an element's configured Effective To date has passed), or *Both*.
- Sort By: Select the sort key — *Control ID*, *Control Name*, or *Control Rating* — that sets the order in which the report presents results.

Unassessed Controls Reports

Two Unassessed Controls reports identify controls that have not been assessed in a number of days. The Unassessed Controls by Subprocess by Rating Report sets the period at 30 or more days. The Unassessed Controls by Rating by Subprocess and Duration Report enables the user to define the period. Both reports group unassessed controls according to the subprocess with which they are associated and, within subprocess, the ratings they have been assigned.

Each report presents a bar graph in which bars are gathered into groups; each group represents a subprocess. Each bar within a group represents a number of unassessed controls at a given rating. The height of each bar indicates the number of controls.

Each report also presents one table for each subprocess. Each table is divided into one section for each rating, and each row presents information about an unassessed control: to begin with, its ID and name. Assessments are specific to dimension value (thus determining the value of a control to individual segments of a business), so each row lists the dimension value for which a control has not been assessed. Finally, each row displays the number of days the control (at its dimension value) has not been assessed (or displays the value *No Assessment* if it has never been assessed).

As you run the report, you can select values for the following parameters:

- Subprocess: Select individual subprocesses for which the report returns data. (Both reports use this parameter.)
- Dimensions: Select dimensions for which the report returns results. The report selects controls for which assessments are not current for any value configured for the dimensions you select. (Both reports use this parameter.)
- Operator: Select an operator which, with the next parameter, defines a period after which controls are not current. Operators include greater than, less than, equal to or greater than, equal to or less than, and equal to. (Only the Unassessed Controls by Rating by Subprocess and Duration Report uses this parameter.)
- Duration Value: Specify a number of days which, with the preceding parameter, define a period after which controls are not current. Controls are included in the report if they have not been assessed in this period. For example, "equal to 2" would cause controls to be listed if they had not been assessed 2 days before;

"equal to or less than 5" if they had not been assessed within the prior five days; or "equal to or greater than 10" if they had not been assessed 10 days or earlier prior to the current date. Unassessed Controls by Rating by Subprocess and Duration Report. (Only the Unassessed Controls by Rating by Subprocess and Duration Report uses this parameter.)

Conflicting Assessments by Control Element Report

The Conflicting Assessments by Control Element Report counts, and presents details for, conflicting assessments of controls that are associated with primary elements of a specified type. For assessments to be considered to conflict, the following must be true:

- They must be a pair of assessments for an active control.
- One must have a Pass result, and the other a Fail result.
- One must be prepared by a user at the Auditor primary application role, and the other by a user at the Manager role.
- They must be the most recent assessments by an Auditor and Manager.

As you run the report, you can set a value for a Control Element parameter: Choose the type of primary element whose associated controls have conflicting assessments.

Failed Assessments by Dimension Report

The Failed Assessments by Dimension Report counts, and presents details for, assessments of active controls for which the assessors have given a Fail result at specified dimension values. It provides a pie graph in which each "slice" shows the count, as a percentage of the whole, of failed assessments at a given dimension value. The report also provides tables — one for each dimension value — in which each row displays the following information about a failed assessment: control ID, name, and rating, assessor, the "result detail" statement selected for the assessment as well as comments written for it, and the assessment date.

As you run the report, you can set values for the following parameters:

- Dimension Name: Select any combination of dimensions. This parameter works with the next one to focus the report upon assessments that apply to particular dimension values.
- Dimension Value: Select a set of dimension values; the list from which you can choose is limited to values configured for dimensions you chose for the Dimension Name parameter. The report displays results only for assessments that apply to dimension values you select here.

OracleForm Folder

The OracleForm folder contains reports that document rules created in AppsForm, a LogicalApps "embedded agent" that customizes Oracle Applications forms, modify-

ing their security, navigation, field, and data properties. Each rule consists of "elements"; each element targets a form, a block within a form, or a field within a block, specifies an "event" that triggers processing, and defines customizations to the target form, block, or field. Moreover, each rule may define "subscribers" — filters that select users, responsibilities, or other entities to which either the rule as a whole or an individual element applies. AppsForm rules may be attached as automations to controls created in ACTIVE Governance.

