Oracle Fusion Cloud Risk Management

Using Access Certifications

23D

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1 Introduction

Overview of Oracle Access Certifications

Oracle Fusion Cloud Access Certifications enables your organization to perform reviews that determine whether roles are assigned appropriately to users. It can support periodic, organization-wide reviews such as quarterly audits, or more narrowly focused sensitive-access scenarios.

Certification Essentials

A certification may be standard or continuous. A standard certification involves a static set of user-role assignments existing at the moment the project is initiated. A continuous certification includes only new user-role assignments: those granted after the project is initiated. While the roles included in a continuous certification remain constant, records of their assignments to users are updated each day.

Every certification project involves workers at three levels:

- An owner defines and initiates a certification project, and assumes overall responsibility for it.

- A manager is responsible for a set of the roles included in a certification, and supervises one or more certifiers who work on those roles.

- A certifier makes determinations that users' access to roles is, or isn't, authorized. Allotted a subset of a manager's roles, the certifier evaluates the assignment of each role to each of its users.

At the same time, users other than owners are authorized as editors or viewers. Typically, they're also selected as managers or certifiers. (Even an owner can also be a manager or certifier.) But if they're not, editors and viewers have limited rights to the pages owners use to initiate and oversee certifications.

To initiate a certification, an owner:

- Decides whether it's to be entirely new or based on a previous certification and, if it's new, whether it's standard or continuous.

- Creates filters that select the roles whose assignments to users may be reviewed, or adapts filters inherited from a previous certification. That process is known as scoping.

- Appoints managers and certifiers to work with sets of roles returned by scoping filters.

Certifiers then review the assignments of the roles they've been tasked with certifying. The actual determination of whether a role is correctly assigned to a user is a human judgment. However, Oracle Access Certifications provides each certifier with a worksheet that includes a record of the assignment of each role to each of its users. Certifiers use the worksheets to record whether each user-role combination is under investigation or, ultimately, approved or rejected.

Managers track the progress of the certifiers they work with. The owner tracks the progress of the certification managers and certifiers. Both managers and owners use overview pages. Each displays a row for each subordinate user and the roles assigned to that person. Owners and managers can navigate from their overview pages to copies of the pages used by the people they supervise.

Review by Direct Managers

During initiation, owners may set up certifications so that another class of participants, direct managers of users, also judge whether their users' role assignments should be certified. Direct managers use My Team worksheets to review user-role assignments and to recommend that they be approved or rejected. But direct-manager review differs from certifier review in these respects:

- Each direct manager can see only records of users who are direct reports. Direct managers' My Team worksheets don't contain records of users who don't report to them.

- Direct managers aren't assigned to any one certification, and aren't made aware of the certifications in which records exist. Instead, a My Team worksheet contains records of user assignments that may belong to any number of active standard or continuous certifications.

- Direct managers' judgments are advisory: Records of user-role assignments appear both in the worksheets of certifiers working within the focus of certification projects, and for each user, in the My Team worksheet of that user's direct manager. Typically, direct managers act on their role-assignment records first, and their judgments update records in the certifiers' worksheets. However, a certifier is free to override direct managers' judgments, and may even act without waiting for the direct managers' judgments.

Notifications

As a certification proceeds, the people working on it may receive notifications, email alerts, or both if your organization activates them. Both are active by default. (See *Activate Alerts*.)

- Notifications are available from the Notifications icon in the global header. (It looks like a bell.)

- Email alerts are sent to the email address associated with the user account for each user.

Each type of notice is generated automatically to inform its recipient of a task to be completed. When appropriate, a notification or alert includes a direct link to the page to complete a task. For example, a certifier may go directly from a notification to the certifier worksheet to review role assignments.

Other notices provide information about error conditions, such as a job failing or concluding with errors, or a certification lacking an eligible owner or other authorization. (To receive a message concerning an object lacking an eligible owner, a user must have a Mass Edit Security Assignments privilege. Other security-related messages go to the owners of an affected certification.)

In addition, owners and managers may send email reminders of a deadline that's approaching or has passed. (See *Send Email Reminders*.) These are always available to be sent, regardless of whether email alerts or notifications are activated.

Use Cases

Oracle Fusion Cloud Access Certifications can support both large-scale regularly scheduled audits and more narrowly defined reviews of assignments involving sensitive privileges.

Quarterly Audits

You can perform what's commonly known as the quarterly access certification audit. The objective is to review all the assignments of all roles in the organization each quarter. In this example, the certification owner, Lucy, creates a standard certification called Q1Y1.

Lucy elects to use top-down scoping, which is the better approach for a large-scale certification. Top-down means that the certification automatically starts with all roles that are assigned to users, but the owner can remove roles from that pool. For example, Lucy removes the General Reporting role, reasoning that every user in her organization has this role, so reviewing it serves no purpose.

In Lucy's organization, business process supervisors are responsible for making sure their roles are certified. So Lucy appoints her supervisors as managers in the Q1Y1 certification, assigning each the roles for which he or she's responsible. She taps one of these, Susan, to manage the roles involved in the Procure to Pay business process.

As she initiates the certification, Lucy also appoints certifiers who work under each manager. In Susan's case, Lucy selects Larry (Supplier Management), Alice (Payables and Invoicing), and Tom (Payments) as the certifiers for roles related to their areas.

After Q1Y1 has been initiated, Susan reviews her manager overview page to see what progress her certifiers have made, so that they meet the deadline. She notices that Tom is lagging, so she sends him an email message. To do so, she opens his employee card, which is available in his record on her overview page; it contains his email address and other contact information.

After the prompting from Susan, Tom reviews each of his roles in his worksheet, and determines which users should be allowed to keep their roles, and which should not. Once he completes his worksheet, he submits it to Susan for her review.

By this time, all three certifiers have submitted their worksheets for Susan's review. Susan notices that one user has the Payables Manager role and is approved, but she knows he's just accepted a new position. She reopens Alice's worksheet and lets her know that this user's status should be updated to Remove. Alice makes the change and resubmits the worksheet to Susan.

Susan is now ready to submit her roles to Lucy, the certification owner. Lucy performs similar monitoring. Once all the managers have submitted their roles and Lucy has done her review, she finalizes the Q1Y1 certification. She then generates a report she created in Oracle Transaction Business Intelligence to list all the role-user combinations that have the Remove action. She sends the report to the security owner as a change request to have access to these roles removed.

Once completed, the Q1Y1 certification remains available as a template for the next quarterly audit. This significantly reduces the effort involved in creating recurring certifications.

Sensitive-Access Reviews

You can also monitor users who have access to specific sets of sensitive privileges. In this example, the controller, Jim, wants to make sure he's continually aware of who can post manual journal entries across his organization.

He begins by creating a standard certification, one that lets him review job assignments that already exist.

Because this is a very specific analysis, Jim uses bottom-up scoping as he creates the certification. Bottom-up means that the certification starts with no roles selected, and the owner must create one or more filters that select the roles he wants. Jim creates one filter that uses an entitlement, which is a set of related privileges or roles. Jim's entitlement includes four privileges that allow the posting activity. The scoping job returns roles that both include any of the four privileges and are assigned to users.

When Jim runs his scoping job, he notices it returns a job role he didn't expect. He makes sure to include this role so he can see which users it's assigned to. Because this is his analysis, and he's assigned the necessary security, he appoints himself as both manager and certifier, and initiates the certification.

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After reviewing the roles and their users in the certifier worksheet, Jim decides who should retain access. These users include one with access to the unexpected, suspicious role. Jim doesn't know this user, and so marks him as a Remove action. Once he's reviewed all the user-role assignments, Jim submits the worksheet.

As both the manager and the owner, Jim performs the necessary actions to finalize the certification. He also generates the security removal report, sends it to the security owner, and schedules a meeting to determine who created the suspicious role and why.

Next, Jim creates a continuous certification, one that enables him to review new assignments of roles to users each day over an extended period.

