Oracle Risk Management Cloud
Using Access Certification

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Preface

This preface introduces information sources that can help you use the application.

Using Oracle Applications

Using Applications Help

Use help icons ? to access help in the application. If you don’t see any help icons on your page, click your user image or name in the global header and select Show Help Icons. Not all pages have help icons. You can also access Oracle Applications Help.

Watch: This video tutorial shows you how to find help and use help features.

You can also read Using Applications Help.

Additional Resources

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• Guides and Videos: Go to the Oracle Help Center to find guides and videos.

• Training: Take courses on Oracle Cloud from Oracle University.

Conventions

The following table explains the text conventions used in this guide.

<table>
<thead>
<tr>
<th>Convention</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>boldface</strong></td>
<td>Boldface type indicates user interface elements, navigation paths, or values you enter or select.</td>
</tr>
<tr>
<td><strong>monospace</strong></td>
<td>Monospace type indicates file, folder, and directory names, code examples, commands, and URLs.</td>
</tr>
<tr>
<td>&gt;</td>
<td>Greater than symbol separates elements in a navigation path.</td>
</tr>
</tbody>
</table>

Documentation Accessibility

For information about Oracle’s commitment to accessibility, visit the Oracle Accessibility Program website.

Videos included in this guide are provided as a media alternative for text-based help topics also available in this guide.
Contacting Oracle

Access to Oracle Support

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1 Introduction

Overview of Oracle Access Certification

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

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.

Access Certification users work at three levels:

- An administrator defines and initiates a certification project, and assumes overall responsibility for it.
- An owner 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 an owner's roles, the certifier evaluates the assignment of each role to each of its users.

To initiate a certification, an administrator:

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

Certifiers then review the assignments of the roles they have been tasked with certifying. The actual determination of whether a role is correctly assigned to a user is a human judgment. However, Access Certification 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 role-user pair is under investigation or, ultimately, approved or rejected.

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

As a certification proceeds, the people working on it may receive notifications. Each alerts its recipient to a task to be completed, or to a deadline that is approaching or has passed.

Access Certification belongs to Oracle Advanced Access Controls, an application that also implements models and controls that enforce segregation of duties in your applications. The segregation-of-duties features of Advanced Access Controls are documented separately in Oracle Risk Management Cloud: Using Advanced Access Controls.
Access Certification Use Cases

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

Quarterly Audits

One application of Access Certification is 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 administrator, 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 administrator 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 managers are responsible for making sure their roles are certified. So Lucy appoints her managers as owners in the Q1Y1 certification, assigning each the roles for which he or she’s responsible. She taps one of these, Susan, to own the roles involved in the Procure to Pay business process.

As she initiates the certification, Lucy also appoints certifiers who work under each owner. 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 owner 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 has 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 administrator. Lucy performs similar monitoring. Once all the owners 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 administrator 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

In Access Certification, 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 administrator 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 has the necessary security, he appoints himself as both owner and certifier, and initiates the certification.

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

As both the owner and the administrator, Jim performs the necessary actions to finalize the certification. He also generates the security removal report, sends it to the security administrator, 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 are not 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 owner and certifier.

This certification initially returns no results, because at the moment Jim initiates it there are not 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 has not 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 owner acts to reverse it. In this example, of course, Jim is the owner and so does not reverse his own decision. If a security administrator 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 has convened his meeting about the suspicious role, has determined that it should not exist, and so it is no longer available to be assigned to users. So the roles he is 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 owner and administrator, he performs the necessary actions to finalize the certification.
Predefined Access Certification Jobs

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

- Ensure the validity of administrator assignments to certifications. If any is invalid, replace it with an All Eligible Administrators value.
- Send notifications of certifications that are approaching their due dates or are past due.
- Update reporting tables with changes to administrator, owner, or certifier assignments.
- Update active continuous certifications with new assignments of scoped roles.

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

A second 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, which is available from the Related Links panel tab.

The Access Certification Home Page

No matter what type of user you are, you begin at the Access Certifications home page. It displays a grid listing the certifications you’re authorized to work on, providing summary information about each. The details you see depend on selections you make in a View Columns menu. The defaults, however, include name, due date, type (standard or continuous), percentage complete, and status.

