
PeopleSoft Enterprise Portal 9.1 Internal Controls Enforcer PeopleBook

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PeopleSoft Internal Controls Enforcer

Preface

This preface discusses:

- Oracle's PeopleSoft products.
- Pages with deferred processing.
- Related PeopleSoft PeopleBooks.

Note. This PeopleBook documents only page elements that require additional explanation. If a page element is not documented with the process or task in which it is used, then it either requires no additional explanation or is documented with the common elements for the section, chapter, or PeopleBook.

Oracle's PeopleSoft Products

This PeopleBook refers to these Oracle PeopleSoft products or product lines:

- Oracle's PeopleSoft Enterprise Financial Management.
- Oracle's PeopleSoft Enterprise Internal Controls Enforcer.
- Oracle's PeopleSoft Enterprise Portal.
- Oracle's JD Edwards EnterpriseOne.

Pages with Deferred Processing

Several pages in PeopleSoft Internal Controls Enforcer operate in deferred processing mode. Most fields on these pages are not updated or validated until you save data on the page or refresh the view by clicking a button, link, or tab. Delayed processing has various implications for the field values on the page. For example, if a field contains a default value, any value you enter before the system updates the page overrides the default. In addition, deferred processing pages display updated quantity balances or totals only when you save or otherwise refresh the page.

See the guidelines for designing pages in *Enterprise PeopleTools 8.50 PeopleBook: PeopleSoft Application Designer Developers Guide*

Related PeopleSoft PeopleBooks

In addition to the components described in this PeopleBook, PeopleSoft Internal Controls Enforcer requires Oracle's PeopleSoft Enterprise Portal, and uses the content management and system administration features of that application.

See *PeopleSoft Enterprise Portal 9.1 PeopleBook: Portal and Site Administration*

See *PeopleSoft Enterprise Portal 9.1 PeopleBook: Content Management*

See *PeopleSoft Enterprise Portal 9.1 PeopleBook: Using Portal Features*

PeopleBooks and the Online PeopleSoft Library

A companion PeopleBook called PeopleBooks and the Online PeopleSoft Library contains general information, including:

- Understanding the PeopleSoft online library and related documentation.
- How to send PeopleSoft documentation comments and suggestions to Oracle.
- How to access hosted PeopleBooks, downloadable HTML PeopleBooks, and downloadable PDF PeopleBooks as well as documentation updates.
- Understanding PeopleBook structure.
- Typographical conventions and visual cues used in PeopleBooks.
- ISO country codes and currency codes.
- PeopleBooks that are common across multiple applications.
- Common elements used in PeopleBooks.
- Navigating the PeopleBooks interface and searching the PeopleSoft online library.
- Displaying and printing screen shots and graphics in PeopleBooks.
- How to manage the PeopleSoft online library including full-text searching and configuring a reverse proxy server.
- Understanding documentation integration and how to integrate customized documentation into the library.
- Glossary of useful PeopleSoft terms that are used in PeopleBooks.

You can find this companion PeopleBook in your PeopleSoft online library.

Chapter 1

Getting Started with PeopleSoft Internal Controls Enforcer

This chapter provides an overview of PeopleSoft Internal Controls Enforcer and discusses:

- PeopleSoft Internal Controls Enforcer business processes.
- PeopleSoft Internal Controls Enforcer implementation.

PeopleSoft Internal Controls Enforcer Overview

PeopleSoft Internal Controls Enforcer enables your organization to manage the process of meeting the requirements of section 404 of the Sarbanes-Oxley Act. Using next-generation monitoring and diagnostic capabilities, your enterprise can reduce the cost of complying with the new regulations and the risk of unforeseen changes in internal controls. PeopleSoft Internal Controls Enforcer works in conjunction with other PeopleSoft Enterprise and JD Edwards EnterpriseOne corporate governance solutions from Oracle to make the entire compliance process repeatable and auditable, allowing you to focus on running your business.

The system includes:

- A single document repository and process automation to streamline ongoing compliance.

The repository consolidates information related to business processes, including policies and procedures, business process narratives, risk libraries, process maps, and benchmark metrics.

- Pre-built diagnostic tools to help enforce internal controls compliance.

These tools can test and monitor controls within Oracle's PeopleSoft Enterprise Financial Management 8.4, 8.8, and 8.9; Oracle's PeopleSoft Enterprise Performance Management 8.9 and 9; and Oracle's JD Edwards EnterpriseOne 8.9, 8.10, and 8.11 transaction systems and automatically alert process owners to configuration changes.

For example, the accounting manager can be notified if the PeopleSoft Enterprise Financial Management system is altered in such a way that a new individual is granted authorization to the One Time Vendor capability, or has been granted the authority to issue checks to a vendor that was not previously set up in the vendor master.

- Role-based dashboards that provide executives greater confidence in their internal controls by extending accountability throughout the organization.

Personalized dashboards provide real-time visibility into the status of internal control testing and risk exposure.

PeopleSoft Internal Controls Enforcer Business Processes

PeopleSoft Internal Controls Enforcer provides the business process Manage Sarbanes-Oxley Act Compliance.

We discuss these business processes in the business process chapters in this PeopleBook.

PeopleSoft Internal Controls Enforcer Implementation

PeopleSoft Setup Manager enables you to generate a list of setup tasks for your organization based on the features that you are implementing. The setup tasks include the components that you must set up, listed in the order in which you must enter data into the component tables, and links to the corresponding PeopleBook documentation.

PeopleSoft Internal Controls Enforcer also provides component interfaces to help you load data from your existing system into the PeopleSoft Internal Controls Enforcer tables. Use the Excel to Component Interface (Excel to CI) utility with the component interfaces to populate the tables.

This table lists all of the components that have Excel to CI component interfaces:

Component	Component Interface	References
Entity Definition	EPQ_ENTITY_DEFN_CI	See Chapter 5, "Defining Entities and Elements," Defining Entities, page 45.
Element Definition	EPQ_ELEM_DEFN_CI EPQ_ELEM_RANK_CI	See Chapter 5, "Defining Entities and Elements," Defining Elements, page 47.
Element Amount	EPQ_ELEM_AMT_CI	See Chapter 5, "Defining Entities and Elements," Entering Monetary Amounts for Financial Elements, page 49.
Control Definition	EPQ_CTRL_DEFN_CI	See Chapter 6, "Establishing the Risk Control Repository," Defining Controls, page 70.
Business Process Manager	EPQ_BP_DEFN_CI	See Chapter 7, "Defining Processes," Setting Up Business Processes and Subprocesses, page 77.
Risk Definition	EPQ_RISK_DEFN_CI	See Chapter 6, "Establishing the Risk Control Repository," Defining Risks, page 68.

Component	Component Interface	References
Test Plan Template	EPQ_TMPL_DEFN_CI	See Chapter 6, "Establishing the Risk Control Repository," Establishing Test Plan Templates, page 64.
Checklist Definition	EPQ_CHKLIST_DEF_CI	See Chapter 6, "Establishing the Risk Control Repository," Establishing Checklists, page 62.

Other Sources of Information

In the planning phase of your implementation, take advantage of all PeopleSoft sources of information, including the installation guides and troubleshooting information. A complete list of these resources appears in the preface in *About These PeopleBooks* with information about where to find the most current version of each.

Chapter 2

Understanding PeopleSoft Internal Controls Enforcer

This chapter introduces the main concepts in the PeopleSoft Internal Controls Enforcer system. It discusses:

- Internal controls management.
- Key terms.
- Key features.
- Security.

Internal Controls Management

PeopleSoft Internal Controls Enforcer enables organizations to meet the requirements of section 404 of the Sarbanes-Oxley Act, which requires the issuance of an annual Internal Controls Report that measures the effectiveness of controls that could have a material impact on financial statements. Section 404 requires management assessment and disclosure of internal controls effectiveness on an annual basis, and also requires external auditors to issue an opinion on the effectiveness of a company's internal controls.

Additionally, the application enables you to continuously track and monitor controls, and, optionally, certify their effectiveness at interim times throughout the year, to support certifications that are required for section 302 of the Sarbanes-Oxley Act.

The process of managing internal controls using PeopleSoft Internal Controls Enforcer includes the following major phases:

- Setting up the main components of the system, including:
 - Defining compliance projects.
 - Defining the major entities, such as business units, that make up your organization.
 - Defining the key financial elements that are exposed to risk and need to be monitored.
 - Establishing a centralized library of identified risks that need to be mitigated, the controls employed to mitigate those risks, and templates of the test plans that are used to determine the effectiveness of those controls.

This library is referred to as the risk control repository.

- (Optional) Associating diagnostics with controls.

Diagnostics enable you to track and monitor changes to system configurations that are identified as control points to mitigate risks in transaction systems that are external to the PeopleSoft Internal Controls Enforcer application, such as Oracle's PeopleSoft Enterprise Financial Management applications.

- Establishing the business processes and subprocesses that impact the defined key financial elements, specify which entities take part in those subprocesses, and identify the risks that are associated with those subprocesses.

Typically, key executives, managers, and officers within an organization need to determine the various objects within each of these main components.

- Creating the database records for each subprocess-entity combination and their associated risks by using an Application Engine process.

These records are referred to as "instances."

- At the instance level, maintaining and revising, if necessary, the process, subprocess, risk, control, and test plan template definitions.

At this point the management of controls shifts to the instance level. Controls are monitored and tracked independently by each entity-subprocess combination, and the status of the controls for every subprocess is maintained, with the goal of verifying that every control is proven to be effective so that each subprocess owner can confirm, using a sign-off worksheet, that the controls for the subprocess are in place and effective. Action plans and test plans can be initiated for unproven, missing, or ineffective controls to resolve any gaps that exist. The system provides tools to monitor controls, including pages that enable key individuals to view control status, view ineffective controls and unmitigated risks, and subsequently initiate action plans and test plans to ensure internal controls effectiveness. In addition, the system automatically sends email notifications to subprocess owners when changes in status occur.

- Creating and distributing sign-off sheets to certify the effectiveness of internal controls.

This can be done annually, or more often, if needed.

These features are covered in detail in the subsequent chapters of this documentation.

Key Terms

The following terms are used throughout this documentation.

Action plan	A project that you initiate to resolve ineffective or missing controls.
Benchmark	The certified version of a diagnostic report. This report contains the expected result values.
Business process	The main processes within an organization. They are logical groupings of subprocesses.
Checklist	A list of items that can be marked off as reviewed or completed, which are used when executing a test plan to ensure that policies and procedures have not been missed during testing. Checklists are defined independently by using the Checklist Definition page, then associated with a test plan template.
Compliance project	The highest level of organization in PeopleSoft Internal Controls Enforcer. A compliance project is a complete collection of all of the components necessary to perform compliance management tasks such as documentation, monitoring, and certification.
Control	A policy, procedure, or system configuration that mitigates a risk.
Diagnostic	A tool that tracks and monitors changes to a specific configuration on an external transaction system that serves as a control point to mitigate risks.
Diagnostic report	The set of data that is returned when a diagnostic is run.
Element	A discrete financial item, such as accounts payable, that has a significant impact on a company's financial statements.
Entity	An organizational unit for which Sarbanes-Oxley reporting is required. Typically a business unit.
Process instance	An entity's version of a business process or subprocess.
Instance	The database records for a particular subprocess-entity combination, including control instance, risk instance, and test template instance.
Risk	Something that threatens the integrity of a subprocess.
Subprocess	The level of business process at which risks and controls are tied and at which the first level of internal control certification is achieved. This is compared to a business process, which is simply a logical grouping of subprocesses. For example, the business process "Accounts Receivable" could include the subprocesses "Maintain Customer Master File" and "Manage Collections and Write-Off."
Test package	A collection of test plans that does not have any direct impact on controls. Test packages can be executed prior to sign-off generation and referenced later in the sign-off worksheets

Test plan Test plans are initiated to test unproven controls. There can be multiple active test plans at a time for a given control. The system can generate test plans automatically from test plan templates when sign-off sheets are generated, or by running the Test Plan Generation Application Engine process. You can also create test plans manually.

Test plan template A test plan template specifies the details for a test plan and its associated checklist. Test plan templates enable the system to automatically generate test plans when sign-off sheets are generated. Test plans that are created from a template will have the information that is specified in the template automatically filled in. You can associate one or more test plan templates with a control.