During initialization, he creates the same scoping filter that specifies the same entitlement. In addition to the assigned roles selected for the standard certification, it returns roles that include any of the four posting privileges and that could be, but aren't necessarily yet, assigned directly to users. That's because these roles may be assigned at any point over the life of the continuous certification. Jim once again appoints himself as both manager and certifier.

This certification initially returns no results, because at the moment Jim initiates it there aren't yet any new assignments of the scoped roles. The next day, however, the role Jim found suspicious is assigned to another user; the following day a record of the assignment appears in Jim's certifier worksheet. His meeting to discuss this role hasn't yet taken place, so he once again selects the Remove action and submits the worksheet.

For a continuous certification, a certifier's decision takes effect the day he submits it, unless the manager acts to reverse it. In this example, of course, Jim is the manager and so doesn't reverse his own decision. If a security owner were to run the removal report, she would find a request to remove the role assignment and could act on it immediately.

Subsequently, on some days there are no new assignments to review. On other days, new assignments appear in Jim's worksheet. On each of those occasions, the previously submitted worksheet reopens, and Jim receives a notification to act. By this time he's convened his meeting about the suspicious role, has determined that it should not exist, and so it's no longer available to be assigned to users. So the roles he's reviewing are those he's familiar with, and he approves their assignment to some users but rejects their assignment to others. As he does, he's able to use an audit history feature to review the decisions he's made. With each day's decisions, he opts to resubmit his worksheet.

When the quarter ends, Jim decides the continuous certification has served its purpose. Acting as manager and owner, he performs the necessary actions to finalize the certification.

Predefined Jobs

An Access Certification Synchronization job runs in the background to complete the following tasks.

- Ensure the validity of owner assignments to certifications. If any is invalid, replace it with an All Eligible Owners value.

- Update reporting tables with changes to owner, manager, or certifier assignments.

- Update active continuous certifications with new assignments of scoped roles.

The job begins running when your organization creates its initial certification. At that point the job runs once a day. You're expected not to modify this schedule.

An Access Certification Notifications job sends some of the notifications you can receive. (Others are triggered by users completing actions in the application.) You can't run this job directly. Instead, you run a Security Synchronization job, which launches the Access Certification Notifications job. You can schedule the Security Synchronization job to run, or run it on demand, from the Scheduling page in the Setup and Administration work area.

A third predefined job evaluates scoping filters during the certification initiation process. It returns roles selected by the filters. This job runs only on demand; you can't schedule it.

While a job is in progress, you can check its status in the Monitor Jobs page. To open it, click the Monitor Jobs tab.

Related Topics
- Manage Job Schedules
- View Job Details

The Access Certifications Home Page

If you're an owner, manager, or certifier, or an editor or viewer without additional authorizations, you begin at the Access Certifications home page. It displays a grid listing the certifications you can work on, providing summary information about each.

> **Note:** If you're a direct manager, you don't use the Access Certifications page or other pages accessible from it. Instead, you respond to notifications or you work from a My Team worksheet in the Access Certifications work area.

The information displayed in certification summaries depends on selections you make in a View Columns menu. The defaults, however, include name, due date, type (standard or continuous, and with or without direct manager review), percentage complete, and status.

Certification Status

If you're an owner, status may indicate the stage you've reached while initiating a certification.

- Scoping: You're ready to create filters that select roles for the certification.
- Finalizing: Scoping is complete and you're selecting managers and certifiers for the scoped roles.

Once initiation is complete, other statuses apply.

- Active: Work to review user-role combinations may proceed. When a certification reaches this status, managers and certifiers see it for the first time in their Access Certifications page.
- Terminated: The owner has abandoned the certification before its completion.
- Closed: The certification is complete, and the owner has ended work on it. A standard certification is complete when all the user-role combinations discovered during initiation are at the approved or rejected status. A continuous certification is complete if all newly discovered user-role combinations are at the approved or rejected status when the owner elects to close the certification.

Actions and Links

The grid includes an Actions column and a Links column. The Actions column offers these options:

- Finalize Roles: The owner can assign scoped roles to managers and certifiers. For each certification, this option is available only to owners, once scoping is complete.
- Delete and Terminate: The owner can discontinue certifications. The Delete action applies to a certification that hasn't yet been fully initiated, and removes the record of that certification. The Terminate action applies to an

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active certification; it leaves records of that certification on display, but doesn't allow updates. These options are available only to owners.

- Edit: Opens the certification for modifications. Before an initiation is complete, edit options are available only to owners, and are wide-ranging. You can, for example, work in the page to create or modify scoping filters. Once a certification reaches Active status, edit options are available to owners and editors, but are limited; at that point you can no longer change the scope of the certification.

- Send Email Reminder: Sends messages requesting that users complete certification tasks. This option is available only to owners and managers. (See *Send Email Reminders*.)

The Links column provides a link to the manager overview page if you're a manager, to the certifier worksheet if you're a certifier, or to both if you serve in both capacities. For a given certification, you see entries in this column only if an owner has selected you as a manager or certifier.

Other features include these:

- The Create option (a plus-sign icon) begins the process of initiating a new certification.

- The name of a certification is the link to its owner overview page. This link becomes live only when initiation is complete and the certification becomes active.

- Tabs available throughout the application open pages to manage entitlements, monitor jobs, and select user attributes.

User Attribute Selection

Owners can select up to six attributes regarding the users whose role assignments are reviewed in a certification.

- Some attributes have names beginning with the phrase "User-Role." These attributes apply to role assignments for which "security contexts" have been configured, via the Manage Data Access for Users task in Oracle Fusion Functional Setup Manager. These limit the data accessible to a user assigned a role. For example, a user assigned a role with a business-unit security context can use the role to access data associated with a specified business unit, but not other business units.

- The remaining attributes apply to values assigned directly to a user in the New Person work area of Human Capital Management.

The worksheets available to both certifiers and direct managers display the attribute values appropriate for each user-role record. Certifiers and direct managers can use attribute values to filter the user-role records within their worksheets.

> **Note:** A role may define a hierarchy of other roles from which it inherits functional access. In that case, the parent role doesn't inherit "User-Role" attribute values from its child roles.

In worksheets, records display the attribute values that were current when a certification was created. If you modify the selection of attributes, existing certifications continue to supply values for the earlier attributes. Values for the newer attributes appear in certifications that are newly created after those attributes are selected.

To select attributes:

1. Click the Additional Attributes Options tab. An Additional Attributes Options page opens.
2. Review any attribute selections that have already been made in a Displayed Additional Attributes section.
3. Click Edit.
4. Under Edit Displayed Additional Attributes, click the check boxes for up to six attributes. Or, clear already-selected check boxes for attributes you no longer want to use.

5. Click Save.

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2 Initiate a Certification

Overview of Certification Initiation

To initiate a certification, you complete these tasks:

- Name it and provide general information about it. This includes whether it's to be new or based on a previous certification. If it's new, you also decide whether it's standard or continuous, and whether direct managers are to participate.

- Optionally, attach documents to the certification.

- Secure the certification: Appoint users to participate in the certification as owners, managers, or certifiers, and determine level of access each user has.

- Scope the certification: Create filters that select the roles whose assignments to users are to be reviewed. For that purpose, you may take either a top-down or bottom-up approach. Top-down means all assignable roles are selected by default, and you remove those you don't want. Bottom-up means no roles are selected by default, and you add those you do want.

- Finalize roles: From those returned by the scoping job, select roles to be included in the certification project. Then allot sets of those roles to certifiers who make judgments about whether each role is appropriate for each user assigned to it, and to managers who oversee the work of certifiers. For each set of roles, you can select among users you appointed as managers and certifiers as you secured the certification.

You can complete these tasks only if you have owner privileges. To begin, click Create in the Access Certifications home page. Or, select the Add Access Certification quick action from the Risk Management springboard. (Depending on the number of quick actions available to you, you may need to select a Show More option on the springboard.) In either case, a Scoping Certification page opens. In it, a General region is active.