If you’re an administrator, status may indicate the stage you have reached while initiating a certification. A Scoping status indicates you’re ready to create filters that select roles for the certification. A Finalizing status indicates that scoping is complete and you’re selecting owners and certifiers for the scoped roles.

Once initiation is complete, other statuses apply.

- Active: Work to review role-user pairs may proceed. At this status, the certification appears for the first time in the Access Certification page for owners and certifiers.
- Terminated: The administrator has abandoned the certification before its completion.
- Closed: The certification is complete, and the administrator has ended work on it. A standard certification is complete when all the user-role pairs discovered during initiation are at the approved or rejected status. A continuous certification is complete if all newly discovered user-role pairs are at the approved or rejected status when the administrator elects to close the certification.

In addition, the grid includes an Actions column and a Links column.

- The Actions column links to tasks administrators may complete:
  - Finalize Roles becomes available when scoping is complete, and enables the administrator to assign scoped roles to owners and certifiers.
  - Delete and Terminate actions 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 active certification; it leaves records of that certification on display, but doesn’t allow updates.
An Edit option enables the administrator to modify the certification. Before an initiation is complete, edit options are wide-ranging. You can, for example, work in the page to create or modify scoping filters. Once a certification reaches Active status, however, edit options are limited; at that point you can no longer change the scope of the certification.

- The Links column applies to owners and certifiers. Depending on the type of user you are, it provides a link to the owner overview page, the certifier worksheet, or both.

You see entries in both columns only if your roles combine both administrator and either owner or certifier duties. Otherwise, an administrator sees entries in the Actions column only, and owners or certifiers see entries in the Links column only.

Other features exclusive to administrators include:

- A Create option begins the process of initiating a new certification.
- The name of a certification is the link to its administrator overview page. This link becomes live only when initiation is complete and the certification becomes active.
- A Related Links panel tab provides links to pages for managing entitlements and monitoring jobs.

### User Attribute Selection

Administrators can select up to five attributes regarding the users whose role assignments are reviewed in a certification. The attributes available for selection correspond to fields available in the New Person work area of Human Capital Management.

The certifier worksheet displays the attribute values appropriate for each user-role record. Certifiers can use attribute values to filter the user-role records within the worksheet.

In certifier worksheets, records display the attribute values that were current when the 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 Configuration Options link in the Related Links panel tab. An Additional Attributes Options page opens.
2. Review any attribute selections that have already been made in a Displayed User’s Attributes section.
3. Click Edit.
4. Under Edit Displayed User’s Attributes, click the check boxes for up to five attributes. Or, clear already-selected check boxes for attributes you no longer want to use.
5. Click Save.
2 Initiate a Certification

Overview of Certification Initiation

To initiate a certification, you complete these tasks:

- You decide whether the certification is to be new or based on a previous one. If it’s new, you also decide whether it’s standard or continuous.
- You scope the certification: You 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.
- From the roles returned by the scoping job, you select roles to be included in the certification project. You also allot sets of those roles to certifiers who make judgments about whether each role is appropriate for each user assigned to it, and to owners who oversee the work of certifiers.

You can complete these tasks only if you have administrator privileges.

Start to Initiate a Certification

Your first decision in initiating a certification is whether to develop it from scratch or base it on an existing certification. You then name it, set a due date for it, and assign an administrator. If you create the certification from scratch, you select its type, standard or continuous. You can also attach documents to the certification.

In the Access Certifications home page, click Create. An Initiate Certification: General page opens. In that 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, select its type, and set a due date. You may add a description. By default, you’re the administrator of the certification, but you may select someone else.
- Select the Reuse Prior Certification Definition option. A list field presents certifications created by any administrator; select one of them. The name, description, type, and administrator are taken from the certification you select. You must modify the name and set a due date. You may retain or modify the description and administrator.

Select a Type

If you initiate a certification from scratch, select Standard or Continuous in the Type field. (If you base a certification on an earlier one, you can’t change the type you inherit from the earlier certification.)

- A standard 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.
- A continuous 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 role-user pairings to evaluate.
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.

Select an Administrator

If you choose to select a new administrator:

1. Click the User Assignment icon in the Administrator field.
2. In a User Assignment dialog, click the user name for the administrator you want to appoint. You may enter search text in an Eligible Users field, to reduce the list to users whose names start with matching text. An Eligible Users value represents a pool of users, any of whom can serve as an administrator.
3. Click Apply.