Key Features

The following table lists the key features of PeopleSoft Internal Controls Enforcer:

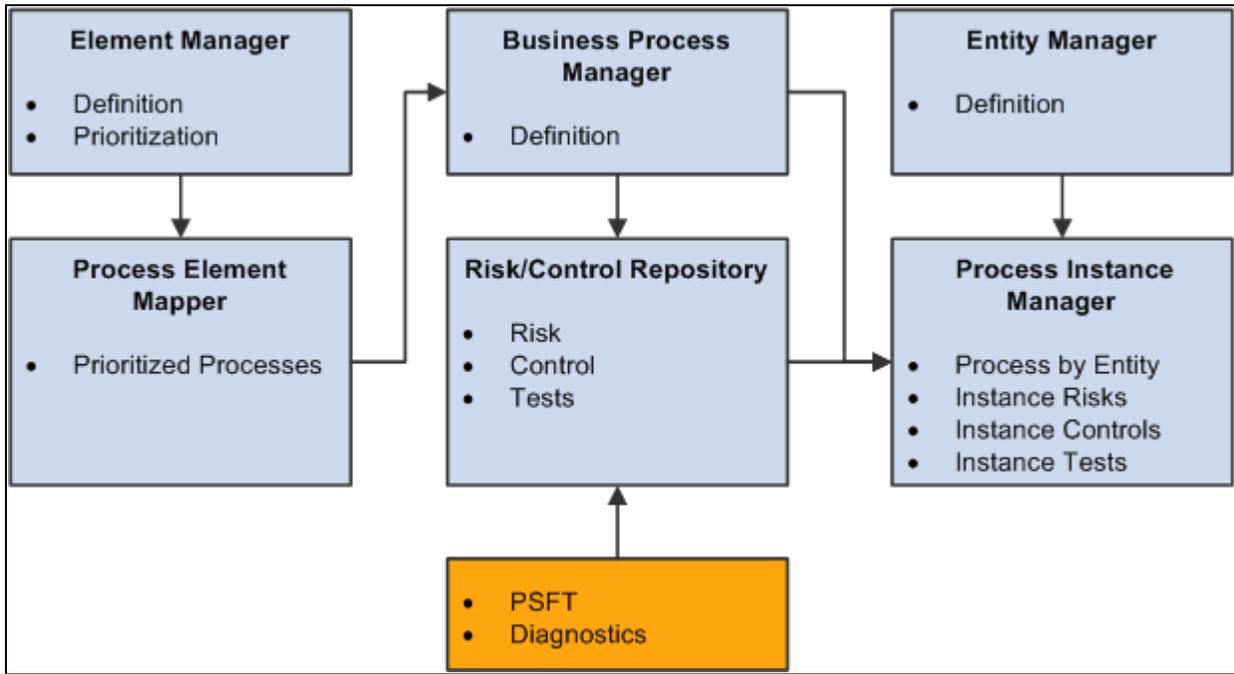
<i>Feature</i>	<i>Function</i>	<i>Main Objects</i>
Business Process Manager	Defines business processes and subprocesses, their associated risks, the elements that they affect, and their participating entities.	Business Process Manager component (EPQ_BP_DEFN).
Diagnostic Manager	<ul style="list-style-type: none"> Processes diagnostics, retrieving the data and generating the diagnostic reports. Reviews diagnostic reports and maintains benchmarks. 	<ul style="list-style-type: none"> Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH) and Diagnostic Data Feed page. Diagnostic Run Log page. Diagnostic Error XML page. Diagnostic Manager page. Diagnostic Reports by Control page. Diagnostic Report page. Diagnostics Comparison page. Diagnostic Reports By Control - Benchmark page. Diagnostics History page.

Feature	Function	Main Objects
Diagnostic Setup	Maintains definitions for diagnostics.	<ul style="list-style-type: none"> • Define Diagnostic Source Types page. • Define Diagnostic Source page. • Define Query Reference page. • Define Function Reference page. • Define Diagnostics page. • Define SQL Reference page.
Element Manager	Defines the financial elements for which risks must be mitigated.	<ul style="list-style-type: none"> • Element Definition component (EPQ_ELEM_DEFN). • Element Risk Category Definition page. • Element Risk Ranking Matrix page.
Entity Manager	Defines the organizational entities (business units) within your enterprise.	Entity Definition component (EPQ_ENTITY_DEFN).
Process Instance Generator	Generates entity-level process definitions (process instances).	Process Instance Generator Application Engine process (EPQ_INST_GEN).
Process Instance Manager	Maintains the entity-level definitions for processes and their associated risks, controls, and test plan templates.	<ul style="list-style-type: none"> • Process Instance Definition component (EPQ_BP_INSTANCE). • Risk Instance Definition page. • Control Instance Definition page. • Test Template Instance Definition page. • Change Manager component and Application Engine process (EPQ_CHG_MGR). • Work Assignment component (EPQ_WORK_ASSIGN).
Risk Control Repository	Defines the centralized library of risks, controls, test plan templates, and diagnostics.	<ul style="list-style-type: none"> • Risk Definition page. • Control Definition page. • Test Plan Template page. • Define Diagnostics page.

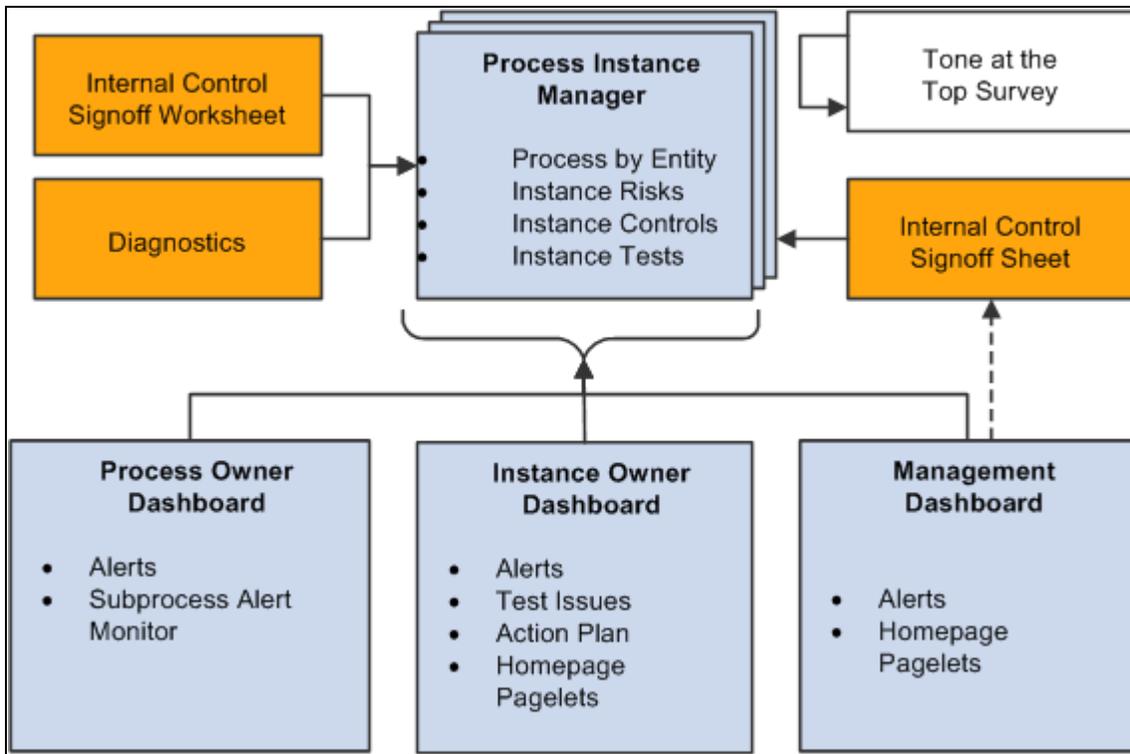
Feature	Function	Main Objects
Sign-Off Manager	Creates and distributes worksheets and sign-off sheets for the internal control certification process.	<ul style="list-style-type: none"> • Sign-Off Sheet Generator Application Engine process (EPQ_SO_GEN). • Sign-Off Sheet Generator page. • Sign-off Sheet Generation History page. • Internal Controls Sign-off Sheet Refresh page. • Internal Controls Sign-off Worksheet page. • Internal Controls Sign- Off page. • Schedule Sign-Off Generation page. • Schedule Sign-Off Refresh page.
Subprocess Manager	<p>Enables process owners to:</p> <ul style="list-style-type: none"> • View the current status of subprocess controls, generate and initiate test plans and action plans, and view associated diagnostics. • View all ineffective controls for a process instance, and the status of their associated test plans and action plans. 	<ul style="list-style-type: none"> • Unproven Control Monitor page. • Control Management page. • Action Plan page. • Test Plan page. • View Test/Action Plan page. • Test Plan Generation run control page. • Test Plan Package page. • Test Plan History page. • Action Plan History page. • Test/Action Plan Alert run control page.

Feature	Function	Main Objects
Pagelets	Dashboards that enable users to view the status of their business processes and controls.	<ul style="list-style-type: none"> • Not Signed Off by Entity pagelet. • Not Signed Off - Process pagelet. • Unmitigated Risks by Entity pagelet. • Ineffective Controls by Entity pagelet. • Internal Controls by Entity pagelet. • Unmitigated Risks - Process pagelet. • Ineffective Controls - Process pagelet. • Internal Controls by Business Process pagelet. • Business Process Status pagelet. • Report Business Conduct pagelet.
<p>Tone at the Top Survey</p> <p>Note. This feature is provided with the Enterprise Portal application.</p> <p><i>See PeopleSoft Enterprise Portal 9.1 PeopleBook: Using Portal Features</i></p>	Creates and distributes questionnaires, and enables you to review the responses.	<ul style="list-style-type: none"> • Distribution List page. • Response Type page. • Survey Setup page. • Survey page. • Survey Summary page. • Survey Summary - Recipients page. • Response Detail page. • User Response page.

The following diagrams depict the interdependencies that exist between the main setup features:



Relationship among setup features



Relationship among other features

Security

This section discusses:

- Row-level security.
- Delivered users and roles.

Row-Level Security

During implementation, you can establish whether to use row-level security to control who has access to compliance projects, entities, and business processes at the instance level. You can set up security so that access is limited based on ownership, or so that access is limited based on explicitly defined combinations of compliance projects, entities and processes. Entity owners, business process owners, and subprocess owners have access to those instances to which they are assigned as owners. You can grant additional access privileges by using PeopleSoft roles.

You establish security during the following phases of using the system:

- When you set up system-wide preferences.

This defines the level of security the system uses.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20.](#)

- After you establish compliance projects.

This establishes which compliance projects a role can access.

See [Chapter 4, "Establishing Compliance Projects," Defining Security for Compliance Projects, page 39.](#)

- After you define the business processes and subprocesses for a compliance project.

This establishes which process instances a role can access.

See [Chapter 8, "Generating and Maintaining Instances," Defining Role Security for Instances, page 92.](#)

Any changes you make to security do not take effect until the next time users logon to the system.

Delivered Users and Roles

PeopleSoft Internal Controls Enforcer provides and uses the following users and roles:

User	User Description	Role	Role Description	Permissions
PAPQ_ACTIONPLANOWNER	Enforcer Action Plan Owner	PAPQ_ACTION_PLAN_USER	Enforcer Action Plan Owner	Accesses PeopleSoft Internal Controls Enforcer as an action plan owner. Can update action plan information and has display-only access to subprocess information.
PAPQ_BUSPROCOWNER	Enforcer Bus Process Owner	PAPQ_BUS_PROC_USER	Enforcer Bus Process Owner	Accesses PeopleSoft Internal Controls Enforcer as a business process owner. Has full update access to all subprocess pages. Also can access business process oriented pagelets.
PAPQ_COMPLIANCEMANAGER	Enforcer Compliance Manager	PAPQ_COMPLIANCE_MANAGER	Enforcer Compliance Manager	Accesses PeopleSoft Internal Controls Enforcer with full update access to all pages except the General Preferences page.
PAPQ_ENTITYOWNER	Enforcer Entity Owner	PAPQ_ENTITY_USER	Enforcer Entity Owner	Accesses PeopleSoft Internal Controls Enforcer as an entity owner. Has full update access to all subprocess pages. Also can access entity and business process oriented pagelets.