Provide General Information

Your first decision in initiating a certification is whether to develop it from scratch or base it on an existing certification. In the General region of the Scoping Certification page, a Reuse Prior Certification Definition option is cleared by default.

You may:

- Leave the option cleared to start from scratch. In this case, you must create a name for the certification and set a due date. You select its type: standard or continuous and with or without direct manager review. You may also add a description.

- Select the Reuse Prior Certification Definition option. A list field presents certifications created by any owner; select one of them. The name, description, and type values are taken from the certification you select. You must modify the name and set a due date. You may retain or modify the other values.

Select a Type

If you initiate a certification from scratch, select one of four values in a Type field. (If you base a certification on an earlier one, you can't change the type value you inherit from the earlier certification.)

- Standard: The certification comprises records of assignments of your scoped roles to users at the moment you finish initializing the certification. No records are added over the life of the certification. Owners, managers, and certifiers participate in the certification.

- Standard with Direct Manager Review: The same as Standard, except that direct managers of users also review the assignments of scoped roles to users who report to them.

- Continuous: The certification focuses on assignments of your scoped roles to users made after you finish initializing the certification. Initially, no records are returned; records that would be returned for a standard certification are excluded. Each day over the life of the certification, however, worksheets are updated to include new assignments of scoped roles to users. On any given day, certifiers may have new user-role combinations to evaluate. Owners, managers, and certifiers participate in the certification.

- Continuous with Direct Manager Review: The same as Continuous, except that direct managers of users also review the assignments of scoped roles to users who report to them.

Before you run a continuous certification, consider running a standard certification that scopes the same roles. Otherwise, you're effectively accepting the role assignments that exist at the moment you initiate the continuous certification. If these haven't been reviewed, they may include some that should have been rejected.

Next Steps

Select the Save and Continue option to proceed to the next step in initiating the certification. You may instead select a Save and Close option, which returns you to the Access Certifications home page. There, a new row is added for the certification you've begun, and its status is Scoping. When you reopen the certification, the General region is once again active. You may make changes in it; regardless of whether you do, select Save and Continue to proceed to the next step.

Attach Documents

When you finish working in the General region, an Attachments region becomes active. An attachment may be a file (such as a text file or spreadsheet) or a website that documents or provides supporting information for the certification.

Attachments added during initiation apply to the certification as a whole. Owners, managers, and certifiers may view them in the Detail region of overview and worksheet pages they've access to.

You're not required to attach documents to the certification. If you choose to, however, you can attach any number. A certification initially displays up to five links to attachments. If there are more, a Load More Items link appears. Click it to display more attachment links, five per click until all are on display.

To attach a file, you may simply drag it into the attachments area. Otherwise:

1. Click the link in the Attachments area.
2. Click Add Link or Add File.

3. Depending on your selection:

   ○ Type, or copy and paste, a URL into an Add Link dialog box. Then select Save and Close.

   ○ In a file-upload dialog, navigate to and select the file you want. Then select Open. (The title of the dialog, and the name of the option you select to complete the attachment, may depend on the web browser you use.)

> **Note:** Attachments may instead apply to the judgments made about whether the assignments of specific roles to specific users are appropriate. Certifiers, managers, or owners may attach these documents to individual user-role combinations in the certifier worksheets.

Regardless of whether you attach documents, you can once again click Save and Continue to proceed to the next step in initiating the certification, or select Save and Close to return to the Access Certifications home page. Once again, when you reopen the certification the General region is active; click Save and Continue until you reach the next step.

Secure the Certification

When you finish working in the Attachments region, a Security Assignment region becomes active. In it, select individual users or groups to participate in the certification. (For information on creating groups, see *Manage User Assignment Groups*.)

Because you're initiating the certification, you're selected automatically as its owner. As you select other users:

- You authorize them as owners, editors, or viewers. These authorizations provide differing levels of access to the certification as a whole. Only owners can initiate certifications, but editors and viewers have lower levels of access to the features owners use to initiate and oversee certification projects.

- You also enable them to serve as managers or certifiers. These authorizations determine the parts users may play in a certification after it's initiated.

The following descriptions assume you assign the predefined Access Certification Administrator job role to all users.

An owner has the widest-ranging access:

- Before the certification is fully initiated, she can edit its general settings, attach documents, add or remove users and set their authorizations, create scoping filters, and finalize roles.

- After the certification is initiated, she can edit some general settings, add or remove attachments, and edit security assignments. She can also use the owner overview, drill down from it to manager overviews and certifier worksheets, reopen submitted worksheets, and either terminate or finalize the certification.

- If you enable her to be a manager, she can be assigned to manage a set of scoped roles, and can use the manager overview page to supervise the certifiers of those roles.

- If you enable her to be a certifier, she can be assigned to review a set of scoped roles for certification, and can use the certifier worksheet to do so.

Neither an editor nor a viewer has access to the certification until it's fully initiated. At that point:

- An editor can see the pages in which owners initiated the certification. The editor can edit general settings and attachment selections just as an owner can, but can't edit security assignments.

- If not authorized to be a manager or certifier, both editor and viewer have view-only access to the owner overview, and can drill down from it to manager overviews and certifier worksheets.

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- You may enable an editor or a viewer to be a manager. If so, the user loses access to the owner overview, but can be assigned to manage a set of scoped roles for a certification, and can use the manager overview page to supervise certifiers of those roles. The user (whether editor or viewer) can reopen worksheets submitted by certifiers, or submit them to owners.

- You may enable an editor or a viewer to be a certifier. If so, the user loses access to the owner overview, but can be assigned to review a set of scoped roles for certification, and can use the certifier worksheet to do so. The user (whether editor or viewer) can set status for user-role assignments and can submit a worksheet to a manager.

Note: A user assigned the predefined Access Certification Administrator job role can be authorized as an owner, editor, or viewer, and as a manager or certifier. If your organization creates its own roles, your ability to select authorization values for a user, and the rights each authorization grants, depend on which privileges his role contains.

Use the Security Assignment region to select users for the certification. To select individual users:

1. Click the Add button that corresponds to User Assignments. A new row appears.
2. In the Name field, search for and select a user.
3. In an Authorized As field, select Owner, Editor, or Viewer. This field defaults to the highest level of access the user's role permits, but you can select less access. For example, a user may be eligible to be an owner, but you can designate him a viewer for the certification you're initiating.
4. In an Authorization field, determine what part the user plays in the certification: Select Manager, Certifier, both values, or neither value.
5. Click Save.

To select user groups, click the Add button that corresponds to Group Assignments. Then search for and add one or more groups.

- Each group is granted only one authorization. As you add a group to the certification, you can view that authorization, but not change it. If it designates Certifier or Manager, group members are also automatically viewers. If it designates Owner, Editor, or Viewer, group members are automatically neither certifiers nor managers. To combine authorizations, for example Owner with Certifier, create two groups, one with each authorization and both with the same members.

- A group is available to be selected for a certification only if at least one of its members is eligible for that certification. Groups with no eligible users are excluded.

- Over time, members may be added to or dropped from groups, or their role assignments may change. This may result in a group having been assigned to a certification but no longer having members who are eligible for it. If so, a warning icon appears next to the group name.

To edit the settings, click the edit icon in row for a person or a group.

When you finish working in the Security Assignment region, click Continue to begin creating scoping filters. Again, you can instead select Save and Close, and reopen the certification later to scope roles.

Scope the Certification

Once you finish working in the Security Assignment region, a Scoping Filters region becomes active. Use it to create filters that select roles whose assignments to users are to be reviewed.

For a new certification, the page initially contains no filters. For a certification that reuses a prior definition, the page displays scoping filters inherited from that definition.

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You can scope only assignable roles: job, data, abstract, and other roles that can be assigned directly to users. Scoping filters don't return roles, such as predefined duty roles, that are available to users only indirectly, by being included in the role hierarchies of their assignable roles.