Attach Documents

An attachment may be a file (such as a text file or spreadsheet) or a web site that documents or provides supporting information for the certification. Attachments added by an administrator during initiation apply to the certification as a whole. Any user may view them in the Detail region of overview and worksheet pages the user has access to. To attach a document:

1. Click Add Attachments in the Attachments field of the General page.
2. In an Attachments dialog, select Add. A new row appears.
3. Select a Type, either Desktop File or URL.
4. If you selected Desktop File, click Browse to navigate to, and select, the file you want. If you selected URL, enter a URL in the File Name or URL field. In either case, compose a title and optionally enter a description.
5. To create additional attachments, repeat steps 2 through 4 for each attachment.
6. Click the OK button to leave the Attachments dialog.

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

Next Steps

If you’re the administrator, you may continue with the next phase of initiation, scoping. To do so, select the Save and Continue option. 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 have begun, and its status is Scoping.

If you have selected another administrator, that user must perform the scoping, so your only option is to select Save and Close. Once you do, you have no further access to the certification. It appears in the list on the Access Certifications home page for the administrator you designate, but not in your list.

Scope a Certification

Once work is completed in the General page, the administrator opens an Initiate Certification: Scoping Filters page to create filters that select roles for the certification project. 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.
You can scope only assignable roles: job, data, abstract, and other roles that can be assigned directly to users. Scoping filters do not 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.

If you haven’t gone straight to the Scoping Filters page from the General page, locate and click in the row representing the certification in the Access Certifications home page. Then select the Edit action. This opens the General page; select Save and Continue to move to the Scoping Filters page.

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 would 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.

In the Scoping Filters page, 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 Save, Run, and Close button. This returns focus to the Access Certifications home page. It also initiates a scoping job. You can check the status of that job in the Monitor Jobs page, which is available from the Related Links panel tab. 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 of Advanced Access Controls. 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. 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 icon in the Initiate Certification: Scoping Filters page. 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, click Search. A search dialog opens. In it, search for and select an access point or an entitlement. You can search by name or description. As you do so, you can enter a text string to find values that begin with that text string, and you can use the percent sign (%) as a wildcard.

An example: Assume that Accounts Payable Manager is a job role, and Cancel Payables Invoice is one of the privileges 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 Manage 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. These filters have an OR relationship to one another, however, so roles that seem to be excluded by one can be selected by others. Each condition filter acts independently of others.

For example, the pool of roles may include Accounts Payable Supervisor and Accounts Payable Manager. A condition filter that selects the Supervisor role would, by itself, exclude the Manager role. But a second condition filter can select the Manager role. As a result, both roles would be included in the certification project.

To create a condition filter:

1. Click the Add icon in the Initiate Certification: Scoping Filters page. A row appears.
2. In the Object field of that row, select Access Condition.
3. In the Attribute field, select Access Point. This is the only attribute available for a scoping condition.
4. In the Condition field, select one in a set of predefined conditions:
   - **Equals** or **Does not equal**: Select records of assignable roles that match, or don’t match, a value you select.
Contains or Does not contain: Select records of assignable roles whose names include, or don’t include, a text string you compose.

Matches any of or Matches none of: Select records of assignable roles 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. Depending on the condition you have selected, specify one or more roles, or a text string that a role name may or may not contain. The filter selects roles that satisfy the condition.

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.

An example: Assume you begin with a pool of roles that includes Accounts Payable Manager. In top-down scoping, it would be included automatically. In bottom-up scoping, it would have been returned by an access-point or entitlement filter:

- The condition filter Access Point Equals Accounts Payable Manager would select only that one role and would therefore exclude all others not selected by other condition filters.
- The condition filter Access Point Does not equal Accounts Payable Manager would exclude only that one role and so would include all others not excluded by other condition filters.

Entitlements in Access Certifications

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

Create or Edit an Entitlement

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 the Access Entitlement link in a Related Links panel tab. The tab is available in the Models page and the Controls page. It's also available in the Access Certifications page if you're a certification administrator.