User	User Description	Role	Role Description	Permissions
PAPQ_REVIEWER	Enforcer Reviewer	PAPQ_REVIEWER_USER	Enforcer Reviewer	Accesses PeopleSoft Internal Controls Enforcer as a reviewer. Can access most pages in update/display mode. Has full update access to comment pages.
PAPQ_SUBPROCESSOWNER	Enforcer Subprocess Owner	PAPQ_SUBPROCESS_USER	Enforcer Subprocess Owner	Accesses PeopleSoft Internal Controls Enforcer as a subprocess owner. Has full update access to all subprocess pages.
PAPQ_SYSADM	Enforcer System Administrator	PAPQ_SYSTEM_ADMIN	Enforcer System Administrator	Accesses PeopleSoft Internal Controls Enforcer with full update access to all pages, component interfaces, and web libraries.
PAPQ_TESTPLANOWNER	Enforcer Test Plan Owner	PAPQ_TEST_PLAN_USER	Enforcer Test Plan Owner	Accesses PeopleSoft Internal Controls Enforcer as a test plan owner. Has full update access to test plan information, and display-only access to subprocess information.

Chapter 3

Establishing Preferences

This chapter provides an overview of preference settings and discusses how to

- Set up preferences.
- Configure the Other Attribute fields.

Understanding Preference Settings

This section discusses:

- General preferences.
- User preferences.

General Preferences

General preferences are system-wide preferences that you establish when you implement the application. These preferences control several options that impact how the system operates, including:

- The level at which sign-offs take place and the manner in which they are processed.
- The currency that is used for entering monetary amounts on the Element Amounts page.
- The content management ID that is used for storing documents related to subprocesses.
- Several settings that are used when processing diagnostics.
- Whether to enforce security for compliance projects and process instances.
- Whether the Other Attribute fields, which are user-defined fields, are free-form text entry fields or fields that use list boxes.

Typically you do not change these settings once they are established.

The top category content management ID is delivered with the system. The following table lists the role members and privileges that are delivered with this category:

Role Name	Privileges
PAPP_SYSTEM_ADMIN	ADMINISTRATOR, AUTHOR, EXPERT

Role Name	Privileges
PAPQ_ACTION_PLAN_USER	VIEWER
PAPQ_BUS_PROC_USER	ADMINISTRATOR, AUTHOR
PAPQ_BUS_PROC_USER	AUTHOR
PAPQ_COMPLIANCE_MANAGER	ADMINISTRATOR, AUTHOR, EXPERT
PAPQ_ENTITY_USER	ADMINISTRATOR, AUTHOR
PAPQ_REVIEWER_USER	VIEWER
PAPQ_SUBPROCESS_USER	ADMINISTRATOR, AUTHOR
PAPQ_SYSTEM_ADMIN	ADMINISTRATOR, AUTHOR, EXPERT
PAPQ_TEST_PLAN_USER	VIEWER

User Preferences

User preferences are individually set by each user, based on the user ID that is entered at login. These settings establish which data a user automatically views when accessing various pages in the system and define preferences for PeopleSoft Internal Controls Enforcer pagelets.

The pagelet user preferences settings control the appearance of the PeopleSoft Internal Controls Enforcer pagelets, which enable individuals to monitor their own internal controls. Each user specifies which data to view and the order in which it appears. This limits the amount of data that the pagelets display, which makes the pagelets more visually appealing and easier to analyze. More importantly, these preferences enable each user to view the information that they consider to be most crucial.

Specifically, the pagelets display:

- The percentage of ineffective controls.
- The percentage of business processes that are not signed off.
- The percentage of unmitigated risk.

Pagelets are grouped into these categories:

- Those that show information by entity.
- Those that show information by business process.
- Those that show status information for a single business process.

Preferences are set independently for each category.

Setting Up Preferences

This section discusses how to:

- Establish general preferences.
- Establish default values.
- Establish pagelet user preferences for entities.
- Establish pagelet user preferences for business processes.
- Establish pagelet user preferences for status of a single business process.

Pages Used to Set Up Preferences

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Internal Controls Enforcer General Preferences	EPQ_GEN_PREFS	Internal Controls Enforcer, General Preferences	Set system-wide preferences.
Default Settings	EPQ_DFLT_SETTING	Internal Controls Enforcer, User Preferences, Default Settings	Specify the compliance project, process instance, trees, and setID that the system automatically uses on most pages. These are stored independently by each user.
Pagelet User Preference - Entity	EPQ_PGLT_PREF_ENT	Internal Controls Enforcer, User Preferences, Pagelet User Preference, Entity	Establish the entities that appear in pagelets for the current user.
Pagelet User Preference - Business Process	EPQ_PGLT_PREF_BP	Internal Controls Enforcer, User Preferences, Pagelet User Preference, Business Process	Establish the business processes that appear in pagelets for the current user.
Pagelet User Preference - Business Process Status	EPQ_PGLT_PREF_SNGL	Internal Controls Enforcer, User Preferences, Pagelet User Preference, Business Process Status	Specify the entity and business process to view in the Business Process Status pagelet, which shows the percentage of subprocesses within a business process that are not signed off, the percentage of ineffective controls, and the percentage of unmitigated risk for a single business process.

Page Name	Definition Name	Navigation	Usage
View My Access - Project	EPQ_VW_ACCESS_PROJ	Internal Controls Enforcer, User Preferences, View My Access, View My Access - Project	View the compliance projects that you have security to access.
View My Access - Instance	EPQ_VW_ACCESS_INST	Internal Controls Enforcer, User Preferences, View My Access, View My Access - Instance	View the process instances that you have security to access.

Establishing General Preferences

Access the Internal Controls Enforcer General Preferences page (Internal Controls Enforcer, General Preferences).

Internal Controls Enforcer General Preferences

Currency Code

Currency Codes are used within the Element Definition Feature of PeopleSoft's Internal Control Enforcer. The Currency Code specified here will be used by that feature.

*Currency Code: US Dollar

Folder ID

The Folder ID classifies documents in the PeopleSoft Content Management system. Select the appropriate ID under which all Subprocess documents will be stored in PeopleSoft's Content Management.

*Folder ID: Internal Controls Enforcer

Sign-Off Options

Subprocess sign off can be a one or two level process as specified here. A one level process will involve sign off by the subprocess owner only, while a two level process will require sign off by both the subprocess owner and the business process owner.

When sign-off auto lock is selected, users cannot refresh or cancel sign-off sheets after they are signed off.

*Sign-Off Level:

Sign-Off Auto-Lock

Diagnostic Setup Options

To run diagnostics, the system requires a valid Enterprise Portal userID and password with single signon access to the PeopleSoft FSCM database. Please enter this information in UserID and Password.

In Other option for N/A, indicate what the diagnostic report should return in the event that a field that was evaluated in a prior diagnostic run no longer exists.

UserID Other option for N/A

Password

Security Options

Check the boxes below to turn security checking on for Compliance Projects and Process Instances.

Compliance Project Security

Process Instance Security

Instance Generation Options

Check the box below to turn on deletion of contents before instance generation.

Delete Content

Other Attributes

Select whether to use free-text controls or listboxes for the Other Attribute fields.

Other attributes as free-text Other attributes as listboxes

Internal Controls Enforcer General Preferences page

Currency Code**Currency Code**

Select the currency code that represents the reporting base currency for your organization. All monetary amounts that you enter or view for the financial elements within your organization are considered to represent amounts in the currency that you specify for this field. The system does not perform any currency conversions.

Folder ID**Folder ID**

Select 980, which is the delivered content management top folder ID that is used for PeopleSoft Internal Controls Enforcer. The system uses this folder ID for storing subprocess documents. Any file attachments that you associate with a subprocess are associated with this folder ID.

Sign-Off Options**Sign-Off Level**

Specify the level at which sign offs are required. Options are:

Subprocess: Select to require sign offs only by subprocess owners.

Subprocess and Bus. Process: Select to require sign offs by both subprocess owners and business process owners.

Sign-Off Auto-Lock

Select to prevent modifications to generated sign-off sheets after they are signed off. When you select this option, users can't regenerate, refresh, or cancel sign-off sheets after sign-offs are complete.

Diagnostic Setup Options

These options are required only if you are implementing the delivered diagnostics that monitor control points in Oracle's PeopleSoft Enterprise Financial Management 8.8 or 8.4 databases.

UserID and Password

Enter a user ID and associated password that has single signon access to the PeopleSoft Enterprise Financial Management 8.8 or 8.4 database. When processing diagnostics, the system uses these field values to access the database if your authentication has expired.

Other option for N/A

Enter the value that the diagnostic report should contain if a field is no longer available but was present in a prior run. If you do not specify a value, then the system uses N/A for this situation by default.

Security Options**Compliance Project Security**

Select to enforce security for compliance projects.

Process Instance Security Select to enforce security for process instances.

Instance Generation Options

Delete Content This check box controls how the system manages documents that are stored with existing process instances when you run the Process Instance Generator Application Engine process (EPQ_INST_GEN).

Select this option to delete all existing instance-level documents when you run the Process Instance Generator process. Consequently, process instances will contain *only* the documents that are currently defined at the risk control repository level.

Clear this option to retain all existing instance-level documents when you run the Process Instance Generator process. Any new documents that have been added to the risk control repository will be copied to the process instance definitions, and existing process instance documents will be retained.

Other Attributes

Select one of the following radio buttons to control the format of the Other Attribute fields.

Other attributes as free-text Configures the Other Attribute fields as fields that are populated by entering free-form text. This is the default setting.

Other attributes as listboxes Configures the Other Attribute fields as fields that are populated by selecting from a list of valid values. If you select this option, use the Other Attributes Setup component to establish the values for the Other Attribute fields.

See [Chapter 3, "Establishing Preferences," Configuring the Other Attribute Fields, page 27.](#)

Establishing Default Values

Access the Default Settings page (Internal Controls Enforcer, User Preferences, Default Settings).

Default Settings

Select the default Compliance Project, Process Instance, Trees, and SetID you want to work with below. Click [View My Access](#) to view the Compliance Projects and Process Instances that you can access.

[View My Access](#)

Compliance Project:	<input type="text" value="PROJ1"/>	
		Compliance Project 1
Entity:	<input type="text" value="US003"/>	
		US003 CALIFORNIA OPS
Subprocess:	<input type="text" value="PROCESS_AP"/>	
		Process Accounts Payable
Entity Tree:	<input type="text"/>	
Business Process Tree:	<input type="text"/>	
SetID:	<input type="text"/>	

Default Settings page

For any of these fields, select the values that you want the system to automatically use when you access a page.

SetID is used for setup-related pages, the remaining fields are used for the pages that you use to view instances.

View My Access Click to review the compliance projects and instances to which you have been granted access.

Establishing Pagelet User Preferences for Entities

Access the Pagelet User Preference - Entity page (Internal Controls Enforcer, User Preferences, Pagelet User Preference, Entity).

Pagelet User Preference - Entity

Compliance Project: Compliance Project 1

Entities selected are displayed in the pagelets. All Entities in the Compliance Project, including those not selected, will be viewable from a "Show All" link in each pagelet.

Pagelet Preference			
Customize Find View All First 1-7 of 7 Last			
Entity ID	Description	Order	Pagelet Display
US001	US001 NEW YORK OPS	<input type="text" value="2"/>	<input checked="" type="checkbox"/>
US003	US003 CALIFORNIA OPS	<input type="text" value="1"/>	<input checked="" type="checkbox"/>
US004	US004 ILLINOIS OPS	<input type="text" value="3"/>	<input checked="" type="checkbox"/>
US005	US005 FLORIDA OPS	<input type="text" value="4"/>	<input checked="" type="checkbox"/>
US006	US006 OREGON OPS	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
10000	World Wide Consolidation	<input type="text"/>	<input type="checkbox"/>
US002	US002 MASSACHUSETTS OPERATIONS	<input type="text"/>	<input type="checkbox"/>

Pagelet User Preference - Entity page

- Compliance Project** Select the compliance project for which to view entities.
- Entity ID and Description** Displays the list of entities that you can include in the pagelets that display information by entity. Only entities with subprocess instances that are currently active and are included in sign offs appear. If a new entity is added that meets those requirements, the system automatically includes it in the list of selectable entities, but you must select the Pagelet Display check box for it to appear on the pagelets.
- Order** Enter an integer to indicate a specific order by which to display the entity on pagelets. This field is optional. The system first displays objects without a specified order (in alphabetical order based on their description), then displays the remaining objects in ascending order based on their value in the Order field. If two objects have the same order value, then the system displays them in alphabetical order, based on their description.
- Pagelet Display** Select to include the entity on the pagelets.