You can create three types of scoping filter:

- Access point filter: An access point is a privilege or a role of any type. An access-point filter specifies one of these items and may return either an assignable role specified directly by the filter, or assignable roles that are hierarchical parents of an access point specified by the filter.

  For a standard certification, the filter returns only roles that are assigned to users. For a continuous certification, the filter returns both assigned and unassigned roles, so that you can scope roles that may be assigned to users after the certification is initiated.

- Entitlement filter: An entitlement is a set of related access points. An entitlement filter may return assignable roles that are included in the entitlement or are hierarchical parents of access points included in the entitlement. Again, for a standard certification the filter returns only assigned roles, but for a continuous certification it returns both assigned and unassigned roles.

- Condition filter: This filter type selects from a pool of role records. The purpose of this filter type, however, is essentially exclusionary. From the pool of records they begin with, condition filters remove all records they don't select.

The filter types you use depend on whether you opt for top-down or bottom-up scoping:

- For a top-down scoping job, you begin with all the roles you'd want to consider. For a continuous certification, this literally means all assignable roles. For a standard certification, this means all such roles that have been assigned to users. So there's no need for an access-point or entitlement filter to select roles. You can create only condition filters to exclude the roles you don't want.

- For a bottom-up scoping job, you begin with no roles selected, so you create either a single access-point filter or a single entitlement filter to create a pool of assignable-role records. You may then create condition filters to exclude roles from this pool.

A check box labeled Leverage Top Down Scoping Approach is selected by default. Leave it selected to implement top-down scoping or clear it to implement bottom-up scoping. Then create the filters your scoping job requires.

When you finish, click the Submit button. This returns focus to the Access Certifications home page. It also initiates a scoping job. You can check the status of that job; click the Monitor Jobs tab to open the Monitor Jobs page. When the job reaches successful completion, the status of the certification updates to Finalizing, and the Actions menu displays the option Finalize Roles.

> **Note:** The maximum number of roles you can scope for a certification is 500. Scoping filters may return more, but if so, the scoping job fails. In that case, add scoping filters that narrow the focus of the scoping job, and then rerun it. The scoping job creates a model that's accessible in the Models page (Risk Management > Advanced Controls > Models). It's important that you not delete that model until the certification it applies to is fully initiated.

Create an Access Point or Entitlement Scoping Filter

You can create an access-point or entitlement filter only if your certification uses the bottom-up scoping approach. Even then, you can create only one filter of either the access-point or entitlement type.

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This filter must capture all roles you want to include in the certification. (You may then add condition filters to remove unwanted roles.)

1. Click the Add button in the Scoping Filters region. A row appears.
2. In the Object field of that row, select Access Point for an access-point filter or Access Entitlement for an entitlement filter.
3. In Attribute and Condition fields, select the only values available to you:

    ○ For an access-point filter, select Access Point Name in the Attribute field and Equals in the Condition field.
    ○ For an entitlement filter, select Access Entitlement Name in the Attribute field and Equals in the Condition field.
4. In a Values field, enter a text string. As you do, a window presents access points or entitlements whose names include the text you've typed. Select one of them. Your text can match display or internal names. If you select an entitlement, be sure it's configured to support the Oracle Cloud data source. Oracle Access Certifications doesn't support analysis of data from other sources.

An example: Assume that Accounts Payable Manager is a job role, and Cancel Payables Invoice is a privilege that belongs to it. Assume also that Manage Payables is an entitlement, and it includes the Accounts Payable Manager role.

- The access-point filter Access Point Name Equals Accounts Payable Manager would return that job role and no other.

- The access point filter Access Point Name Equals Cancel Payables Invoice would return the Accounts Payable Manager job role. But it would also return other job roles that have this privilege: Accounts Payable Invoice Supervisor, Accounts Payable Supervisor, Tax Manager, and Tax Specialist.

- The entitlement filter Access Entitlement Name Equals Manage Payables would return the Accounts Payable Manager job role. It would also return other job roles that either are named specifically in the Mange Payables entitlement, or are the parents of lower-level roles or privileges named in the entitlement.

Create a Condition Scoping Filter

Condition filters select from a pool of roles and therefore exclude the roles they don't select.

- If a certification uses top-down scoping, a condition filter selects from a pool that includes all assignable roles. The only attribute available to a condition filter is Access Point, and the filter selects or excludes roles involving an access point you specify.

  For example, assume you begin with a pool of roles that includes Accounts Payable Manager. The condition filter **Access Point Equals Accounts Payable Manager** would select that one role and so exclude others. Or the condition filter **Access Point Does Not Equal Accounts Payable Manager** would exclude that role and accept others.

- If a certification uses bottom-up scoping, a condition filter selects from a pool that includes roles returned by an access-point or entitlement filter. The Access Point attribute is available to condition filters, but so are other attributes that recognize definitions configured in the Manage Data Access for Users task in Oracle Fusion Functional Setup Manager. In that task, you define the data access each user has when assigned a particular role. A condition filter may then allow a certification to scope that role, but only as it applies to users with the defined data access.

  For example, Manage Data Access for Users may specify that the assignment of a role to some users grants access only to data associated with a specific business unit. A certification may then scope that role, but if a

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condition filter sets a Business Unit attribute equal to that unit, the role is scoped only as assigned to those users.

To create a condition filter:

1. Click the Add button in the Scoping Filters region. A row appears.
2. In the Object field of that row, select Access Condition.
3. In the Attribute field, select the attribute you want to base the condition on. For top-down scoping, Access Point is the only available attribute. For bottom-up scoping, you can select Access Point or any of the data-security attributes that depend on Manage Data Access for Users configurations: Asset Book, Business Unit, Data Access Set, Ledger, or Reference Data Set.
4. In the Condition field, select one in a set of predefined conditions:

    ○ **Equals** or **Does not equal**: Select records with attribute values that match, or don't match, a value you select.
    ○ **Contains** or **Does not contain**: Select records with attribute values whose names include, or don't include, a text string you compose.
    ○ **Matches any of** or **Matches none of**: Select records with attribute values whose names match one of any number of values you select, or match none of them.

5. In the Values field, provide a value that completes the filter:

    ○ If the filter uses the Access Point attribute, then depending on the condition you selected, specify one or more roles, or a text string that a role name may or may not contain. If the condition requires a role name as a value, the Values field searches for role names that include the text you've typed, and you can select among search results.
    ○ If the filter uses any of the data-security attributes, then depending on the condition you selected, specify one or more values appropriate for the attribute. For example, for the Business Unit attribute, you'd specify one or more business-unit names, or a text string that a business-unit name may or may not contain.

Note: For certain privileges to grant functional access, a user must be granted both the privilege and a corresponding "action" as a "procurement agent" for a business unit. If you use bottom-up scoping, you may specify one of these privileges in an access-point filter, or the privilege may exist in an entitlement you specify in an entitlement filter. The filter returns job roles that include the privilege, but only as they apply to users who also have the appropriate procurement-agent action. Assignments of these roles to users who lack the procurement-agent action are automatically excluded from the certification. You don't need to create condition filters to implement these exclusions. See *Exclusions Involving Procurement Agents* to view a table listing the privileges and their related procurement-agent actions.

How Scoping Conditions Work Together

No matter whether you use top-down or bottom-up scoping, you can create any number of condition filters. They have an OR relationship to one another, so roles that seem to be excluded by one can be selected by another.

Filters must be all-inclusive or all-exclusive to prevent conflicting logic. So if your first condition filter uses the **Equals**, **Contains**, or **Matches any of** condition, each subsequent filter must use any of those three conditions. If the first condition filter uses the **Does not equal**, **Does not contain**, or **Matches none of** condition, each subsequent filter must use any of those three conditions.

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Here are two examples:

- Available roles may include Accounts Payable Supervisor and Accounts Payable Manager. A condition filter may use the Access Point attribute to select the Supervisor role; it would, by itself, exclude the Manager role. But a second condition filter may use the Access Point attribute to select the Manager role. As a result, both roles would be included in the certification project.