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 and, optionally, a description.
Consider creating a naming convention to distinguish entitlements created for Access Certification from those created for use with Advanced Access Controls 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. 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.

**5. 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.

**6. Save the entitlement.**

**Related Topics**

- User-Defined Access Points

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**Finalize Roles**

When a scoping job for a certification reaches completion, you must select from the roles it returns, appoint owners 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 fifty or fewer roles. This limit does not 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 administrator. 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 are reusing. For these the Include column displays a New Role icon.

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 are not already included, and click the Include button. For each of these roles, the Include column then displays a check mark.
- You cannot 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 owners and certifiers:

1. Select rows representing Included roles whose assignments are to be reviewed by a particular owner 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 an Owner field, click the Owner Assignment icon to open a list of users with a job role that includes the owner duty role. You can filter the list. 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 with a job role that includes the certifier duty role. You can filter the list. Select one and click Apply.
5. Back in the Mass Assignment dialog, click Apply. In the Finalize Roles page, the Owner and Certifier columns refresh to display the selections you have made.
6. Continue making selections until every role included in the certification has an owner and a certifier. With each set of roles, you may reappoint a certifier or owner, so that a given certifier may work with any number of owners, or owner with any number of certifiers.

As you select owners 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 with rights to act as a certifier or owner. 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 owners and certifiers. Respond to a warning message 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. Owners and certifiers can now open the certification. They receive notifications that they have tasks to complete in the certification.
Edit a Certification

Before a certification is fully initiated, you can edit it: Change settings in its General page; delete, add, or modify filters in its Scoping Filters page; or reassign roles to owners and certifiers in its Finalize Roles page.

In the Access Certifications home page, locate the row for the certification you want to edit, and click Edit in its Actions menu. This takes you to its General page, where you may make changes and advance to the other pages.

You may also return from a page you’re working in to a previous one, to make changes. Click a Back button in the Scoping Filters page, or an Edit Definition button in the Finalize Roles page. For example, if the roles displayed in the Finalize Roles page aren’t those you expected, you can select the Edit Definition button to modify your scoping filters.

When you open the General page for editing, it displays three fields that aren’t present when you initially open the General page to create a certification. These are Days Until Due Date fields for each of the administrator, owner, and certifier user types. In each, enter a number of days before the certification due date when notifications of the due date are sent.

Once you click the Initiate button in the Finalize Roles page, you can still edit settings on the General page, but you can no longer modify settings in the Scoping Filters page or Finalize Roles page. Possible edits in the General page include reassigning the administrator; the new administrator receives a notification. Moreover, an administrator can reassign owners and certifiers, and owners can reassign certifiers, in the overview pages. Once again, new owners or certifiers receive notifications.
3 Certify Roles

Overview of Working with Certifications

Whether a role is appropriately assigned to a user is a decision made outside of Oracle Access Certification. You're free to determine your criteria for certifying role assignments. Among those criteria, for example, you may create controls in Advanced Access Controls. You may then require that the assignment of a role to a user can be certified only if it doesn’t violate access controls.

Access Certification enables certifiers to record their certification decisions in worksheets. It also enables owners and the administrator to review those decisions, and to manage certification projects, in overview pages. Any type of user may view documents attached to a certification during initiation. In worksheets they have access to, they may also attach documents to individual role-user pairs, and view them.

Use Overview Pages

If you’re an administrator or an owner, you use an overview page to monitor the progress of people under your direction. The administrator overview page lists the owners who participate in a certification project. An owner overview page lists the certifiers who work under the supervision of a given owner.

Open an overview page from the Access Certifications home page:

- If you’re an administrator, click the name of a certification at the Active status. (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 an owner, locate the row for an active certification. In its Links cell, click Owner Overview.

Overview Page Format

In each case, a Details region provides this information:

- Fields supply the name and description of the certification, its status, and its start, due, and closed dates.
- An Administrator field identifies the administrator. Hover over the administrator’s name so that a hidden icon appears, then click the icon to display a card with information about the administrator.
- An Attachments field lists the documents (if any) attached to the certification by the administrator during initiation. Click the name of a document to open it. While you can view documents in an overview page, you can’t attach new documents 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 pairs available for review in the certification.