Note. If you select more entities than a pagelet is able to display due to size limitations, the system may hide some of the labels on the chart. However, you can still click a bar to view the details for that entity.

Establishing Pagelet User Preferences for Business Processes

Access the Pagelet User Preference - Business Process page (Internal Controls Enforcer, User Preferences, Pagelet User Preference, Business Process).

Pagelet User Preference - Business Process

Compliance Project: Compliance Project 1

Entity ID: US003 CALIFORNIA OPS

Business Processes selected are displayed in the pagelets. All Business Processes in the Compliance Project, including those not selected, will be viewable from a "Show All" link in each pagelet.

Pagelet Preference			
Business Process	Description	Order	Pagelet Display
FIN_CLOSE	Financial Statement Close	3	<input checked="" type="checkbox"/>
ACCOUNTS_RECEIVABL	Accounts Receivable	2	<input checked="" type="checkbox"/>
ACCOUNTS_PAYABLE	Accounts Payable	1	<input checked="" type="checkbox"/>

Pagelet User Preference - Business Process page

- Compliance Project** Select the compliance project for which to view business processes.
- Entity ID** Select the entity for which you want to view information in the pagelets that show information by business processes. You can only select entities that have subprocess instances that are currently active and are included in sign offs. The entity you select determines which business processes appear in the Pagelet Preference grid.
- Business Process and Description** Displays the list of business processes that you can include in the pagelets that display information by business process.
- Order** Enter an integer to indicate a specific order by which to display the business processes on pagelets. This field is optional. The system first displays objects without a specified order (in alphabetical order based on their description), then displays the remaining objects in ascending order based on their value in the Order field. If two objects have the same order value, then the system displays them in alphabetical order, based on their description.
- Pagelet Display** Select to include the business process on the pagelets.

Note. If you select more business processes than the pagelet is able to display due to size limitations, the system may hide some of the labels on the chart. However, you can still click a bar to view the details for a business process.

If you select a different entity, the grid is refreshed with that entity's business processes, and by default, all of them have the Pagelet Display check box selected. Clear the Pagelet Display check box for any business processes that you do not want to appear in the pagelets, and use the Order field to reorder them, if necessary.

Establishing Pagelet User Preferences for Status of a Single Business Process

Access the Pagelet User Preference - Business Process Status page (Internal Controls Enforcer, User Preferences, Pagelet User Preference, Business Process Status).

Pagelet User Preference - Business Process Status

Select a Business Process for viewing in pagelet "Business Process Status". This pagelet will display percentages of sign offs, ineffective controls, and unmitigated risks for a single Business Process.

Compliance Project:  Compliance Project 1

Entity:  US004 ILLINOIS OPS

Business Process:  Financial Statement Close

Pagelet User Preference - Business Process Status page

Compliance Project	Select the compliance project for which to view status of a single business process.
Entity	Select the entity for which to view status of a single business process. You can only select entities that have subprocess instances that are currently active and are included in sign offs.
Business Process	Select the business process to view in the Business Process Status pagelet. The metrics that appear in the pagelet summarize the data for all the subprocesses within the selected business process.

Configuring the Other Attribute Fields

This section provides an overview of the Other Attributes field structure and discusses how to set up the Other Attributes fields.

Understanding the Other Attributes Fields

The system includes several fields, which we refer to as "other attributes" fields, that are provided for storing additional attributes that are applicable to your implementation. No processing logic is associated with these fields; as delivered they are informational only. These fields appear within the Other Attributes group box on the definition pages for master and instance level processes, risks, controls, and test plan templates, as well as on the action plan and test plan pages. These fields can be configured as list boxes or free-form text, depending on the option you select on the Internal Controls Enforcer General Preferences page. Because these fields are keyed by setID, you can either have a common set of other attribute fields for your organization, or define them differently for each compliance project, depending on how you define your setIDs and record groups.

When you configure these fields as list boxes, you use the Other Attributes page, as described in the following section, to establish the valid values that are available for these fields. The valid values are established by the attribute group category with which they are associated, namely business process, risk, control, test, or action. For each attribute group, a total of six fields are available; Attribute 1 through Attribute 6, respectively. The following table lists the objects for which these fields are available by the attribute group they are associated with, and the pages on which they appear.

Attribute Group	Associated Objects	Page
Business Process	Process Process Instance	Business Process Manager - Process Definition page Process Instance Definition - Process Definition page
Risk	Risk Risk Instance	Risk Definition page Risk Instance Definition page
Control	Control Control Instance	Control Definition page Control Instance Definition page
Test Plan	Test Plan Template Test Template Instance Test Plan	Test Plan Template page Test Template Instance Definition page Test Plan page
Action Plan	Action Plan	Action Plan page

The labels that are used for these fields are derived from message catalog definitions. You can change the field labels by modifying the text for the associated messages. The message catalog items are within message set number 18145. The following table list the range of message numbers used for each attribute group category. Information on modifying message catalog definitions is available in your PeopleTools documentation.

Attribute Group	Message Number Range
Business Process	1301 – 1306
Risk	1307 – 1312
Control	1313 – 1318

Attribute Group	Message Number Range
Test Plan	1319 – 1324
Action Plan	1325 – 1330

See *Enterprise PeopleTools 8.50 PeopleBook: PeopleSoft Application Designer Developers Guide*

Page Used to Configure the Other Attribute Fields

Page Name	Definition Name	Navigation	Usage
Other Attributes Setup	EPQ_ATTR_SETUP	Internal Controls Enforcer, Master Setup, General Setup, Other Attributes	Define the list box values for the Other Attributes fields.

Setting up Other Attributes Fields

Access the Other Attribute Setup page, specifying the setID and Attribute Group (Internal Controls Enforcer, Master Setup, General Setup, Other Attributes).

Other Attribute Setup page

Attribute 1, Attribute 2, Attribute 3, Attribute 4, Attribute 5, Attribute 6 Click a tab to define the valid values for each Other Attribute field.

Attribute Name Insert rows and enter a field value to define the list of valid values for this field.

Active Flag Select this check box to activate this field value. Clear this check box to inactivate this field value and prevent it from appearing in the list of valid values.

Note. A warning message appears if you inactivate a row by clearing the active flag, or if you delete a row, whether or not the values are currently being used.

Chapter 4

Establishing Compliance Projects

This chapter provides an overview of compliance projects and tableset sharing and discusses how to:

- Implement tableset sharing.
- Establish compliance projects.

Understanding Compliance Projects and Tableset Sharing

This section discusses:

- Compliance projects.
- Data relationships.
- Record groups.
- Tableset sharing.

Compliance Projects

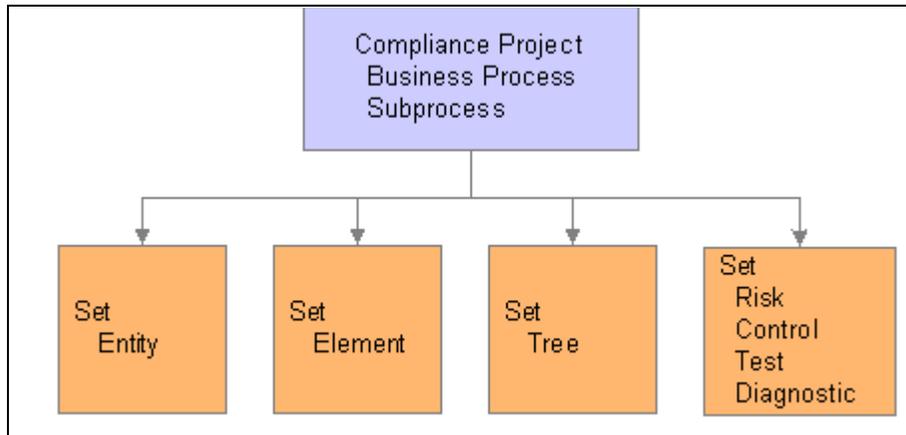
A compliance project is the highest level of organization with the PeopleSoft Internal Controls Enforcer application. When you use the system, there are several tasks that require you to specify the compliance project for which to perform the task, including:

- Defining business processes and subprocesses.
- Creating and maintaining process instances.
- Processing diagnostics.
- Monitoring and testing controls.
- Performing controls testing
- Generating sign-off sheets.
- Monitoring sign-off status.

Every compliance project has its own set of business processes and subprocesses. However, the data for entities, elements, trees, and the risk control repository can be shared. During implementation, you control whether to share data among compliance projects by using tableset sharing.

Data Relationships

When you define a compliance project, you associate it with a default setID. This controls which sets of database records the compliance project uses. The following diagram shows the relationship between a compliance project's business processes and subprocesses and the sets of data that it can access when the system generates process instances.



Set relationships

Each of the sets, including any tree views, is delivered in a record group. The compliance project is automatically linked to a record group for each set using the setID you associate with the compliance project when you create it.

For example, consider three compliance projects with the following project IDs: PROJ1, PROJ2, and PROJ3. PROJ1 is mapped to each of the record groups by the SHARE setID. Likewise, PROJ2 is mapped to each of the record groups by the SHARE setID. In contrast, PROJ3 is mapped to each of the record groups by the setID US003. As a result PROJ1 and PROJ2 share the same sets of data for elements, entities, risks, controls, tests, and diagnostics. PROJ3 uses a different set of data, and does not share any data with PROJ1 or PROJ2.

Record Groups

A record group is a set of functionally or logically related records or views. A record group can contain a single record or view, or it can contain many records and views. Record groups are delivered as part of the PeopleSoft system and should not be altered. Record groups ensure that tableset sharing is applied consistently across all related tables and views in the system.

PeopleSoft Internal Controls Enforcer uses the following records groups:

Record Group ID	Data Type
EPQ01	Entity Records
EPQ02	Risk Control Repository Records Includes risks, controls, tests, and diagnostics.
EPQ03	Element Records

<i>Record Group ID</i>	<i>Data Type</i>
EPQ04	Tree Records

Tablesets, SetIDs, and Set Control Values

A tableset is a group of control table rows identified by the same setID. SetIDs are the labels that the system uses to identify tablesets. You can have as many setIDs as you like, but the more you have, the more complex tableset sharing becomes. You always have the same number of setIDs as tablesets. SetIDs are established using PeopleTools. You must establish them prior to defining a compliance project.

Set control values specify the setID that each record group uses. In the PeopleSoft Internal Controls Enforcer application, a compliance project ID is the set control value. The setID field is used as a high-level key for database records that can be shared, such as elements or entities in the case of PeopleSoft Internal Controls Enforcer. These setIDs identify groups of tables to share and enable you to identify whether a compliance project uses shared data for any record groups.

Tableset Sharing

With tableset sharing, you can specify the control table data that the system uses for each compliance project. If much of the control table data is the same for each project, tableset sharing enables you to share that information, instead of having to enter the same data multiple times.

To understand how this works in the PeopleSoft system, consider what happens when a user makes a selection from the available options. The list that appears contains all of the valid entries that can be entered in the field based on the relevant compliance project.

This series of questions outlines the online process that occurs:

1. What compliance project are we working in?
2. What table controls data for this field?
3. What record group is that table in?
4. What tableset ID is assigned to that record group for this compliance project?
5. What rows in that control table are keyed by tableset ID (setID).

Note. Record groups and setIDs for a set control value have a one-to-one relationship.

Implementing Tableset Sharing

This section provides an overview of tableset sharing implementation and discusses how to:

- Create tableset IDs.
- Review record groups.

- Adjust tableset sharing for record groups.
- Adjust tableset sharing by using trees.

Pages Used to Implement Tableset Sharing

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
TableSet ID	SETID_TABLE	PeopleTools, Utilities, Administration, TableSet IDs	Create SetIDs.
Record Group	REC_GROUP_TABLE	PeopleTools, Utilities, Administration, Record Group	Review record groups to see which tables and views are included in each record group in the system. Record groups are predefined for the system.
TableSet Control - Record Group	SET_CNTRL_TABLE1	PeopleTools, Utilities, Administration, TableSet Control, Record Group	Adjust tableset sharing for record groups. Tableset sharing is active as soon as you create compliance projects; however, you adjust tableset sharing by changing the tableset IDs that are assigned to individual record groups.