Both reports accept the following parameter:

AppsRules Source Data: Select the instance that contains the data about which you want to generate reports. (You may supply this value more than once for a given report, first to generate a list of the remaining parameters and then, within that list, to generate the report itself.)

OracleForm Rules Summary Report

The OracleForm Rules Summary Report provides information about AppsForm rules and, for each, its subscribers and elements. For a rule, it displays the name and description, whether the rule is active, and the filtering values that define each of its subscribers (if any). For each element, it provides the sequence number (a value that determines the order in which elements run) and name, the name and display name of the form it targets, the block and field that it targets (if any), the event that triggers it, whether it is active, and the filtering values that define each of its subscribers (if any). Essentially, this is information entered on the Main form and the Subscribers forms in AppsForm.

As you run the report, you can set values for the following parameters:

- Rule Name: Select any combination of rules for which you want the report to return results.
- User Form Name: Select the names of Oracle forms affected by AppsForm rules, for which you want the report to return results. The selection is limited to forms affected by rules you selected in the Rule Name parameter.
- Active: Select *Yes* to view results for active rules, *No* to view results for inactive rules, or *Both*.

OracleForm Rules Detail Report

The OracleForm Rules Detail Report provides summary information about AppsForm rules, subscribers, and elements (the same information, in fact, that the OracleForm Rules Summary Report contains). For each rule, however, this report adds configuration details for each of its elements — the values that effect security, navigation, message, default-value, list-of-values, or field-attribute modifications to the target Oracle form, or cause it to run SQL statements or AppsFlow processes. The report devotes a table to each set of values for each rule element. Essentially, this is information entered on the Details form in AppsForm.

This report takes the same parameters as the Oracle Form Rules Summary Report.

OracleFlow Folder

The OracleFlow folder contains a single report that documents rules created in AppsFlow, a LogicalApps "embedded agent" that defines and implements business processes. A single AppsFlow rule defines an entire process, but consists of subordinate rules called "process flows." Each flow can notify people, or request their approval, when actions have been completed; alert people to errors or exceptions; implement "constraints," which test whether necessary conditions have been met; or run concurrent programs or SQL scripts. AppsFlow rules may be attached as automations to controls created in ACTIVE Governance.

OracleFlow Rules Summary Report

The OracleFlow Rules Summary Report displays the following data about each rule in a selection of AppsFlow rules: its name, its "Process Type" (whether it is launched by a set of configured conditions known as a "trigger," or runs on a schedule), its start and end dates, and its "Process Status" (whether it is in development or production) and "Parent Process Owner" (a user who receives communications launched by the process if it is in development status). It also displays data that applies only to rules launched by triggers: the name of a database table containing fields used in the trigger definition, and its primary keys; a "display table" and columns, which contain information to be included in the subject lines of communications associated with Constraint process flows, and the configured launch criteria. Essentially, these are values entered on the Main and Launch Criteria forms in AppsFlow.

As you run the report, you can set values for the following parameters:

- Process Name: Select any combination of AppsFlow rules for which you want the report to return results.
- Process Type: Choose whether you want the report to return information about processes launched by triggers, schedules, or both.
- Process Status: Choose whether you want the report to return information about processes at the development or production status, or both.
- Parent Process Owner: Select any combination of users to see results for process rules that name those users as Parent Process Owners.
- Table Name: Select any combination of tables to see results for process rules that use those tables in their trigger definitions.
- AppsRules Source Data: Select the instance that contains the data about which you want to generate reports. (You supply this value more than once, first to generate a list of remaining parameters and then, within that list, to generate the report itself.)