- User1 and User2 are assigned the Accounts Receivable Specialist role. But in Manage Data Access for Users, the assignment to User1 is defined as applying only to data appropriate for a business unit called Europe. The assignment to User2 is defined as applying to a business unit called America. The condition filter **Business Unit Contains Europe** would, on its own, scope the role as it's assigned to User1, and exclude User2. But a second filter, **Business Unit Contains America**, would select the assignment to User2, and so the role assignment to both users would be scoped for the certification.

If you use a negative condition (**Does not equal**, **Does not contain**, or **Matches none of**), take care that condition filters don't return unexpected results.

For example, you may want to scope only assignments of the Accounts Receivable Specialist role to users working in business units other than Europe and America. You want, therefore, to exclude the assignments to User1 and User2. So you may create the filters **Business Unit Does not contain Europe** and **Business Unit Does not contain America**. But these filters would in fact scope the role assignments to these two users: The filter that excludes Europe would accept the American (User2), and the filter that excludes America would accept the European (User1).

To achieve the effect you want, you should instead create a filter specifying **Business Unit Matches none of Europe, America**.

Additional considerations apply to filters that use the data-security conditions:

- Your inclusion or exclusion of one role may be inherited by another related role.

  For example, a US Accounts Payable Manager role may be both assignable to users on its own, and included in the role hierarchy of a second role, Accounts Payable North America. Manage Data Access to Users may specify that the assignment of US Accounts Payable Manager to some users grants access only to data associated with the America business unit.

  The filter **Business Unit Equals America** would select assignments not only of US Accounts Payable, but also of Accounts Payable North America, to those users.

  Note, though, that a certification owner may have selected attributes for display in the certifier worksheet. Appropriate values are displayed in the records of role assignments to users. Each value appears only in records of roles to which the value is assigned directly, not in records of inherited roles. In this example, assume the owner has selected Business Unit as a display attribute. The value America would appear in records of the assignment of US Accounts Payable Manager to users. It wouldn't appear in records of assignments of Accounts Payable North America to users.

- Although Manage Data Access for Users defines the data available to a user assigned a role, in some cases other security configuration, such as data security policies, may expand the definition created in Manage Data Access for Users.

  For example, suppose User3 is assigned the Accounts Receivable Manager role. In Manage Data Access for Users, the assignment is restricted to data associated with the business unit called AR Brazil. Suppose User3 is also assigned the Accounts Payable Manager role. In Manage Data Access for Users, the assignment is restricted to data associated with the business unit called AP Italy. Owing to data-security-policy configuration, while in an AR Receipts page, User3 would see data only for AR Brazil, but while in an AP invoice page, User3 would see data for both AR Brazil and AP Italy.

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Create or Edit Entitlements for Access Certifications

An entitlement is a set of related access points. You may select an entitlement as you create a filter for a scoping job.

- For a standard certification, an entitlement filter returns every assignable role that meets two conditions: it's a parent of any access point in the entitlement, and it's assigned to at least one user.

- For a continuous certification, an entitlement filter returns both assigned and unassigned roles that are parents of access points included in the entitlement.

Note: Oracle Fusion Cloud Advanced Controls and Oracle Access Certifications share the UI pages to manage, create, and edit entitlements. Because Oracle Advanced Controls can analyze data from multiple data sources, the page to create an entitlement includes a field to specify a data source. However, always select the Oracle Cloud data source as you create entitlements for Oracle Access Certifications. It doesn't analyze data from any other data source.

To build an entitlement is to name it, activate or inactivate it, and add or remove access points.

1. Open the Access Entitlements page. Select Risk Management > Access Certifications > Access Entitlements.
2. Each row of the Access Entitlements page provides summary information about an existing entitlement. In this page, you may:

   - Select Create to build an entirely new entitlement.

   - Click the row for an entitlement you want to edit, then click the Edit icon. As an alternative, click the entitlement name to open the page that displays full details about it, then click the Edit button in that page.
3. Select values that characterize the entitlement:

   - Enter or modify a name of up to 250 characters and, optionally, a description.

     Consider creating a naming convention to distinguish entitlements that support access certifications from those that support access models and controls. A description may explain briefly the organizing principle or business purpose of the entitlement.
   - Select a status, Active or Inactive. Once you create an entitlement, you can't delete it, but you can inactivate it.
   - In a Comments region, review any existing comments or click Add Comments to add a new one.
4. In a Data Source field, accept the default value, Oracle Cloud, as you create the entitlement. Oracle Access Certifications doesn't evaluate data from other sources. (As you edit an entitlement, you can't change its data source.)

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5. Add access points:

   ○ In the Selected Access Points grid, click the Add option.

   ○ In a Search and Add dialog, filter the list of access points. Among search criteria:

      - Name and Description are display values identifying an access point. The Access Point ID is an internal name for a role or privilege, or the path to a user-defined access point.
      - Access Point Type values include Role, Privilege, and User Defined.
      - As you enter search values, you can use the percent symbol (%) as a wildcard.

   ○ Select access points from the filtered list.

      To select one, click its row. To select a continuous set, click the first point in the set, hold the Shift key, and click the last point. To select a discontinuous set, hold the Ctrl key as you click access points.

   ○ When you're satisfied with your selections, click Apply. Your selections appear in the Selected Access Points grid.

   ○ You may then enter new search parameters and select other access points, or close the Search and Add dialog.

6. Potentially, delete access points:

   ○ In the Selected Access Points grid, select the rows for the access points you want to delete. Again, use the Shift or Ctrl key to select multiple rows.

   ○ Click the Delete option.

7. Save the entitlement.

Finalize Roles

When a scoping job for a certification reaches completion, you must select from the roles it returns, appoint managers and certifiers who are to evaluate the assignments of those roles to users, and complete the initialization process.

In the Access Certifications home page, click Finalize Roles in the Actions menu of the row for a certification whose status is Finalizing. The Initiate Certification: Finalize Roles page opens, displaying a list of every role returned by the scoping job.

Select Roles

First, designate which roles are to be included in the certification. For a continuous certification, you must select 20 or fewer roles. This limit doesn't apply to standard certifications.

If you're finalizing a certification created from scratch, all roles returned by the scoping job are included by default. An Include column displays a check mark for each of them. If you're finalizing a certification that reuses a prior certification, returns may consist not only of Included roles, but also:

- Roles returned for the reused certification, but explicitly excluded by its owner. For these, the Include column displays a dash, which indicates exclusion.

- Roles returned for the reused certification that could no longer be found for the new certification. For these, the Include column displays a Role Not Available icon.

- Roles returned by the scoping job for the current certification, although they had not been returned for the original certification you're reusing. For these the Include column displays a New Role icon.

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Ensure that the Include column displays check marks only for the roles you want to include in the certification:

- Select roles you want to remove from the certification, and click the Exclude button. For each of these roles, the Include column then displays a dash.

- Select roles you want to include, but that aren't already included, and click the Include button. For each of these roles, the Include column then displays a check mark.

- You can't include a role that displays the Role Not Available icon.

To select one role, click its row. To select a continuous set, click the first row, hold down the Shift key, and click the last. To select a discontinuous set, hold down the Ctrl key as you click rows. You can filter roles to find those whose settings you want to alter.

Select Participants

Next, appoint managers and certifiers:

1. Select rows representing Included roles whose assignments are to be reviewed by a particular manager and certifier. Again, you can use the Ctrl or Shift key to select discontinuous or continuous rows.
2. Click Edit to open a Mass Assignment dialog.
3. In a Manager field, click the Manager Assignment icon to open a list of users authorized as managers in the Security Assignment region of the Scoping Certification page. Select one and click Apply.
4. Back in the Mass Assignment dialog, click the Certifier Assignment icon in the Certifier field. This opens a list of users authorized as certifiers in the Security Assignment region of the Scoping Certification page. Select one and click Apply.
5. Back in the Mass Assignment dialog, click Apply. In the Finalize Roles page, the Manager and Certifier columns refresh to display the selections you've made.
6. Continue making selections until every role included in the certification has a manager and a certifier. With each set of roles, you may reappoint a certifier or manager, so that a given certifier may work with any number of managers, or manager with any number of certifiers.