Creating Tableset IDs

Access the TableSet ID page (PeopleTools, Utilities, Administration, TableSet IDs).

TableSet ID

SetID:

Description:

Short Description:

Comments:

TableSet ID page

Note. SetIDs should be five characters in length for optimal system performance.

SetID Displays the setID.

For clarity, you might create one setID (also known as a tableset ID) for key information that is generic throughout the system, and create other setIDs to match the compliance projects with which they are used.

Adjusting Tableset Sharing for Record Groups

Access the TableSet Control - Record Group page (PeopleTools, Utilities, Administration, TableSet Control, Record Group).

The screenshot displays the 'TableSet Control - Record Group' page. At the top, there are tabs for 'Record Group' and 'Tree'. Below the tabs, the 'Set Control Value' is set to 'COMMN'. A search bar for 'SetID' is visible, with the '*Default SetID' set to 'COMMN' and the label 'Common'. The main section is a table titled 'Record Group Control' with columns: 'Record Group ID', 'Description', '*SetID', and 'Short Description'. The table contains seven rows of data, all with the SetID 'COMMN' and Short Description 'Common'. Each row has '+' and '-' icons on the right side. The table also includes navigation controls like 'First', '1-7 of 7', and 'Last'.

Record Group ID	Description	*SetID	Short Description
CCM01	Catalog Management Records	COMMN	Common
EOCF01	Record Group for AAF	COMMN	Common
EPQ01	Enforcer Entity Records	COMMN	Common
EPQ02	Enforcer Repository Records	COMMN	Common
EPQ03	Enforcer Element Records	COMMN	Common
EPQ04	Enforcer Tree Records	COMMN	Common
TPM01	Partner Management Records	COMMN	Common

TableSet Control - Record Group page

Set ID

Default SetID

Select the setID that the system assigns automatically as the set control value for each record group. The default value for this field is the set control value.

Record Group Control

SetID

For each record group ID, select the setID to use. The system automatically uses the Default SetID for each record group, but you can override this value to use a different set of records for a particular record group.

Establishing Compliance Projects

This section provides an overview of the methods for creating compliance projects and discusses how to:

- Define compliance projects.
- Copy compliance projects
- Define security for compliance projects.

Understanding Compliance Project Creation Methods

You can create compliance projects by using either of the following methods:

- Define it from scratch.
- Create it by copying an existing compliance project.

To define a compliance project from scratch, you use the Compliance Project Definition (EPQ_COMPLPROJ_DEFN) component, specifying the project ID, description, and default setID.

To create a compliance project by copying an existing project, you run the Compliance Project Copy Application Engine process (EPQ_COPY_PRJ). This process copies the following data from the master risk control repository of the existing project to the new project:

- Business processes and subprocesses
- Risks
- Controls
- Diagnostics
- Entities
- Elements

The system also creates the portal content management folders for each business processes. Optionally, the process can copy security-related information and content management documents from the existing project to the new project. The system uses the setID relationships from the existing project by default, but you have the option to specify different setIDs.

Note. The system does *not* copy instance-level definitions, run control information, diagnostic results, or user preferences.

Only the current effective-dated rows are copied. The system uses the run date as the date for all effective-dated rows in the new project.

Prerequisites

Before you define a compliance project, you must define and configure the setID that you will associate with the compliance project.

Pages Used to Establish Compliance Projects

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Compliance Project Definition	EPQ_COMPLPROJ_DEFN	Internal Controls Enforcer, Master Setup, Compliance Project Definition	Define compliance projects and associate with a setID.
Copy Compliance Project	EPQ_COPY_RUN	Internal Controls Enforcer, Master Setup, Copy Compliance Project	Create a new compliance project by copying an existing compliance project.
Compliance Project Security	EPQ_COMPLPRJ_SEC	Internal Controls Enforcer, Master Setup, Security Setup, Compliance Project Security	Define which compliance projects a user can access, based on the role they are associated with.

Defining Compliance Projects

Access the Compliance Project Definition page (Internal Controls Enforcer, Master Setup, Compliance Project Definition).

Compliance Project Definition

Compliance Project: CP05

Compliance Project

*Description: Sarb-Ox 2005

*Short Description: SO2005

*Default SetID: COMMN

Compliance Project Definition page

Compliance Project Enter a five-character identifier for the compliance project.

- Description and Short Description** Enter descriptions for the compliance project.
- Default SetID** Select the setID that the system uses automatically when defining or viewing the objects associated with this compliance project. You can override this setID, if necessary. This field is available only when you add a new compliance project.
- Create Project** Click to create the compliance project and associated database objects. This button is available only when you add a new compliance project.

Copying Compliance Projects

Access the Copy Compliance Project page (Internal Controls Enforcer, Master Setup, Copy Compliance Project).

Copy Compliance Project

Run Control ID: **IMPORT** [Report Manager](#) [Process Monitor](#) Run

Process Information

*Copy From Compliance Project: Compliance Project 1

*Copy To Compliance Project:

*Description:

Copy Compliance Security

Copy Content Management

Assign New SetID Customize Find First 1-4 of 4 Last				
Record Group ID	Description	SetID	*New SetID	
1 EPQ01	Enforcer Entity Records	COMMN	COMMN	
2 EPQ02	Enforcer Repository Records	COMMN	COMMN	
3 EPQ03	Enforcer Element Records	COMMN	COMMN	
4 EPQ04	Enforcer Tree Records	COMMN	COMMN	

Copy Compliance Project page

- Copy From Compliance Project** Select the compliance project to copy.
- Copy To Compliance Project** Enter the ID for the new compliance project.
- Description** Enter the description for the new compliance project.

Copy Compliance Security	Select this check box to copy security information from the existing project to the new project.
Copy Content Management	Select this check box to copy content management documents from the existing project to the new project.
Run	Click to run the Compliance Project Copy process.

Assign New SetID

This grid lists the setIDs for each record group for the compliance project that is being copied, and enables you to change them for the new project.

New SetID	To change the setID that is used for a record group in the new project, specify a different setID. You can either select an existing setID, or enter the new project ID as the value for the setID. If you enter the new project ID as the setID, the system automatically creates the setID if it does not already exist.
------------------	--

Defining Security for Compliance Projects

Access the Compliance Project Security page (Internal Controls Enforcer, Master Setup, Security Setup, Compliance Project Security).

Compliance Project Security

Role Name: PAPQ_ACTION_PLAN_USER Enforcer Action Plan Owner

Access Type: All Compliance Projects Listed Compliance Projects

Compliance Project Security		Customize	Find	View All	First	1 of 1	Last
Compliance Project	Description						
PROJ1	Compliance Project 1						

Compliance Project Security page

Role Name	Specify the role name for which to define compliance project security.
Access Type	Specify how to assign security to this role. Options are: All Compliance Projects. Select to allow this role to access all compliance projects. Listed Compliance Projects. Select to list the compliance projects that this role can access. When you select this option, you must also complete the Compliance Project Security grid.

Compliance Project Select the compliance projects that this role is able to access. This field is unavailable if the Access Type is set to All Compliance Projects.

Note. Project security is enforced at only the instance level (including the instance generation batch process). It is not enforced at the master level.

Chapter 5

Defining Entities and Elements

This chapter provides an overview of entities, elements, and risk exposure rankings and discusses how to establish entities and elements.

Understanding Entities, Elements, and Risk Exposure Rankings

This section discusses:

- Entities.
- Elements.
- Element risk rankings.
- Overall element risk.

Entities

Entities in PeopleSoft Internal Controls Enforcer represent organizational units from your enterprise's reporting or operational structure, such as business units, or regions. Entities are a critical component of PeopleSoft Internal Controls Enforcer, as they are the level at which risk exposure is monitored. Each entity is associated with an owner, who receives notifications when their subprocesses are signed off.

Elements

Elements represent the discrete financial elements that have a significant impact on a company's financial statements, such as accounts payable. Typically, elements are the line items or accounts that are included on a balance sheet or income statement. PeopleSoft Internal Controls Enforcer enables you to monitor the controls that are implemented to mitigate the risks associated with business processes that have a material impact on these elements.

Element Risk Rankings

When you define an element, you specify its relative level of risk exposure—either low, medium, or high—for five element risk categories. These categories identify the different types of risk to which an element is susceptible. Each element risk category is assigned a relative level of importance compared to the other element risk categories—either low, medium, or high. The element risk categories are delivered as system data; the only modifications that you can make to them are to change the descriptions or relative importance, or inactivate a given category, making it irrelevant when computing the overall risk ranking.

The delivered element risk categories are:

Category ID	Description	Importance
1	Materiality	Low
2	Account balance subjectivity	Low
3	Loss or fraud susceptibility	Low
4	Complexity of calculation	Low
5	Volatility	Low

Overall Element Risk

The system uses the numeric equivalent of each element risk category's relative importance, in conjunction with an element's relative risk exposure ranking for each element risk category, to calculate an overall risk ranking for each element. You can either use the system's calculated overall risk ranking for an element, or override the calculated value by manually specifying the overall risk. The system uses the overall risk ranking to identify the most critical (riskiest) elements in the system. Also, the overall risk ranking can help you prioritize the business processes that are associated with those elements, and determine whether to include them in the internal control sign-off process.

The calculation that the system uses to compute the overall score for an element, which is a weighted average, is:

$$\text{Overall Score} = \frac{\sum [(Element Risk Category Ranking numeric equivalent) \times (Importance Ranking numeric equivalent)]}{\sum (Importance Ranking numeric equivalents)}$$

Only active element risk categories are included in the calculation.

The overall score result is assigned a ranking of low, medium, or high, based on this scale:

Overall Score Result	Assigned Ranking
< 1.5	<i>Low</i>
≥ 1.5 and < 2.5	<i>Medium</i>

Overall Score Result	Assigned Ranking
≥ 2.5	<i>High</i>

The numeric equivalents for the Importance and Risk Category fields are:

Numeric Equivalents for Importance Ranking	Numeric Equivalents for Risk Category Ranking
Low = 1	Low = 1
Medium = 2	Medium = 2
High = 3	High = 3

Example

This example shows how the overall risk ranking is calculated, assuming that the element has been assigned the importance and ranking values for each of the element risk categories as listed in this table; the numeric equivalents appear in parentheses:

Element Risk Category	Importance	Ranking	Calculation	Results
Materiality	<i>Low</i> (1)	<i>Low</i> (1)	1×1	1
Account balance subjectivity	<i>Low</i> (1)	<i>Medium</i> (2)	1×2	2
Loss or fraud susceptibility	<i>Low</i> (1)	<i>High</i> (3)	1×3	3
Complexity of calculation	<i>Low</i> (1)	<i>Low</i> (1)	1×1	1
Volatility	<i>Low</i> (1)	<i>High</i> (3)	1×3	3
Totals	5			10
Calculation	$10 \div 5$			
Resulting score	2			
Assigned ranking	<i>Medium</i>			

Establishing Entities and Elements

To define entities and financial elements, use the Entity Definition (EPQ_ENTITY_DEFN) and Element Definition (EPQ_ELEM_DEFN) components. Use the EPQ_ENTITY_DEFN_CI component interface to load data into the tables for the Entity Definition component. Use the EPQ_ELEM_DEFN_CI and EPQ_ELEM_RANK_CI component interfaces to load data into the tables for the Element Definition component. To enter monetary amounts for financial elements, use the Element Amount Definition component (EPQ_ELEM_AMT). Use the EPQ_ELEM_AMT_CI component interface to load data into the tables for this component.

This section discusses how to:

- Define entities.
- Define element risk categories.
- Define elements.
- Rank element risk.
- Enter monetary amounts for financial elements.
- Review element risk rankings.

Pages Used to Establish Entities and Elements

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Entity Definition	EPQ_ENTITY_DEFN	Internal Controls Enforcer, Master Setup, Entity Definition	Establish entities.
Element Risk Category Definition	EPQ_ELEM_RSKCAT	Internal Controls Enforcer, Master Setup, General Setup, Element Risk Categories	Review or modify risk categories for financial elements. These categories are delivered as system data. You can modify the Description field or delete an entire element risk category, but you can't add additional categories.
Element Definition	EPQ_ELEM_DEFN	Internal Controls Enforcer, Master Setup, Element Manager, Element Definition, Element Definition	Establish financial elements.
Risk Ranking	EPQ_ELEM_RSKRANK	Internal Controls Enforcer, Master Setup, Element Manager, Element Definition, Risk Ranking	Rank an element's exposure level for each risk category and establish its overall risk ranking.