OracleAudit Folder

The OracleAudit folder contains reports on the use of AppsAudit, a LogicalApps "embedded agent" that tracks changes to values of fields in database tables. A user

selects tables to be included in an audit by assigning them to a group, and refines the audit further by selecting columns from the tables that belong to the group. One may set up and run audit reports within Oracle Applications; in ACTIVE Governance, an OracleAudit Submission Setup Details Report documents how these audit reports are defined. Or, in ACTIVE Governance, one may run an OracleAudit Audit Report to review changes to database fields.

Before opening these reports, run a concurrent request — LA Populate Change History and Audit Report Data — from the LogicalApps responsibility in Oracle Applications.

Both reports accept the following parameter:

AppsRules Source Data: Select the instance that contains the data about which you want to generate reports. (You may supply this value more than once for a given report, first to generate a list of the remaining parameters and then, within that list, to generate the report itself.)

OracleAudit Submission Setup Details Report

The OracleAudit Submission Setup Details Report presents values that users select in an AppsAudit form called Audit Report. Each set of these values determines the information to be included in an audit report that can be run from within Oracle Applications, and how often the report is to be run. (Such audit reports cannot be run from ACTIVE Governance, and are distinct from the OracleAudit Audit Report that is available in the ACTIVE Governance Reports browser.) Values returned by the Submission Setup Details Report include:

- The name of an audit report.
- The name of the group or table about which the audit report returns results.
- A span of time the audit report should cover, defined either by start and end dates or by a number of days from the date on which the report is run.
- The name of a user whose database changes the audit report documents, if one has been selected; if not, the report documents changes by all users.
- A report style. A "Master Detail" report presents report information as blocks of data, each of which lists a table, information about its primary keys, and then a row of data about each of the audited fields that has changed. A "Delimited File" report presents information as records of data changes, each using a tilde to separate the individual values that make up a record.
- A debug level, which determines the detail level for information about an audit that is placed in a log table.
- For each audited column in the selected group or table, the column name and display name, the name of its table, whether it has been selected for inclusion in the audit report, and the type of data held in the column. The record for each column also includes filtering values — ranges of old and new values, which would cause the audit report to include only data changes that begin with a value in the old-value range or end with a value in the new-value range.

- Finally, resubmission options, which set a schedule on which the audit report is run repeatedly. These include Type (*Hours*, *Days*, or *Week*s to designate the unit of time used to define an interval at which the report is to be rerun, or *None*), Interval (a number which, in combination with the Type value, determine the interval at which the audit report is run), Start and End Dates, a Scheduled value (*Y* or *N* to indicate that the a defined reporting cycle is being implemented), and Request ID (an identifying number for the most recent submission of the report).

As you run the Submission Setup Details report, you can set values for the following parameters:

- Report: Select names of audit reports about which you want the Submission Setup Details report to return results.
- Group: Select the names of audit groups selected for inclusion in audit reports, and about which you want the Submission Setup Details report to return results.
- Table Name: Select the names of database tables selected for inclusion in audit reports, and about which you want the Submission Setup Details report to return results.
- User Name: Select the names of users whose database changes are documented by audit reports, and about which you want the Submission Setup Details report to return results.
- Scheduled: Select *Yes*, *No*, or *Both* to determine whether the Submission Setup Details report returns results for audit reports that are scheduled for resubmission.
- Scheduled Type: Select *Hours*, *Days*, *Weeks*, or *None* to specify the type of resubmission schedule configured for audit reports to be documented in the Submission Setup Details report.

OracleAudit Audit Report

The OracleAudit Audit Report consists of a series of sections that document changes to database field values. The heading for each section displays an audit group name, the name of a database table within that group, and its configured description and primary keys. Each row documents a change to a value held in a column of the table, and displays these values: the column name and its display name, the old and new data values, the transaction type (insert, update, or delete), the username of the user who made the change, and the date on which the change was made. As you run the report, you can set values for the following parameters:

- Group Name: Select the names of audit groups about which you want the report to return results.
- Table Name: Select the names of database tables about which you want the report to return results. You are able to select only tables belonging to groups you chose in the Group Name parameter.