As you select managers or certifiers for a set of roles, you can select an Eligible Users value. This means the roles are available for review by any user authorized to act as a certifier or manager. However, this isn't recommended, as it can cause confusion if multiple users attempt to work on the same roles at the same time.

Complete the Initiation

Finally, click the Initiate button, which becomes active when you finish selecting managers and certifiers. Respond to a message warning you that you're locking the scope of the certification.

The focus returns to the Access Certifications home page. The status of the certification updates to Active, and the date you click the Initiate button is added automatically to the record of the certification as its start date. Managers and certifiers can now open the certification. They receive notifications that they've tasks to complete in the certification. If the certification includes direct managers, they also receive notifications.

Edit a Certification

Owners have broad rights to edit a certification while it's in the process of being initiated. Owners and editors have more limited rights to edit a certification after initiation is complete.

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If you're an owner and you want to edit a certification before it's fully initiated, locate its row in the Access Certifications home page. Then:

- Click Edit in its Actions menu. This takes you to the Scoping Certification page. You can change general settings; add or remove attachments; modify the security configuration; and add, delete, or modify scoping filters.

- Click Finalize Roles to reassign roles to managers and certifiers.

You may also return from a page you're working in to a previous one, to make changes. In the Scoping Certification page, click an Edit button in any region you've already worked in and left. In the Finalize Roles page, click an Edit Scoping button to return to the Scoping Certification page. For example, if the roles displayed in the Finalize Roles page aren't those you expected, you can select the Edit Scoping button to modify your scoping filters.

Once an owner clicks the Initiate button in the Finalize Roles page, users authorized as owners or editors can make limited edits. To begin, either type of user would click Edit in the Actions menu of a certification's row in the Access Certifications home page. Then:

- Owners and editors can modify the certification name, description, and due date among the general settings, and can add or remove attachments.

- In the Security Assignment region, owners (but not editors) can delete users, add users, modify their Authorized As setting, and select them as managers or certifiers.

Once initiation is complete, scoping filters can no longer be modified. Neither can settings in the Finalize Roles page. However, an owner can reassign managers and certifiers, and managers can reassign certifiers, in the overview pages.

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3 Certify Roles

Overview of Working with Certifications

Whether a role is appropriately assigned to a user is a decision made outside of Oracle Fusion Cloud Access Certifications. You're free to determine your criteria for certifying role assignments.

Among those criteria, for example, you may create controls or provisioning rules in Oracle Fusion Cloud Advanced Controls. You may then make a practice of declining to certify role assignments that violate those controls or rules.

Within the application, however:

- Direct managers, if they're invited to participate, make certification recommendations in My Team worksheets.
- Certifiers record their certification decisions in certifier worksheets.
- Managers and owners review certifiers' decisions, and oversee certification projects, in overview pages.
- Owners, managers, and certifiers may view documents attached to a certification during initiation. In worksheets they can access, they may also attach documents to individual user-role combinations, and view them.

Use Overview Pages

If you're an owner or a manager, you use an overview page to monitor the progress of people under your direction.

The Owner Overview page lists the managers who participate in a certification project. A Manager Overview page lists the certifiers who work under the supervision of a given manager.

Open an overview page from the Access Certifications home page:

- You may be authorized as the owner of a certification. Or, you may be authorized as an editor or viewer, but not also as a manager or certifier. In either case, you can open the Owner Overview if the certification is at the Active status. To do so, click its name.

  An owner has full rights. An editor or viewer has view-only access to the owner overview, and to manager overviews and certifier worksheets to which it drills down. If a certification isn't yet fully initiated, the overview page isn't yet available, and so the certification name isn't yet a live link.

- If you're a manager, locate the row for an active certification. In its Links cell, click Manager Overview.

Overview Page Format

In each case, a Details region provides this information:

- Fields supply the name, type, and description of the certification, its status, and its start, due, and closed dates.
- An Owner field identifies the owner. Hover over the owner's name so that a hidden icon appears, then click the icon to display a card with information about the owner.
- An Attachments field initially lists up to five files or URLs attached to the certification by the owner during initiation. If more than five items are attached, a Load More Items link appears. Click it to display more items,

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five per click until all are on display. Click the name of an attachment to open it. You can view attachments in an overview page, but you can't add or remove attachments.

- For a standard certification, a circular graph is divided into color-coded segments representing the numbers of role assignments marked as Pending, Approve, Investigate, and Remove. These total all the user-role combinations available for review in the certification.

  For a continuous certification, this graph appears when the certification first discovers new user-role combinations to be evaluated.

In the Owner Overview page, a Role Certification by Manager region displays a row for each manager who participates in the certification. In a Manager Overview page, a Role Certification by Certifier region displays a row for each certifier under the supervision of the manager who's the focus of the page. In each row:

- A user-name value identifies a manager (in the Owner Overview page) or a certifier (in the Manager Overview page). Hover over the user name so that a hidden icon appears, then click the icon to display a card with information about the person.

- For a standard certification, a bar graph is divided into color-coded segments representing the numbers of role assignments marked as Pending, Approve, Investigate, and Remove. These total the user-role combinations assigned to the manager or certifier identified in the row. The goal is for all roles in each bar graph to reach either Approve or Remove status.

  For a continuous certification, this graph appears when the certification first discovers new user-role combinations assigned to the manager or certifier.

Drill Down to Other Pages

Click the user name in any row to drill down to that user's page. A manager can open the worksheet for each of the certifiers he works with. An owner can drill down not only to the overview page for each of his managers, but also to the worksheet for each certifier working under each manager.

In a worksheet, a user at any level can attach documents to, and write comments for, individual role-user assignments. Otherwise, the pages an owner or manager can drill down to are read-only.

Reassign Managers and Certifiers

An owner can revise the assignments of roles to managers and certifiers. A manager can revise the assignments of roles to certifiers working under his direction. Either would use an overview page to do so.

1. Navigate to the overview page containing rows for the managers or certifiers whose assignments you want to change.
2. Select check boxes in the rows representing those people. Or, to select all rows, click the check box next to an Actions button.
3. Click Actions > Edit.
4. A Mass Assignment page opens, listing roles and their current managers and certifiers. Select one or more of these roles. (Use the Shift or Ctrl key to select continuous or discontinuous rows.)
5. Click Edit.
6. A Mass Assignment dialog opens. In a Manager field, click the Manager Assignment icon to open a list of users authorized as managers in the Security Assignment region of the Scoping Certification page. You can filter the list. Select one and click Apply.

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7. Back in the Mass Assignment dialog, click the Certifier Assignment icon in the Certifier field. This opens list of users authorized as certifiers in the Security Assignment region of the Scoping Certification page. You can filter the list. Select one and click Apply.

8. Back in the Mass Assignment dialog, click Apply. In the Mass Assignment page, the Manager and Certifier columns refresh to display the selections you've made.

9. Select Save and Close. Notifications are sent to the newly assigned managers and certifiers.

Send Email Reminders

Certification owners and managers can send email messages that remind users to complete certification tasks. There are two prewritten messages.

- The first is intended to be received by managers and certifiers. An owner can send it to either or both. A manager can send it only to the certifiers he or she manages.

- The second is intended to be received by direct managers, and is available only in certifications that involve direct managers. Both owners and managers can choose to send it.

Each message either reports the number of days remaining before certification tasks are due, or warns that the due date has passed. (The default wording of each message changes depending on when it's sent in relation to the certification due date.) The owner or manager who sends the message can edit the default wording. Recipients include only managers, certifiers, or direct managers who haven't already completed their tasks. Owners and managers can send these messages regardless of whether email notifications are activated in Setup and Administration.