Page Name	Definition Name	Navigation	Usage
Element Amount Definition	EPQ_ELEM_AMOUNT	Internal Controls Enforcer, Master Setup, Element Manager, Element Amounts	Enter monetary amounts for financial elements as of a specific date. These amounts are manually maintained and are not system-derived.
Element Risk Ranking Matrix	EPQ_ELEM_RANKMATRX	Internal Controls Enforcer, Master Setup, Element Manager, Element Risk Ranking Matrix	Review element risk rankings.

Defining Entities

Access the Entity Definition page (Internal Controls Enforcer, Master Setup, Entity Definition).

Entity Definition

SetID: **COMMN** Entity ID: **US001**

Entity Definition Detail Find | View All | First 1 of 1 | Last

*Effective Date: *Effective Status:

*Description:

Long Description:

*Entity Owner: PAPQ_ENTITYOWNER 1

Business Unit:

Last Update Date/Time: 05/04/04 8:51:13AM Last Update User ID: VP1

Entity Definition page

Entity Owner

Specify the user ID of the person primarily responsible for this entity. This person receives notifications when the entity definition is saved, informing them that the entity is assigned to them. Other circumstances also trigger notifications to the entity owner, including:

- When the entity is reassigned to a different owner.
- When a subprocess sign-off sheet has been signed off.

Note. If you change the owner ID for an existing entity, and subprocess instances for that entity have already been generated, there is an impact to the PeopleSoft Enterprise Portal content management records, as the workgroup category already exists for that owner. The system adds the new owner ID as an administrator to the workgroup and all child workgroups. The previous owner retains membership to the workgroup in case they have checked out content. A content management administrator can manually remove the old entity owner.

Business Unit

Enter the business unit that is associated with this entity. The diagnostics tool uses this field to map entities to business units within the PeopleSoft Financials database. If you leave this field blank, the diagnostics tool uses the entity ID as the business unit.

Defining Element Risk Categories

Access the Element Risk Category Definition page (Internal Controls Enforcer, Master Setup, General Setup, Element Risk Categories).

The screenshot displays the 'Element Risk Category Definition' page. At the top, the title 'Element Risk Category Definition' is shown in blue. Below the title, 'Category ID 1' is displayed. A 'Category Detail' table is visible, containing the following information:

*Effective Date:	01/01/1900	*Effective Status:	Active
*Description:	Materiality		
*Importance:	Low		

At the bottom of the page, the following update information is shown:

Last Update Date/Time: 02/24/04 9:38:47AM Last Update User ID: VP1

Element Risk Category Definition page

Category ID

Displays the identifier of the risk category. Category IDs 1, 2, 3, 4, and 5 are delivered with the system.

You can't add new category IDs; however, you can modify the description or importance for a category ID, or change its effective status.

Effective Date and Effective Status

Enter the date on which these element risk category settings take effect, and the effective status as of that date.

If your organization determines that one of the delivered element risk categories is not applicable to your implementation, then you must change its status to *Inactive* to disable it, because you can't delete element risk categories.

Description

Displays the description of the element risk category. This appears in the Risk Ranking grid in the Element Definition component.

Importance

Specify the relative importance of this risk category. Options are:

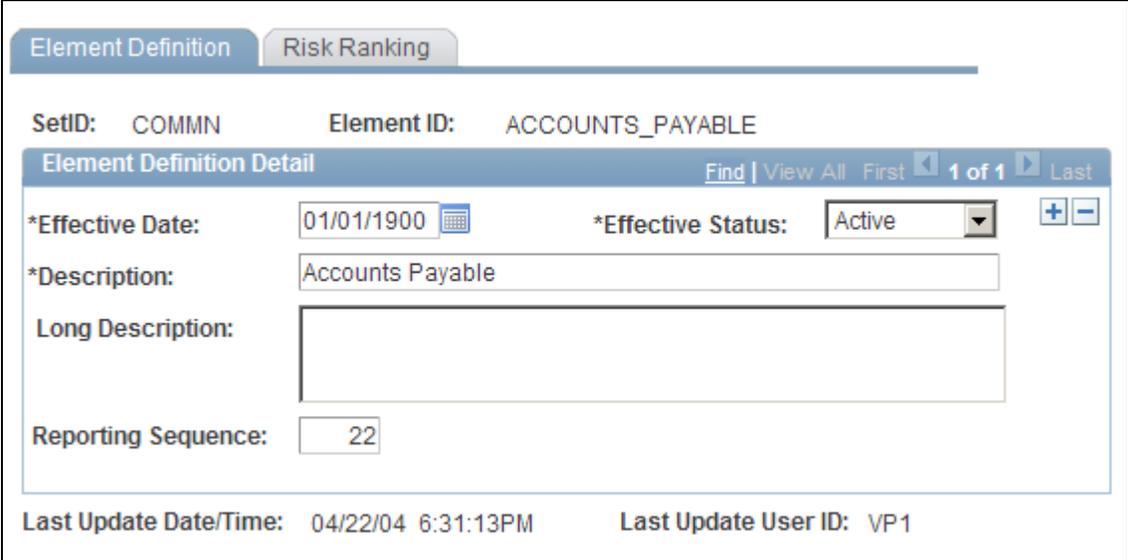
Low: Select for categories that your organization considers least important. The numeric equivalent for low is 1.

Medium: Select for categories that your organization considers moderately important. The numeric equivalent for medium is 2.

High: Select for categories that your organization considers very important. The numeric equivalent for high is 3.

Defining Elements

Access the Element Definition page (Internal Controls Enforcer, Master Setup, Element Manager, Element Definition, Element Definition).



The screenshot shows the 'Element Definition' page for 'Risk Ranking'. At the top, there are tabs for 'Element Definition' and 'Risk Ranking'. Below the tabs, the 'SetID' is 'COMMN' and the 'Element ID' is 'ACCOUNTS_PAYABLE'. The main section is titled 'Element Definition Detail' and contains the following fields:

- *Effective Date: 01/01/1900 (with a calendar icon)
- *Effective Status: Active (with a dropdown arrow and +/- buttons)
- *Description: Accounts Payable
- Long Description: (empty text area)
- Reporting Sequence: 22

At the bottom of the form, it shows 'Last Update Date/Time: 04/22/04 6:31:13PM' and 'Last Update User ID: VP1'.

Element Definition page

Element ID and Description

Specify the identifier and enter the element description.

Reporting Sequence

Enter a numeric value to control the order in which the element appears on the Element Risk Ranking Matrix and Element Amount Definition pages. The system displays elements in ascending order based on the value that you enter for this field, with lower numbers appearing first. If two elements use the same reporting sequence number, the system groups the information by element ID. To allow for additions and possible reordering at a later time, it is recommended that you leave gaps in the sequence numbers that you assign.

Ranking Element Risk

Access the Risk Ranking page (Internal Controls Enforcer, Master Setup, Element Manager, Element Definition, Risk Ranking).

Element Definition | Risk Ranking

SetID: COMMN Element ID: ACCOUNTS_PAYABLE

Element Risk Ranking Find | View All First 1 of 1 Last

Effective Date: 01/01/1900 Effective Status: Active Comments + -

Description: Accounts Payable

Risk Category Ranking Detail				
Category	Description	Status	Importance	*Ranking
1	Materiality	Active	Low	High
2	Account balance subjectivity	Active	Low	Medium
3	Loss or fraud susceptibility	Active	Low	High
4	Complexity of calculation	Active	Low	High
5	Volatility	Active	Low	High

Calculated Overall Ranking: High Recalculate

Overall Ranking Override: []

Last Update Date/Time: 04/22/04 6:31:13PM Last Update User ID: VP1

Risk Ranking page

Use the Risk Category Ranking Detail grid to rank an element's risk exposure level for each element risk category. The system uses these rankings to determine the calculated overall ranking for this element, which ultimately enables you to define the importance of the business processes that impact this element.

Comments

Click to access the Element Comments page, where you can enter information about the element ranking.

Category	Displays the category ID for the risk category. Click an ID to access the Risk Category Definition page, where you can review the details for that risk category.
Description	Displays the risk category description.
Status	Lists the current status of the risk category. You can only rank elements against active risk categories.
Importance	Lists the current importance level of the risk category, which is defined for each category by using the Risk Category Definition page.
Ranking	Select the relative risk exposure of this element for each active risk category. Values are: <i>Low</i> , <i>Medium</i> , and <i>High</i> . The system uses these rankings to determine the overall risk ranking for the element.
Calculated Overall Ranking	Lists the overall risk ranking for the element, which the system determines by considering the relative importance of each risk category and its associated ranking.
Recalculate	Click to recompute the overall ranking for the element. If you change the rankings of any of the risk categories, you must click this button to see the updated overall ranking for the element.
Overall Ranking Override	<p>To specify a risk ranking value for this element instead of using the system-calculated overall ranking, select a value for this field. Values are: <i>Low</i>, <i>Medium</i>, and <i>High</i>.</p> <p>To use the system-calculated ranking, leave this field blank; this is the default value for this field.</p>

Entering Monetary Amounts for Financial Elements

Access the Element Amount Definition page (Internal Controls Enforcer, Master Setup, Element Manager, Element Amounts).

Element Amount Definition		
SetID: COMMN	As Of Date: 01/01/1900	Currency: USD
Element Amount Detail		
Financial Element	Sequence	Amount
Cash & Cash Equivalents	10000	\$94,135,410.00
Trade Receivables	12000	\$68,103,776.00
Allowance for Doubtful Acct's	12010	\$-2,670,913.00
Other Rec - Product Rebates	12030	\$1,917,275.00
Other Recvabl - Service Rebate	12040	\$1,130,525.00
Other Rec - Miscellaneous	12050	\$5,124,081.00
Inventory - Equipment	13000	\$64,820,718.00
Inventory - Parts	13010	\$9,266,283.00
Inventory - Suppliss	13020	\$6,911,925.00
Inventory Discounts	13030	\$2,210,168.00

Last Update Date/Time: 06/02/06 9:45:48AM Last Update User ID: VP1

Element Amount Definition page

<financial element description>

Click to access the Element Definition page for the financial element, where you can review the details of the financial element.

Sequence

Displays the reporting sequence for the financial element, which is defined on the Element Definition page.

Amount

Enter the monetary amount from the most recently published financial statements for each element as of the specified date. These amounts appear on the Element Risk Ranking Matrix page.

The currency for which amounts are entered is established by using the Internal Controls Enforcer General Preferences page.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20.](#)

Reviewing Element Risk Rankings

Access the Element Risk Ranking Matrix page (Internal Controls Enforcer, Master Setup, Element Manager, Element Risk Ranking Matrix).

Element Risk Ranking Matrix

SetID: **COMMN** Currency: **USD**

Element Risk Rankings								
Financial Element	Sequence	Amount As Of 1900-01-01	Materiality	Account balance subjectivity	Loss or fraud susceptibility	Complexity of calculation	Volatility	Overall Risk Ranking
Cash & Cash Equivalents	10000	\$11,342,994.00	Low	Low	Medium	Low	Low	Low
Trade Receivables	12000	\$68,103,776.00	High	Low	Medium	Low	Low	Medium
Allowance for Doubtful Acct's	12010	\$2,670,913.00	Low	High	Medium	Low	Low	Medium
Other Recievables - Cycle Accr	12020		Low	High	Medium	High	High	Medium
Other Rec - Product Rebates	12030	\$1,917,275.00	Low	High	Low	Medium	Low	Medium
Other Recvabl - Service Rebate	12040	\$1,130,525.00	Low	Low	Low	Low	Low	Low
Other Rec - Miscellaneous	12050	\$5,124,081.00	Low	Medium	Low	Low	Medium	Low
Inventory - Equipment	13000	\$64,820,718.00	Low	Medium	High	Low	Medium	Low
Inventory - Parts	13010	\$9,266,283.00	Low	Medium	Low	High	Medium	Low
Inventory - Suppliees	13020	\$6,911,925.00	Low	Medium	Low	High	Medium	Low

** Override Ranking

Element Risk Ranking Matrix page

The Element Risk Rankings grid displays the financial elements sorted by reporting sequence number, with their associated monetary value, their risk rankings for each active risk category, and their overall risk ranking.