- Column Name: Select the names of database table columns about which you want the report to return results. You are able to select only column belonging to tables you chose in the Table Name parameter.
- User Name: Select the Oracle usernames of users to focus the report on database value changes made by those users.
- Role Name: Select Oracle workflow roles to focus the report on database value changes made by users at those roles.
- Transaction Date: Define a range of dates to focus the report on changes made within those dates. You may enter dates in the Start and End fields; in that case, clear the No Lower Value and No Upper Value check boxes. Or you may omit the start date and select the No Lower Value check box to start with the earliest existing transaction, or omit the end date and select the No Upper Value check box to finish with the latest existing transaction.

  If you do enter actual dates, select an Include This Value check box (for either or both dates) to include the value you specify in the period, or clear the check box to exclude the value (thus selecting transactions that begin after but not on the start date, or end before but not on the end date). You can click on the calendar icons to select dates.

Chapter 8

Import and Export

ACTIVE Governance offers two import-export features, both of which are available from the panel activated by the Administration tab in the Platform:

- One enables you to import control-library elements from a Microsoft Excel spreadsheet. LogicalApps provides a spreadsheet containing more than one thousand control-library elements that form a well-integrated controls framework. You can use it, or you can create a spreadsheet of your own.
- The second enables you to export control-library elements or control monitors from an instance of ACTIVE Governance to a file, then import the contents of the file to another instance of ACTIVE Governance.

Who Can Do This?

A user whose primary application role is Author, Rule Builder, or System Administrator can import control-library elements from a spreadsheet. A user whose primary application role is Author, Manager, Rule Builder, or System Administrator can export control-library elements and control monitors from an instance to a file and import them to another instance.

Importing Controls from a Spreadsheet

Each row of a control-framework spreadsheet contains values for a control and for a control-library element at each of the higher levels; it defines a hierarchical linkage among the elements. Each row contains a unique combination of elements. Each row also contains an ID value and description for each of the elements, a likelihood and rating to be assigned to the control, and dimension and attribute values to be assigned to the control (and so inherited by the higher-level elements).

Before importing the contents of any spreadsheet, you must ensure that the formats of the ID values it contains conform to the ID value sets configured for your system, and that the values of ratings, likelihoods, dimensions, and attributes assigned to elements in the spreadsheet match values configured for your system:

- ID values: You may either configure ID value sets to use the formats already contained in an import spreadsheet, or edit the ID values in the spreadsheet to match the formats configured for your system.
- Likelihoods and ratings. The control-framework spreadsheet devotes one column each to likelihood and rating values, with one cell in each column containing the value appropriate to a given control. In the spreadsheet provided by LogicalApps, these columns are blank. You must configure the likelihood and rating values you want to use, then edit the spreadsheet to add these values to the controls you want to import.
- Dimensions and attributes. The LogicalApps control-framework spreadsheet defines a single dimension and a single attribute, each in its own column; each cell contains the dimension or attribute value that is to be assigned to a control (and inherited by higher-level elements). If either the dimension or attribute is not appropriate for your configuration, you should delete its column; if any values are not appropriate for your configuration, you should edit the values. You may add columns to define new dimensions or attributes (and the values that apply to them). If you do, all the dimension columns must run in a continuous block, to be followed by all the attribute columns, which must run in their own continuous block.

If you are using the LogicalApps control-library spreadsheet, you may add rows to it to define new controls, higher-level elements, or associations among them.

If you are creating your own spreadsheet (or adding rows to the LogicalApps spreadsheet), you must use the format of the LogicalApps spreadsheet, which is as follows:

- Spreadsheet column A
  Column heading: Type. Each cell in the column contains the type of primary element that is to be linked to other elements in a given spreadsheet row. Valid values are Process, Policy, Cycle, and Risk.
- Spreadsheet column B
  Column heading: Number (ID Value). Each cell in the column contains the ID assigned to a primary element whose type is specified in column A.
- Spreadsheet column C:
  Column heading: Name. Each cell in the column contains the name for the primary element whose ID is specified in column B.