While using Oracle Fusion Cloud Access Certifications (or any Oracle Fusion Cloud application) each user selects a language to work in. (See *Multiple-Language Support*.) The subject and body text for email reminders appear in the language selected by the owner or manager who sends them. All recipients of the reminders receive them in that language, no matter what languages they've selected.

To send email reminders:

1. In the Access Certifications page, locate the record of the certification for which you want to send reminders.

2. Expand its Actions menu and select Send Email Reminder. A Send Email Reminder page opens. It always presents the Manager-Certifier message. It presents the Direct Manager message only if the certification is one of the "with Direct Manager Review" types.

3. Ensure that checkboxes are selected only for the types of users to whom you want to send messages. Owners can select any combination of Manager, Certifier, and (if appropriate) Direct Manager. Managers can select Certifier and Direct Manager.

4. Review the subject and body of the messages you intend to send, and either accept the default wordings or edit the messages.

5. Click the Submit button.

Use the Certifier Worksheet

If you're a certifier, you use a worksheet to record your certification decisions about the roles you're tasked with reviewing. If you're an owner or a manager, you can open certifiers' worksheets to view their progress in completing certifications.

In either case, you can attach documents or write comments. Each attachment or comment applies to an individual role-user combination under review. You can also view audit histories of role-user combinations.

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To open a worksheet:

- If you're a certifier, locate the row for an active certification in the Access Certifications home page. In its Links cell, click Certifier Worksheet.

- If you're an owner or a manager, open your overview page from the Access Certifications home page. Then drill down to the worksheet for a certifier working under your direction.

Worksheet Format

At the top of the worksheet, three record counts update themselves as the certifier makes decisions. These include the number of user-role combinations selected for approval, the number selected for removal, and the number that remain pending.

A Details region provides this information:

- Fields supply the name of the certification, its type, its certification date (when it was initiated) and due date, and role counts. These include the number of roles to be certified, the number whose certifications are complete, and the number of user-role combinations whose certifications are complete. These counts also update themselves as the certifier makes decisions.

- An Owner field identifies the owner, if there's only one, or provides a drop-down list in which you can select among multiple owners. Hover over a selected owner's name so that a hidden icon appears, then click the icon to display a card with information about the owner.

- An Attachments field initially lists up to five files or URLs attached to the certification by the owner during initiation. If more than five items are attached, a Load More Items link appears. Click it to display more items, five per click until all are on display. Click the name of an attachment to open it. In this Details region, you can view documents, but you can't attach or remove them. (You can add attachments to individual user-role combinations. This is discussed below.)

In an Access Certifications region, a grid displays records to be reviewed by the certifier who owns the worksheet. Each row displays a role paired with one of the users it's assigned to. Each row also identifies the user's direct manager and includes values for up to six attributes the owner has selected.

- For a standard certification, all records are available at the moment the certification is initiated. No records are added over the life of the certification.

- For a continuous certification, the grid initially displays no records. Over time, it adds records of roles that are newly assigned to users after the certification becomes active.

- In either case, records enter the grid if they concern the assignment of roles to active users, not to inactive users. Once included in a certification, however, a user-role record remains even if the user's status subsequently changes from active to inactive.

Within the grid, you can hover over the name of a user so that a hidden icon appears. Then click the icon to display a card with information about this user.

Make Certification Decisions

Each user-role combination begins at a Pending status. This means no decision has yet been made about it. For any given combination, the certifier follows a review process defined by your organization, then updates the status to Approve, Remove, or Investigate. These values indicate that role assignments are certified, are rejected, or remain under investigation. Ultimately, the object is to select Approve or Remove for all user-role records in the worksheet.

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If a certification is of a type that allows direct managers to participate, a certifier worksheet contains records of user-role combinations that also appear in the My Team worksheets of any number of direct managers.

- Typically the certifier waits for direct managers to act, and if so, their decisions automatically update the certifier worksheet. In this case, the certifier is free to modify direct managers' decisions.

- Or, the certifier may act first on such records, for example if direct managers haven't yet responded as the certification deadline approaches. If so, corresponding records disappear from the direct managers' My Team worksheets.

Only the certifier responsible for a worksheet can update status in it:

1. In the worksheet, select a row representing a user-role combination. You may instead select any number of rows, using the Ctrl or Shift key to select discontinuous or continuous rows. Or, click a Select All check box to update all user-role combinations.
2. From an Actions menu, select the Approve, Remove, or Investigate option. These options are mutually exclusive; for any given record, a new selection overwrites an existing selection.

Fields identify the user who most recently updated a record, and the date that action occurred. These fields show values only when a certifier selects the Approve or Remove action. They show no value if the certifier selects the Investigate action, or changes Approve or Remove to Investigate.

Note that the Select All check box and the Approve, Remove, and Investigate actions are available only to the certifier responsible for the worksheet.

Filter Records in the Grid

You can filter the grid that displays user-role records. Click the Show Filters button to select among filtering parameters.

- The grid displays a maximum of 500 records, even if more records exist. If the grid is at its limit, you can apply filters to cause it to display records that aren't on display. For example, if you've selected the Approve or Remove action for all visible records, you can filter for pending records to see those remaining to be worked on.

- If an owner has selected user attributes for display in user-role records, you can use the Add Fields option to add these as filtering parameters. However, this option lists all possible attributes; be sure to select only those actually on display in the grid.
   - A user-attribute search uses a "contains" operator, returning all records with attribute values that contain a text string you search for. A record may include more than one value for a given attribute. You can search on any of them.
   - In general, an AND condition applies if you search on multiple attributes: the search returns records that satisfy all search criteria. But you can use the Add Fields feature to add an attribute more than once. In that case, an OR condition applies; each filter for that attribute returns records independently of the others.

- You can select either of two saved searches: One displays all user-role combinations, and the other displays only those that haven't yet been submitted. (Submission means that the certifier forwards records of certification decisions to the manager for review.)
   - For a standard certification, the default search returns unsubmitted records. However, this is academic: A certifier can submit records only after completing work on all of them (after deciding to approve or reject every one of them). So while the certifier is actively using his worksheet, all records are unsubmitted, and either search would return the same result.
   - For a continuous certification, the default search varies: After completing certification decisions for user-role combinations available at a given moment, a certifier may submit them. However, more may be added later. So at any point, the worksheet may or may not contain unsubmitted records. If the certifier

opens the worksheet when it contains only submitted records, it defaults to the all-record search. But if the worksheet contains any unsubmitted records, it defaults to the search that returns only unsubmitted records.

Attach Documents

Any user with access to a worksheet can attach items to it. An attachment may be a file (such as a text file or spreadsheet) or a website that documents or provides supporting information for decisions about individual user-role combinations.

You can attach items to only one row at a time, but you can attach as many items as you like. Select the row, then expand the Actions menu and select its Add Attachment option. An Attachments dialog opens; you can simply drag files to it and drop them there. Or you can complete this procedure:

1. Click the link in the Attachments dialog.
2. Click Add Link or Add File.
3. Depending on your selection:
   - Type, or copy and paste, a URL into an Add Link dialog box. Then select Save and Close. Repeat if you want to attach additional URLs.
   - In a file-upload dialog, navigate to and select the file you want. Then select Open. (The title of the dialog, and the name of the option you select to complete the attachment, may depend on the web browser you use.) Repeat if you want to attach additional files.

No matter whether you used the drag-and-drop method or selected items, click OK to close the Attachments dialog.

Once files are attached to a user-role combination, an icon appears in the Attachments cell of its row. To view the attachments, click the icon. The Attachments dialog opens, displaying up to five links to attachments. If there are more, a Load More Items link appears, and you can click it to display more attachment links, five per click until all are on display. Click the link for an attachment to open it.

Create or Review Comments

Any user with access to a worksheet can comment on its user-role combinations. Comments may, for example, either raise issues about, or defend, a certification decision.