If asterisks appear for an overall risk ranking, it indicates that the ranking was manually entered for that financial element, instead of using the system-calculated rank.

<financial element description>

Click this option to access the Element Definition page for that element, where you can review the element's definition.

Return to Search

Click this option to enter a different setID for which to view the element risk ranking matrix.

Refresh

Click this option to update the matrix using the most current values.

Chapter 6

Establishing the Risk Control Repository

This chapter provides an overview of the risk control repository, lists common elements, and discusses how to:

- Establish various risk and control categories.
- Establish checklists, template attributes, and test plan templates
- Establish risks and controls.

Understanding the Risk Control Repository

This section discusses:

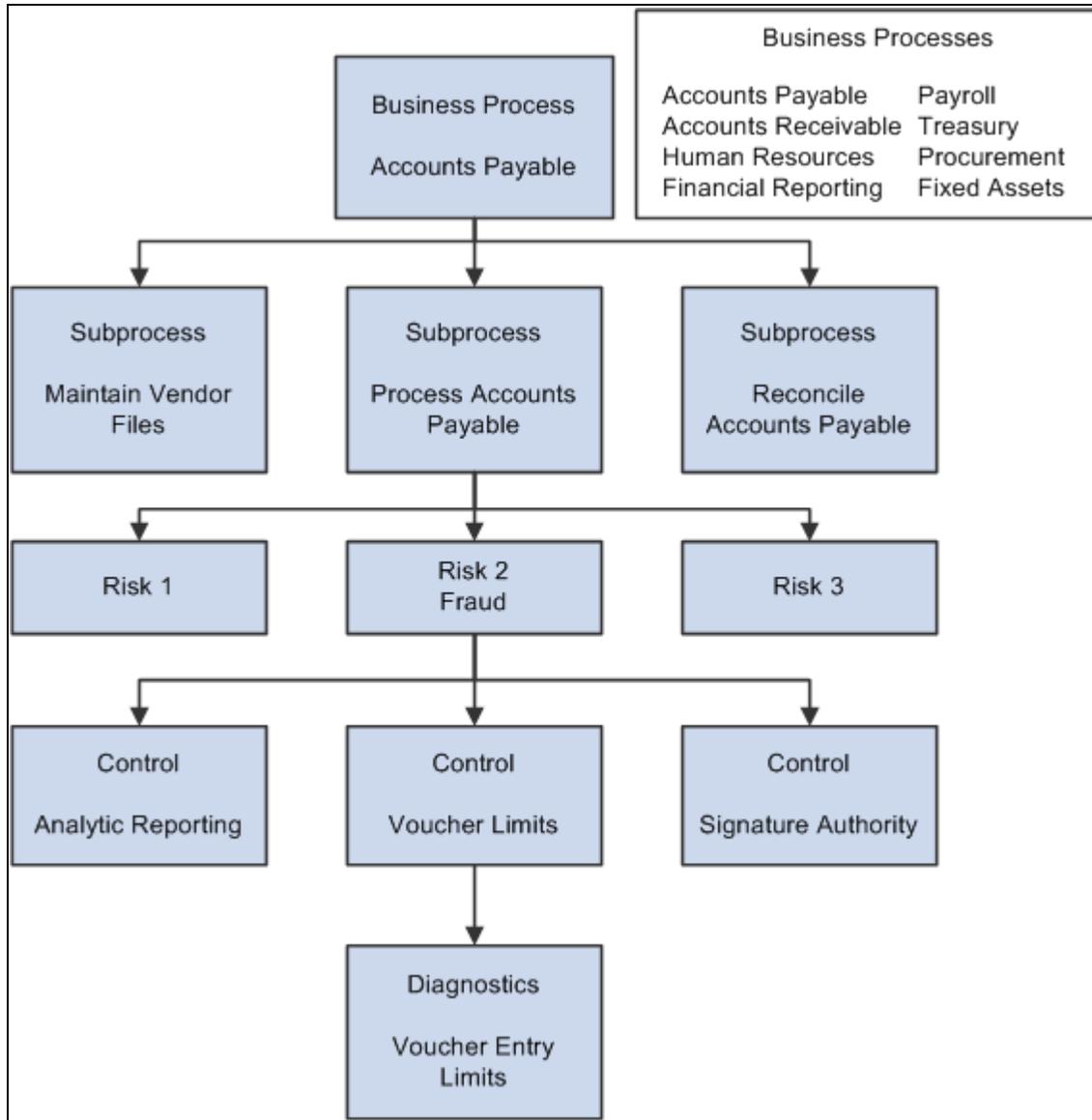
- Relationships between risks, controls, and diagnostics.
- Risks.
- Controls.
- Test plan templates.
- Diagnostics.
- Priorities.
- Categories of risks and controls.

Relationships Between Risks, Controls, and Diagnostics

The risk control repository contains the database definitions for all risks, controls, and diagnostics that are related to subprocesses. It is like a library where these objects are stored. These objects are defined independently from the subprocesses with which they are associated. Consequently, once you define an object, you can use it with more than one subprocess without having to recreate it. The repository enables you to define the *master* risks, and controls for an organization. Ideally, they are the risks and controls that the organization wants every entity to track, based on defined standards or best practices. You distribute the definitions to each entity when you generate instances by running the Process Instance Generator Application Engine process (EPQ_INST_GEN).

A hierarchical relationship exists between risks and controls. Each risk is associated with one or more controls. Controls can also be associated with one or more diagnostics. You establish these relationships when you define each object. Therefore, the definition for a control indicates its assigned diagnostics. Likewise, the definition for a risk indicates the controls and diagnostics with which it is associated.

The following diagram illustrates these relationships:



Relationships between risks, controls, and diagnostics

Because of these relationships, when you associate risks with a subprocess, you indirectly specify all the controls and diagnostics that are associated with the subprocess. Once you create the subprocess instances, entity owners can update the definitions for any risk or control that differs for a particular entity, if applicable, by using the pages within the Process Instance Manager feature.

Risks

A risk is something that threatens the integrity of a subprocess. Some examples of risks are:

- Unauthorized changes to vendors.
- Bank account doesn't reconcile.

- Fraud.
- Inappropriate adjustments.

Controls

A control is a policy, procedure, or system configuration that mitigates a risk. Controls can be manual (policies and procedures) or automated (built into a computer system). You can use the diagnostics feature to track automated controls. A control can optionally be associated with one or more test plan templates.

Diagnostics

A diagnostic is a tool that tracks any changes to specific system configurations in applications external to PeopleSoft Internal Controls Enforcer, such as Oracle's PeopleSoft Enterprise Financial Management applications. Diagnostics are tied to controls, and you can associate multiple diagnostics with each control. Several diagnostics are delivered with PeopleSoft Internal Controls Enforcer. You can extend them to suit the needs of a particular implementation. The delivered diagnostics use reports in the PeopleSoft Enterprise Financial Management 8.4 or 8.8 systems to capture system configuration information. Each time a diagnostic runs, it compares the current configuration information to the previous information to determine whether any changes have occurred. If changes are detected, the system sets the control state to *Not Proven*.

Priorities

When you define risks and controls, you specify their priority. The system uses these priority values when determining which risks and controls to include in the sign-off process. The Internal Controls Sign Off Sheet Generator page contains the fields that specify which risk and control priorities are included in the sign-off process. These two criteria are inclusive. For example, when sign-off sheets are generated, if you specify to include only primary risks but you specify to include both primary and secondary controls, then both primary and secondary priority controls are included in the sign-off, but only for primary risks.

Categories of Risks and Controls

There are several fields that the system uses to categorize risks and controls. These fields are required when you define a risk or control. Except for the Risk Category field, however, they are informational only. They enable you to classify the various types of risks and controls that the organization uses. The Risk Category is important because you use it to specify whether a risk category is included in the internal controls sign-off process. This enables you to set up categories of risks that are not subject to sign-off. When you define a risk or control, the valid values for the fields are based on tables that you populate by completing the associated setup page.

The fields that are used to categorize risks and controls are:

Risk category	<p>Categorizes risks by identifying a type of risk.</p> <p>It is generally accepted that the main risk categories are:</p> <ul style="list-style-type: none">• Operational.• Financial.• Regulatory (also referred to as compliance). <p>Examples of regulatory risks are the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and Basel II requirements for credit risk.</p>
Financial assertion	<p>Categorizes risks and controls by identifying the audit-related assertion with which they are associated. Risks and controls can be associated with one or more financial assertions. A financial assertion specifies how the element is at risk. For example, completeness, validity, and accuracy can affect transactions. Similarly, accounts can be subject to risk due to access to assets and authorization.</p>
Control category	<p>Categorizes controls by identifying whether controls are preventative or detective.</p>
Framework	<p>Categorizes controls by identifying the type of framework under which effective controls are classified.</p> <p>Section 404 of the Sarbanes-Oxley Act specifies that the framework that management uses to assess internal control over financial reporting must be a suitable, recognized control framework that is established by a body or group that has followed due-process procedures, including the distribution of the framework for public comment.</p> <p>One example is the framework designed by the Committee of Sponsoring Organizations of the Treadway commission (COSO). COSO is a voluntary private sector organization dedicated to improving the quality of financial reporting through business ethics, effective internal controls, and corporate governance.</p> <p>Another example is the Control Objectives for Information and Related Technology (COBIT). COBIT has been developed as a generally applicable and accepted standard for information technology security and control practices. It provides a reference framework for management, users, and information system technology professionals who handle auditing, control, and security.</p>

Common Elements Used in This Chapter

Attribute 1, Attribute 2, Attribute 3, Attribute 4, Attribute 5, and Attribute 6 Fields for storing additional attributes that are applicable to your implementation; you can use this information to filter data in queries or reports that you create. These fields can be set up as either free-form text fields or as list boxes, depending on how you define the system preferences on the Internal Controls Enforcer General Preferences page. The labels can also be modified.

See [Chapter 3, "Establishing Preferences," Configuring the Other Attribute Fields, page 27.](#)

Establishing Various Risk and Control Categories

This section discusses how to:

- Define financial assertions.
- Define risk categories.
- Define control categories.
- Define control frameworks.

Pages Used to Establish Various Risk and Control Categories

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Financial Assertion Definition	EPQ_FIN_ASSERT	Internal Controls Enforcer, Master Setup, General Setup, Financial Assertions	Establish financial assertions. The information that you enter on this page populates a prompt table that is used when you define risks and controls.
Risk Category Definition	EPQ_RISK_CATEG	Internal Controls Enforcer, Master Setup, General Setup, Risk Categories	Establish risk categories. The information that you enter on this page populates a prompt table that is used when you define risks.
Control Category Definition	EPQ_CTRL_CATEG	Internal Controls Enforcer, Master Setup, General Setup, Control Categories	Establish control categories. The information that you enter on this page populates a prompt table that is used when you define controls.

Page Name	Definition Name	Navigation	Usage
Framework Definition	EPQ_FRMWORK_SEL	Internal Controls Enforcer, Master Setup, General Setup, Frameworks	Establish control framework categories. The information that you enter on this page populates a prompt table that is used when you define controls.

Defining Financial Assertions

Access the Financial Assertion Definition page (Internal Controls Enforcer, Master Setup, General Setup, Financial Assertions).

Financial Assertion Definition

Financial Assertions			
*Assertion	*Short Description	*Description	
CA	Comp Acc	Completeness & Accuracy	+ -
EX	Existence	Existence	+ -
OC	Occurance	Occurance	+ -
PD	PresntDisc	Presentation & Disclosure	+ -
RO	RightObl	Rights & Obligations	+ -
VA	ValuAlloc	Valuation or Allocation	+ -

Last Update Date/Time: 04/20/04 6:59:25PM **Last Update User ID:** VP1

Financial Assertion Definition page

Assertion Enter a two-character code to identify the financial assertion.

Short Description and Description Enter descriptions of the financial assertion. The description appears in the selection list for the Financial Assertion field on the Risk Definition - Financial Assertions page and the Control Definition - Financial Assertions page.

Defining Risk Categories

Access the Risk Category Definition page (Internal Controls Enforcer, Master Setup, General Setup, Risk Categories).