- Spreadsheet column D: Description: Each cell in the column contains the name for the primary element whose ID is specified in column B.
- Spreadsheet column E:
  Column heading: Sub-Process Number (ID Value). Each cell in the column contains the ID assigned to a subprocess that is to be linked to other elements in a given spreadsheet row.
- Spreadsheet column F:
  Column heading: Sub-Process Name. Each cell in the column contains the name of the subprocess whose ID is given in column E.
- Spreadsheet column G:
  Column heading: Sub-Process Description. Each cell in the column contains the name of the subprocess whose ID is given in column E.
- Spreadsheet column H:
  Column heading: Control Objective Number (ID Value). Each cell in the column contains the ID assigned to a control objective that is to be linked to other elements in a given spreadsheet row.
- Spreadsheet column I:
  Column heading: Control Objective Name. Each cell in the column contains the name of the control objective whose ID is given in column H.
- Spreadsheet column J:
  Column heading: Control Objective Description. Each cell in the column contains the description of the control objective whose ID is given in column H.
- Spreadsheet column K:
  Column heading: Control (ID Value). Each cell in the column contains the ID assigned to a control that is to be linked to other elements in a given spreadsheet row.
- Spreadsheet column L:
  Column heading: Control Name. Each cell in the column contains the name of the control whose ID is given in column K.
- Spreadsheet column M:
  Column heading: Control Activity Description. Each cell in the column contains the description of the control whose ID is given in column K.
- Spreadsheet column N:
  Column heading: Control Rating. Each cell in the column contains the rating value to be assigned to the control whose ID is given in column K.
- Spreadsheet column O:
  Column heading: Control Likelihood. Each cell in the column contains the likelihood value to be assigned to the control whose ID is given in column K.
- Spreadsheet column P and following:
  Column heading: Dimension: *Dimension Name*. Each column defines a dimension, and in the heading for each, the phrase *Dimension Name* is replaced by the actual

name of the dimension. Each cell in a column contains a value configured for the dimension, which is to be assigned to the control whose ID is given in column K.

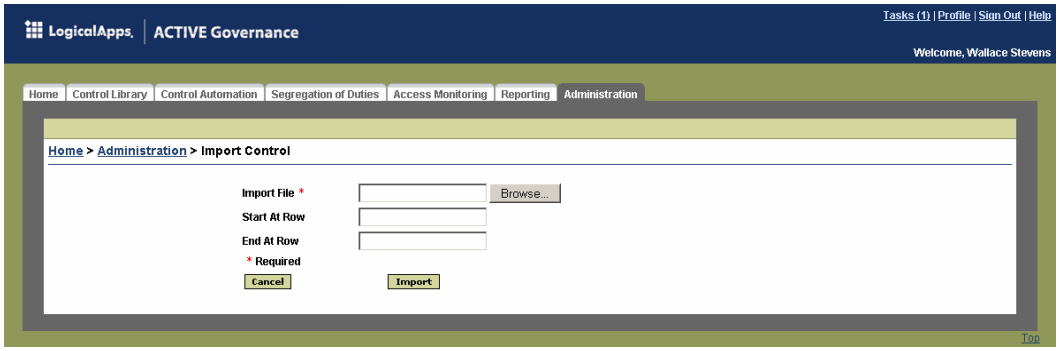
There must be one such column for every dimension configured for your system. If a dimension is not mandatory and none of its values applies to a given control, leave the appropriate cell (the intersection of dimension column and control-element row) blank.

- Spreadsheet column *x* and following:
  Column heading: Attribute: *Attribute Name*. Each column defines an attribute, and in the heading for each, the phrase *Attribute Name* is replaced by the actual name of the attribute. The first attribute column must immediately follow the last dimension column (the value *x* at the beginning of this entry is a placeholder to be replaced by the actual column letter at which attributes begin). Each cell in a column contains a value configured for its attribute, which is to be assigned to the control whose ID is given in column K.