For a continuous certification, this graph appears when the certification first discovers new user-role pairs to be evaluated.
In the Administrator Overview page, a Role Certification by Owner region displays a row for each owner who participates in the certification. In an Owner Overview page, a Role Certification by Certifier region displays a row for each certifier under the supervision the owner who’s the focus of the page. In each row:

- A user-name value identifies an owner (in the Administrator Overview page) or a certifier (in the Owner 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 pairs assigned to the owner 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 pairs assigned to the owner or certifier.

Drill Down to Other Pages

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

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

Reassign Owners and Certifiers

An administrator can revise the assignments of roles to owners and certifiers. An owner 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 owners or certifiers whose assignments you want to change.
2. Select the rows for those people. To select one, click that person’s row. To select a continuous set, click the first item, hold down the Shift key, and click the last. To select a discontinuous set, hold down the Ctrl key as you click items.
3. Click Edit.
4. A Mass Assignment page opens, listing roles and their current owners and certifiers. Select one or more of these roles.
5. Click Edit.
6. A Mass Assignment dialog opens. In an Owner field, click the Owner Assignment icon to open a list of users with a job role that includes the owner duty role. You can filter the list. Select one and click Apply.
7. Back in the Mass Assignment dialog, click the Certifier Assignment icon in the Certifier field. This opens list of users with a job role that includes the certifier duty role. 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 Owner and Certifier columns refresh to display the selections you have made.
9. Select Save and Close. Notifications are sent to the newly assigned owners and certifiers.
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 administrator or owner, you can open certifiers’ worksheets to view their progress in completing the certifications they have been assigned. In either case, you can attach documents or write comments. Each attachment or comment applies to an individual role-user pair under review. For a continuous certification, you can also view audit histories of role-user pairs.

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 administrator or an owner, 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

An unlabeled Details region provides this information:

- Fields supply the name of the certification, its 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 pairs whose certifications are complete. *Complete* means the certifier has recommended that every user-role pair be either approved or removed.
- An Administrator field identifies the administrator. Hover over the administrator’s name so that a hidden icon appears, then click the icon to display a card with information about the administrator.
- An Attachments field lists the documents (if any) the administrator attached to the certification while initiating it. Click the name of a document to open it. You can view documents, but cannot attach or remove documents, in this Details 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.

- 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.
Record Certification Decisions

Each user-role pair begins at a Pending status. This means the certifier hasn’t yet made any decision about the user-role pair. For any given user-role pair, the certifier follows a review process defined by your organization, then updates this status. Only the certifier responsible for a worksheet can update status in it:

1. In the worksheet, select a row representing a user-role pair. You may also select any number of pairs, using the Ctrl or Shift key to select discontinuous or continuous rows.
2. Select the Approve, Remove, or Investigate button to indicate that your selections are certified, are rejected, or remain under investigation. These options are mutually exclusive; a new selection overwrites an existing selection. Ultimately, your objective is to select Approve or Remove for all user-role records.

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 are not on display. For example, if you have 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 administrator 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 that are actually on display in the grid.
- You can select either of two saved searches: One displays all user-role pairs, and the other displays only those that haven’t yet been submitted. (Submission means that the certifier forwards records of certification decisions to the owner 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 pairs 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 documents to it. An attachment may be a file (such as a text file or spreadsheet) or a web site that documents or provides supporting information for decisions about individual user-role pairings.

1. Open the Attachments dialog: In a certifier worksheet you have access to, select a row representing the assignment of a role to a user. (You can attach documents to only one row at a time.) Then click the Add Attachment button.
2. In the Attachments dialog, select Add. A new row appears.
3. Select a Type, either Desktop File or URL.
4. If you selected Desktop File, click Browse to navigate to, and select, the file you want. If you selected URL, enter a URL in the File Name or URL field. In either case, compose a title and optionally enter a description.
5. To create additional attachments, repeat steps 2 through 4 for each attachment.
6. Click the OK button to leave the Attachments dialog.
Once files are attached to a user-role pairing, an icon appears in the Attachments cell of the row that represents that pairing. To view the attachments, click the icon. The Attachments dialog opens. In it, click the name of an attachment to open it.

**Create or Review Comments**

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

1. Open the Comments dialog: In a certifier worksheet you have access to, select a row representing the assignment of a role to a user. (You can write comments for only one row at a time.) Then click the Add Comments button.
2. An Add Comments dialog opens. In it, type your comment.
3. Click OK.