1. Select a row representing the assignment of a role to a user. (You can write comments for only one row at a time.)
2. Expand the Actions menu and select its Add Comments option.
3. An Add Comments dialog opens. In it, type your comment.
4. Click OK.

Once comments exist for a user-role combination, an icon appears in the Comments cell of the row that represents it. To view the comments, click the icon. A comments window contains a grid that displays an abbreviated version of each comment. For any comment, click Expand to see the full comment. Click Add to write a new comment.

Review Audit History

For both standard and continuous certifications, anyone with access to a certifier worksheet can review a history of events pertaining to each of its user-role combinations. For example, the initial event for any user-role pair is "The user and role combination was discovered."

1. Select a row representing the assignment of a role to a user. (You can review audit history for only one row at a time.)

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2. Expand the Actions menu and select its Audit History option.

3. An Audit History dialog opens. Review its list of events. Each record includes a description of an event, the date and time it occurred, and the user associated with it.

4. Click Done to close the Audit History dialog.

Use the My Team Worksheet

If you're a direct manager, use the My Team worksheet to record certification recommendations about roles assigned to workers who report directly to you. You can work at either of two levels:

- The My Team worksheet lists users who both report to you and have role assignments that are under review in any number of certification projects. For each user, you can approve or reject all of that person's role assignments at once.

- From this page, you can select a user and drill down to a User Assignment page. It lists the roles assigned to the user you've selected, and you can approve or reject each assignment individually.

To open the My Team worksheet, select Risk Management > Access Certifications. If you're a direct manager of users, your landing page is the My Team worksheet. If you're an owner, manager, or certifier, your landing page is the Access Certifications page. In it, select the My Team tab.

Worksheet Formats

The My Team worksheet consists of a Certifications by Direct Reports region. It displays a row for each user under the supervision of the direct manager who's the focus of the page (in your case, you). In each row:

- A user-name value identifies the direct report. You can hover over the user name so that a hidden icon appears, then click the icon to display a card with information about that person.

- A bar graph is divided into color-coded segments representing the numbers of role assignments marked as Pending, Approve, Investigate, and Remove.

- A due-date value displays the due date for the certification in which the user's role assignments are being reviewed.

You can click a user's name to drill down to the User Assignment page. In it:

- The page header displays the selected user's name.

- An Employee's Information region displays the direct manager's (your) name as well as values for up to six attributes selected by the owner of the certification the user is associated with. These attributes may differ from one user to the next, because they may come from distinct certifications and have been chosen by distinct owners.

- A Directly Assigned Roles to Review region displays a row for each role whose assignment is under review. The row displays its role's current certification status and the due date of its certification.

Make Certification Recommendations

Your purpose is to update status for roles assigned to your direct reports. All role assignments begin at a Pending status. For each, you may select Investigate, meaning you're evaluating the assignment. But you must ultimately select Approve, meaning the role is to be certified, or Remove, meaning the role is to be taken from its user.

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In the My Team worksheet, you can select any number of users, then update status for all of them. For each, this action updates status for all the user's assignments that are under review.

1. Select check boxes in the rows representing the people whose status you want to update.
2. Expand the Actions menu and click the status you want to assign.

In a User Assignment page, you can update status for the selected user's role assignments individually:

1. In the Directly Assigned Roles to Review region, select check boxes in the rows representing the roles whose status you want to update.
2. Expand the Actions menu and click the status you want to assign.

In either case, you can create filters to search for users or roles you want to update. Click the Show Filters option to set filtering parameters.

Special Considerations for My Team Worksheets

Here are some things to keep in mind as you work:

- The statuses you select for role assignments in the My Team worksheet are recommendations. When you submit your status selections, they update certifier worksheets, where the certifiers can modify them. Certifiers may even use their worksheets to act on records before you do. If so, those records disappear from your worksheet.

- Role assignments may be added to the worksheet over time. This may be because records are generated from one or more continuous certifications, in which records are updated daily. Or, when records are already available in your worksheet, a new certification may be initiated, and it may include more role assignments for your direct reports.

- You can save your worksheet if you intend to continue reviewing role assignments in it. However, you must submit the worksheet by the earliest certification due date displayed in the My Team worksheet. To do this, you must select the Approve or Remove status for all roles assigned to all users in the worksheet, regardless of their due dates. Once you submit the worksheet, you no longer see the records it contained.

- The due date that comes from a continuous certification is always "immediate." A continuous certification may add records to the Manager Worksheet on a daily basis. When it does, you're expected to set all roles for all users to Approve or Remove status, and to submit the worksheet, on the same day.

- A direct report may appear in multiple certifications, each scoping distinct roles assigned to him. If so, your My Team worksheet contains a single row for that user, and it displays the earliest of the due dates configured for the certifications. That row drills down to a single User Assignment page that consolidates the user's role assignments. Its Employee's Information region displays values for the attributes selected for the most recent certification.

Certification Workflow

As direct managers, certifiers, and managers complete tasks, they pass their work along to users at the next level. The owner then must act to finalize the certification.

- When a direct manager completes a My Team worksheet, a Submit button becomes active. The direct manager clicks the button to transfer certification recommendations to corresponding records in certifier worksheets. "Complete" means the direct manager has selected the Approve or Remove status for all roles assigned to all

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users in the worksheet. As already noted, the worksheet may contain multiple due dates taken from multiple certifications, but the direct manager must submit the entire worksheet by the earliest of those due dates.

- When a certifier completes a worksheet, a Submit button becomes active. The certifier clicks the button to submit the worksheet for approval to its manager.

  - For a standard certification, "complete" means that the certifier has selected the Approve or Remove action for every user-role combination in the worksheet. The certifier submits the worksheet only once (unless the manager reopens it; see below).

  - For a continuous certification, "complete" means that the certifier has selected the Approve or Remove action for all user-role combinations existing at any given moment. But subsequent assignments of scoped roles to users may cause more user-role combinations to be added later. If so, the worksheet reopens. So the certifier may submit the worksheet multiple times.

    When a worksheet reopens, the certifier can both approve or reject the newly added role assignments, and modify decisions about previously submitted role assignments.

  If the Submit button doesn't become active when you think it should, check whether the certifier worksheet is filtered, and if so whether any hidden user-role combinations aren't yet at the Approve or Remove status. Once the worksheet is submitted, the Submit button becomes inactive, and remains in that state unless the worksheet is reopened.

- The overview page for a manager includes:

  - A Submit button. It becomes active only when all certifiers under that manager have submitted their worksheets. The manager may click the button to submit all the worksheets to the owner.

  - Reopen buttons. Each row representing a certifier's worksheet contains a Reopen button. It becomes active only when the certifier has submitted the worksheet for the manager's review. The manager may click the button in a row to cancel its certifier's submission and open that person's worksheet for revision.

    To challenge decisions in a continuous certification, a manager should reopen a worksheet the same day that the certifier submits it. Otherwise, the certifier's decisions take effect. A security administrator could act immediately on a decision to remove a role assignment. (In standard certifications, this timing factor doesn't apply because each certifier submits all certification decisions at once.)

- The overview page for an owner includes:

  - Reopen buttons. Each row representing a manager's roles contains a Reopen button. It becomes active only when the manager has submitted all the worksheets of the certifiers under that manager's direction. The owner may click the button in a row to cancel its manager's submission and open the worksheets for revision.

  - A Terminate Certification button. The owner may select this at any point to cancel the certification for any reason. However, a record of the terminated certification remains in the owner's overview page. Once a certification is terminated, all buttons are disabled and no one may do further work on the certification.

  - A Finalize Certification button. When the owner agrees with all certifiers and managers that all certification decisions are correct, he clicks this button to complete the certification. Once a certification is finalized, all buttons in the certification are disabled.

- A certifier's submission of a worksheet generates a notification to its manager, and a manager's submission of worksheets generates a notification to the owner. However, the reopening of a worksheet or a manager overview page doesn't generate a notification.

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