  There must be one such column for every attribute configured for your system. If an attribute is not mandatory and none of its values applies to a given control, leave the appropriate cell (the intersection of attribute column and control-element row) blank.

Once you have configured Control Administration values (see Chapter 3) to match spreadsheet values, edited a spreadsheet to match your Control Administration configuration, or both, complete the following steps to import the spreadsheet:

1. In the ACTIVE Governance Platform, click on the Administration tab, and then on the Import Controls From Excel link in the Control Administration section. The following panel appears:



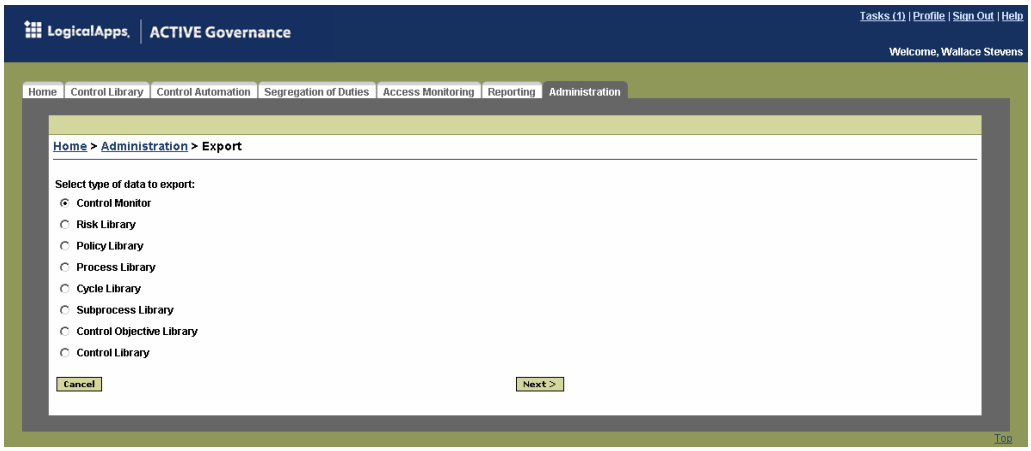
2. Click on the Browse button next to the Import File field.
3. A Choose File dialog opens. Using standard Windows procedures, navigate to your import spreadsheet, click on its name, and then click on the Open button.
4. Optionally, type a row number in one or both of the Start at Row and End at Row fields. The import operation then begins or finishes (or both) that the rows you specify. If you leave these fields blank, all rows are imported from the spreadsheet.
5. Click on the Import button.

Exporting and Importing Components

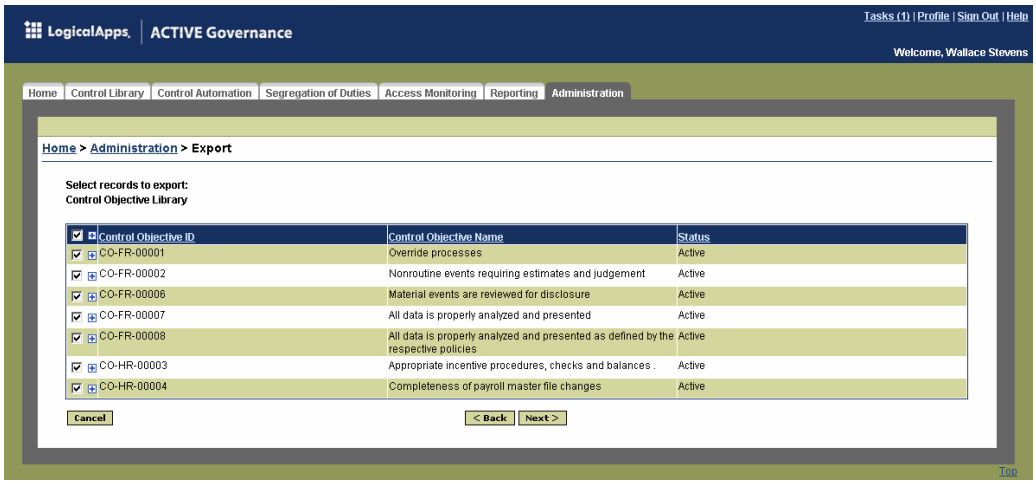
You can export items from an ACTIVE Governance instance to a zip file, and then import the contents of the file to another ACTIVE Governance instance. The items may be a selection of control monitors or of elements from any of the individual control-element libraries (Risk, Policy, Process, Cycle, Subprocess, Control Objective, or Control).