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

**Review Audit History**

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

1. In the worksheet for a continuous certification, select a row representing the assignment of a role to a user. (You can review audit history for only one row at a time.)
2. Click the Audit History button to open the Audit History dialog.
3. Review the 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.

The audit history feature doesn’t apply to standard certifications.

**Certification Workflow**

As certifiers and owners complete tasks in Access Certification, they pass their work along to users at the next level. The administrator then must act to finalize the certification.

- When a certifier completes a worksheet, a Submit button becomes active. The certifier clicks the button to submit the worksheet for approval to its owner.
  - For a standard certification, "complete" means that the certifier has selected the Approve or Remove action for every user-role pair in the worksheet. The certifier submits the worksheet only once (unless the owner reopens it; see below).
  - For a continuous certification, "complete" means that the certifier has selected the Approve or Remove action for all user-role pairs existing at any given moment. But subsequent assignments of scoped roles to users may cause more user-role pairs 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 pairs 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 an owner includes:
  - A Submit button. It becomes active only when all certifiers under that owner have submitted their worksheets. The owner may click the button to submit all the worksheets to the administrator.
  - 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 owner’s review. The owner 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, an owner 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 does not apply because each certifier submits all certification decisions at once.)

- The overview page for an administrator includes:
  - Reopen buttons. Each row representing an owner’s roles contains a Reopen button. It becomes active only when the owner has submitted all the worksheets of the certifiers under that owner’s direction. The administrator may click the button in a row to cancel its owner’s submission and open the worksheets for revision.
  - A Terminate Certification button. The administrator may select this at any point to cancel the certification for any reason. However, a record of the terminated certification remains in the administrator’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 administrator agrees with all certifiers and owners 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 owner, and an owner’s submission of worksheets generates a notification to the administrator. However, the reopening of a worksheet or an owner overview page doesn’t generate a notification.
Glossary

**access point**
A role or privilege that enables users to work with data in a business application. In an access model, a filter may select an access point and return users assigned that access point. In an access certification, a filter may select an access point and return assignable roles that are its hierarchical parents.

**administrator**
The person responsible for a certification. This person initiates a certification by selecting roles to be reviewed and owners and certifiers who review the assignments of those roles to users. This person also monitors the progress of owners and certifiers.

**advanced control**
A configured object that defines a risk, then analyzes business-application data to select records of transactions or access assignments showing evidence of that risk. An advanced control is developed from a model, but returns permanent results, which remain available to be resolved no matter how often the control is run.

**certifier**
A person assigned to review a set of roles in an access certification. This person determines whether the roles either are, or aren't, assigned appropriately to users.

**condition filter**
An Advanced Access Controls filter that defines an exclusion from analysis. It may exclude records from analysis by an access model or control, if it appears in that object. It may exclude records from analysis by all access models or controls if it appears in a global condition. Or it may exclude records from an access certification if it appears among the certification's scoping filters.

**entitlement**
A set of related access points. In an access model, one type of filter selects an entitlement and returns users assigned any access point in that entitlement. In a scoping job for an access certification, one type of filter selects an entitlement and returns every assignable role that's a parent of an access point in the entitlement.

**finalizing**
The process of assigning scoped roles to certifiers who review their assignments to users, and to owners who supervise certifiers.

**overview page**
The form an administrator or an owner uses to track the progress of people working under his or her direction to complete a certification.
**owner**
A person responsible for a set of roles within a certification. This person monitors the progress of certifiers, who review the assignments of those roles to users.

**privilege**
A specific feature the application can make available to users.

**role hierarchy**
A definition of parent-child relationships among roles. A parent role inherits functional access from the child roles in its hierarchy. For example, the hierarchy of a job role may include duty roles, and the hierarchy of a duty role may include more narrowly focused duty roles.

**scoping**
The process of creating filters that select roles to be included in an access certification.

**user-defined access point**
A specific path to a role or privilege. You may select that path as an access point in an access model. Whether the role or privilege is involved in access conflicts therefore depends on how the user can reach it.

**worksheet**
The form a certifier uses to record certification decisions about individual role-user pairs.