To prepare an export file:

1 In the ACTIVE Governance Platform, click on the Administration tab, and then on the Export link in the Data Administration section. An Export panel appears:



2 Click on the radio button for the type of item you want to export (you can select only one at a time), and click on the Next button. A second Export panel appears:



3 Review a grid in which each row provides information about one of the items you can select for export. (Note that the status of every item is Active; you cannot export items at any other status.)

In each row, you can click on a +/- icon (located in the leftmost column of the row) to reveal or hide configuration details for the item displayed in the row. Or you can click on a +/- icon in the leftmost column of the header row to reveal or hide details for all the items in the grid.

4 Choose the items you want to export. By default, all are selected — a check box next to each displays a check mark. To remove an item from the export operation, click on its check box so that the mark disappears. (Or, to select it again, click on the check box so that the mark reappears.) To select or deselect all items in the grid, click on the check box that appears in the leftmost column of the header row.

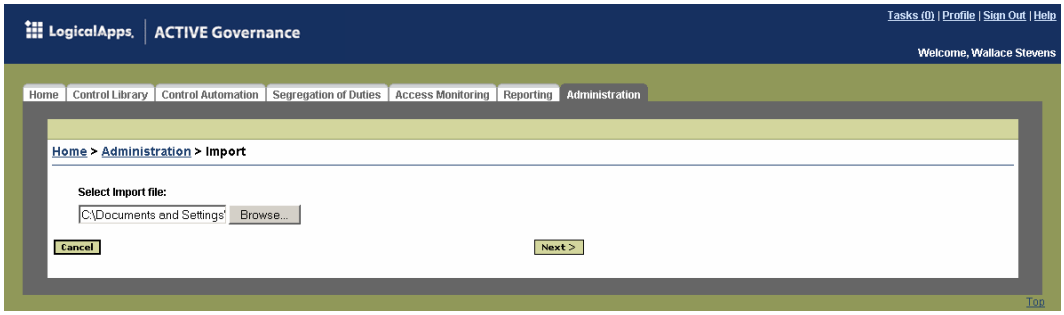
5 Click on the Next button. A third Export panel displays a grid in which each row displays information about a successfully exported item.

6 Click on the Download button. A File Download dialog box displays the name of the export file and presents options to open it or save it. Click on the Save button and, in a Save As dialog, use standard Windows procedures to navigate to a directory in which you want to save the file, and click on the Save button.

From any of these panels other than the last, you can click on a Back button to return to earlier panels and alter selections you've made in them.

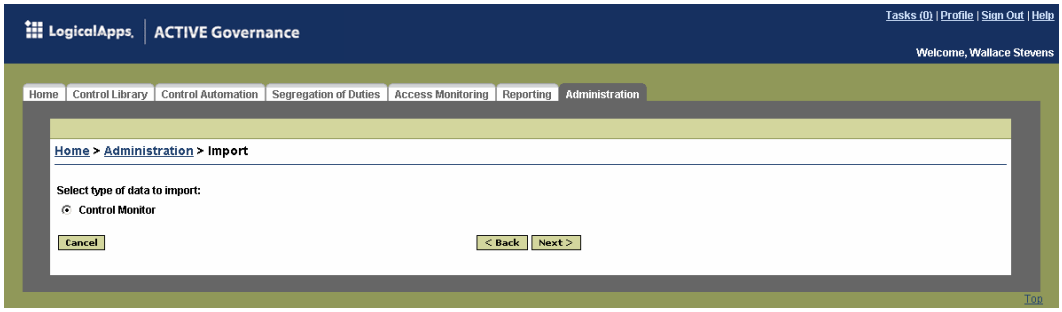
To import a file you've created, copy it to a computer that hosts an ACTIVE Governance instance, and then complete the following steps:

1 Click on the Administration tab in the ACTIVE Governance Platform. In the Administration Home panel, click on the Import link in the Data Administration section. An Import panel appears:



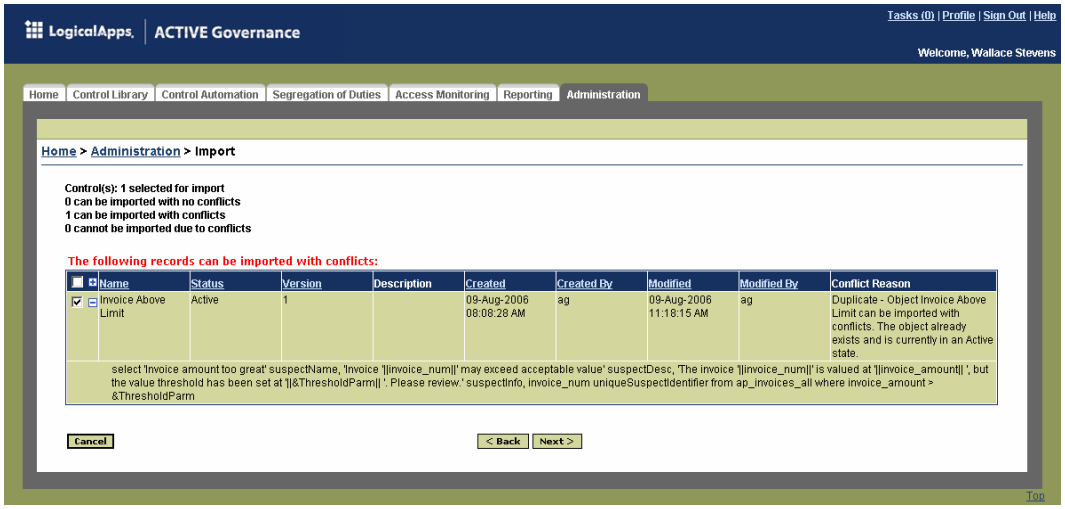
2 Click on the Browse button. A Choose File dialog box opens; in it, use standard Windows procedures to navigate to the import (zip) file you've copied to your system, and click on the Open button. The dialog box closes, and the path and name of the import file appears in the Select Import File field of the Import panel.

3 Click on the Next button. A second Import panel appears:



4 This panel displays a single radio button whose label indicates the type of item contained in the import file. Ensure that the radio button is selected.

5 Click on the Next button. A third Import panel appears:



6 Review a grid in which each row provides information about one of the items contained in the Import file (Note that although the status of every monitor is Active, each monitor will be imported to your system in the Editing status.)

Choose the control monitors you want to import. To select an individual item, click the check box that appears in the leftmost column of its row. To select all items in the file, click the check box that appears in the leftmost column of the header row. (An item is selected for import when a check mark appears in its check box.)

If the name of an import item matches the name of an item already installed on your system, this panel reports that the two instances of the item are in conflict. If so, the final column in its row provides an explanation of the conflict. Items are always imported to the Editing status, so if the conflicting item on your system is at any other status, ACTIVE Governance permits the import even though it registers the conflict. If the conflicting item on your system is at the Editing status, ACTIVE Governance does not permit the item from the file to be imported.

In each row, you can click on a +/- icon (also in the leftmost column) to display or hide the details configured for the item.

7 Click on the Next button. If you've selected items that conflict with those already existing on your system, a dialog box prompts you to confirm that you want to do so. Click on its OK button, and a final Import panel appears. It too provides a grid in which each row displays information about a successfully imported item (status is now Editing rather than Active). Click on the Finish button to return to the Administration Home panel.

From any of these panels other than the last, you can click on a Back button to return to earlier panels and alter selections you've made in them.