Risk Category Definition				
Risk Categories				
*Category	*Short Description	*Description	Include in Sign-off	
BA	Basel II	Basel II/Compliance Risk	<input type="checkbox"/>	+ -
FD	FDICIA	FDICIA/Compliance Risk	<input checked="" type="checkbox"/>	+ -
HI	HIPAA	HIPAA/Compliance Risk	<input checked="" type="checkbox"/>	+ -
OP	Operation	Operational Risk	<input checked="" type="checkbox"/>	+ -
SO	SOX	SOX/Financial Risk	<input checked="" type="checkbox"/>	+ -

Last Update Date/Time: 04/20/04 6:04:28PM Last Update User ID: VP1

Risk Category Definition page

- Category** Enter a code to identify the risk category.
- Short Description and Description** Enter descriptions of the risk category. The description appears in the selection list for the Category field on the Risk Definition page.
- Include in Sign-off** Select this option to include risks that are associated with this category in the internal controls sign-off process. When you establish risks, you assign them to one of these risk categories. This enables you to define risks that aren't subject to Sarbanes-Oxley sign-off procedures yet are important for you to identify and track for other reasons.

Defining Control Categories

Access the Control Category Definition page (Internal Controls Enforcer, Master Setup, General Setup, Control Categories).

Control Category Definition				
Control Categories				
*Category	*Short Description	*Description		
DE	Detective	Detective Control	<input type="checkbox"/>	+ -
PE	Prevent	Preventative Control	<input type="checkbox"/>	+ -

Last Update Date/Time: 02/03/04 5:40:11PM Last Update User ID: VP1

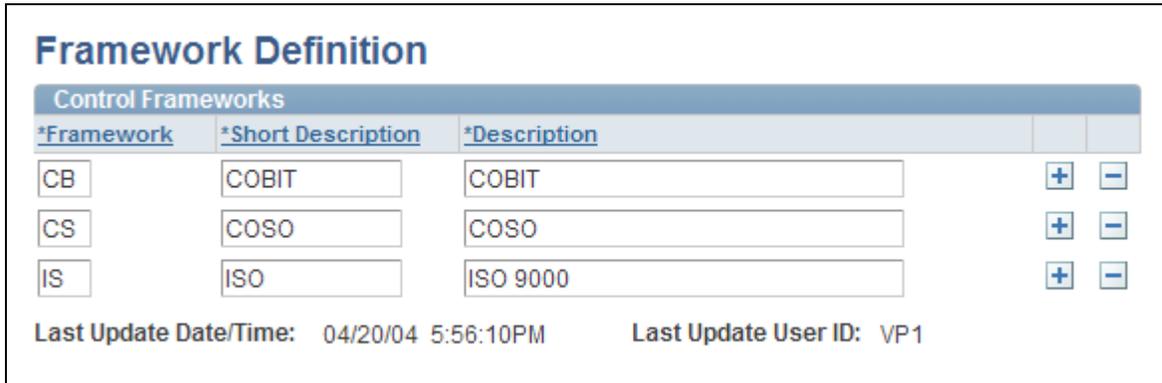
Control Category Definition page

- Category** Enter a two-character code to identify the control category.

Short Description and Description Enter descriptions of the control category. The description appears in the selection list for the Category field on the Control Definition page.

Defining Control Frameworks

Access the Framework Definition page (Internal Controls Enforcer, Master Setup, General Setup, Frameworks).



Framework Definition page

Framework Enter a code to identify the control framework.

Short Description and Description Enter descriptions of the control framework. The description appears in the selection list for the Framework Selection field on the Control Definition page.

Establishing Checklists, Template Attributes, and Test Plan Templates

To establish checklists, template attributes, and test plan templates use the Checklist Definition (EPQ_CHKLIST_DEF), Template Attribute Definition (EPQ_TMPL_ATTR), and Test Plan Template (EPQ_TMPL_DEFN) components. Use the EPQ_CHKLIST_DEF_CI and EPQ_TMPL_DEFN_CI component interfaces to load data into the tables for the Checklist Definition and Test Plan Template components.

This section provides an overview of test plan templates and discusses how to:

- Establish checklists.
- Establish template attributes.
- Establish test plan templates.
- Associate checklists with test plan templates.

Understanding Test Plan Templates

A test plan template provides the definitions for some or all of the fields for a test plan. Test plan templates are used to automatically generate test plans when sign-off sheets are generated, with the field entries that are specified in the template definition copied automatically to the actual test plan. The advantage to defining the test plan templates at the risk control repository level is that when you generate control instances, the test plan templates are automatically defined for each control instance. Test plan templates can also be used when you manually create a test plan.

Test plans play an important role in the internal controls certification process. When test plans are associated with a control, the system does not allow the control status to be set to *Proven* until the test plans are completed and passed (or canceled).

Test plan templates can include checklists of items for test plan owners to complete to help ensure that policies and procedures have not been missed in testing. The checklists are defined independently by using the Checklist Definition page, then associated with a test plan template. The system does not require that all items be checked off before a test plan can be considered completed.

Note. Only test plans that are based on a test plan template include checklists.

You can also define attributes to associate with test plan templates. Attributes enable you to categorize test plan templates. This enables you to specify the category of test plan templates that the system will generate test plans for when you run the Test Plan Generation (EPQ_TP_GEN) Application Engine process.

Detailed information about test plans is provided in another chapter of this PeopleBook.

See [Chapter 10, "Monitoring and Managing Controls," Understanding Subprocess Management, page 159.](#)

Pages Used to Establish Checklists, Template Attributes, and Test Plan Templates

Page Name	Definition Name	Navigation	Usage
Checklist Definition	EPQ_CHKLIST_DEF	Internal Controls Enforcer, Master Setup, Checklist Definition	Establish a checklist of items to complete when testing an internal control. Checklists are associated with test plan templates.
Template Attribute Definition	EPQ_TMPL_ATTR	Internal Controls Enforcer, Master Setup, General Setup, Template Attributes	Define attributes to associate with test plan templates. Attributes enable you to categorize test plan templates for the purpose of specifying which test plans to generate when you run the Test Plan Generation (EPQ_TP_GEN) Application Engine process.

Page Name	Definition Name	Navigation	Usage
Test Plan Template	EPQ_TMPL_DEFN	Internal Controls Enforcer, Master Setup, Test Plan Template	Establish templates for test plans.
Test Plan Template - Template Checklist	EPQ_TMPL_CHKLST	Internal Controls Enforcer, Master Setup, Test Plan Template, Template Checklist	Associate checklists with a test plan template.
Test Plan Template - Template Notes	EPQ_TMPL_NOTES	Internal Controls Enforcer, Master Setup, Test Plan Template, Template Notes	Enter detailed notes about a test plan template.

Establishing Checklists

Access the Checklist Definition page (Internal Controls Enforcer, Master Setup, Checklist Definition).

Checklist Definition

SetID: COMMN
 Checklist ID: AP_CHECKLIST3
 *Description:

Below, enter items that can be marked off as completed, or questions that can be answered with a yes or no.

Items		Find View 1	First	1-3 of 3	Last
*Sequence:	<input type="text" value="1"/>	+ -			
*Checklist Item:	<input type="text" value="Review payment policies and procedures documentation."/>				
*Sequence:	<input type="text" value="2"/>	+ -			
*Checklist Item:	<input type="text" value="Observe vendor payment process noting any discrepancies in procedure."/>				
*Sequence:	<input type="text" value="3"/>	+ -			
*Checklist Item:	<input type="text" value="Follow up on any exceptions noted in the vendor payment process."/>				

Last Update Date/Time: 07/19/05 10:36:22AM Last Update User ID: VP1

Checklist Definition page

Checklist ID and Description Enter an identifier for the checklist and a description.

Insert rows within the Items group box and complete the following fields to define the checklist items.

Sequence Enter a number to control the order in which this item appears on the checklist. Items appear sequentially in ascending order.

Checklist Item Enter the text of the question or task for the checklist item.

Establishing Template Attributes

Access the Template Attribute Definition page (Internal Controls Enforcer, Master Setup, General Setup, Template Attributes).

Template Attribute Definition			
Template Attributes			
*Attribute	*Description		
ANNUAL	Annual	+	-
MONTHLY	Monthly	+	-
QUARTERLY	Quarterly	+	-
SEMI-ANNUAL	Semi-Annual	+	-
WEEKLY	Weekly	+	-

Template Attribute Definition page

To define template attributes, insert rows within the Template Attributes grid and complete the following fields.

Attribute

Enter the attribute name. Some attribute categories to consider using would be ones that are time frame oriented, ones that specify the level of importance, and so on. These attributes are used when you generate test plans, so that you can create test plans from templates only within a particular attribute category.

Establishing Test Plan Templates

Access the Test Plan Template page (Internal Controls Enforcer, Master Setup, Test Plan Template).

Test Plan Template Template Checklist Template Notes

SetID: COMMN Template: AP_SP2_C1_T1 Save As

Save as New Template: Save As

Test Template Find | View All First 1 of 1 Last

*Effective Date: 01/01/1900 *Effective Status: Active

*Description: Review reconciliations

Long Description: Review evidence of reconciliations and confirm effectiveness by running APY1410 - AP/GL Journal Reconciliation Report
APY1420 - AP/GL Account Reconciliation Report

*Test Type: Review

Template Attribute: QUARTERLY Quarterly

▶ Other Attributes

Last Update Date/Time: 05/04/04 2:56:39PM Last Update User ID: VP1

Test Plan Template page

Save as New Template and Save As

Use these fields to create a new test plan template definition from the current template. To save the current template information to a new template, enter a new template ID then click the Save As button.

Test Type

Specify the general format of the test. Options are:

Inquiry: Select if the test is primarily conducted by questioning an individual or department.

Observation: Select if the test is primarily conducted by viewing that the control is in place.

Re-Performance: Select if the test involves reevaluating the control.

Review: Select if the test is primarily conducted by reviewing a report.

The value that you select for this field does not affect any processing.

Template Attribute

Select the attribute within which to categorize this test plan template.

Attributes are established by using the Template Attribute Definition page.

See [Chapter 6, "Establishing the Risk Control Repository," Establishing Template Attributes, page 64.](#)

Associating Checklists with Test Plan Templates

Access the Test Plan Template - Template Checklist page Internal Controls Enforcer, Master Setup, Test Plan Template, Template Checklist).

Test Plan Template		Template Checklist		Template Notes	
SetID:	COMMN	Template:	AP_SP2_C1_T1		
Test Template Find View All First 1 of 1 Last					
Effective Date:	01/01/1900	Effective Status:	Active		
Description:	Review reconciliations				
Add Checklist:	<input type="text"/>		<input type="button" value="Add"/>		
Questions Find View 1 First 1-3 of 3 Last					
*Checklist Sequence:	<input type="text" value="1"/>	<input type="button" value="+"/> <input type="button" value="-"/>			
*Checklist Item:	<input type="text" value="Run APY1410 - AP/GL Journal Reconciliation Report."/>				
*Checklist Sequence:	<input type="text" value="2"/>	<input type="button" value="+"/> <input type="button" value="-"/>			
*Checklist Item:	<input type="text" value="Review for reconciliation errors."/>				
*Checklist Sequence:	<input type="text" value="3"/>	<input type="button" value="+"/> <input type="button" value="-"/>			
*Checklist Item:	<input type="text" value="Resolve any exceptions."/>				
Last Update Date/Time:			05/04/04 2:56:39PM		
Last Update User ID:			VP1		

Test Plan Template - Template Checklist page

To add a checklist to the test plan template, specify the checklist ID in the Add Checklist field, then click the Add button. The checklist items appear in the Questions group box. You can add items from multiple checklists.

Checklist items are re-sequenced according to the order in which they are added. For example, if you add two checklists, Checklist1 and Checklist2, in that order, and each checklist contains three items, the items from Checklist1 will be sequenced as 1, 2, 3, and the items from Checklist2 will be sequenced as 4, 5, 6. You can edit the items as well as add or remove individual items by using the add row and delete row buttons within the Questions group box.

Checklist Sequence Enter a number to control the order in which this item appears. Items appear on the test plan sequentially in ascending order.

Checklist Item Enter or edit the text of the question or task for the checklist item.

Establishing Risks and Controls

To establish risks and controls, use the Risk Definition (EPQ_RISK_DEFN) and Control Definition (EPQ_CTRL_DEFN) components. Use the EPQ_RISK_DEFN_CI and EPQ_CTRL_DEFN_CI component interfaces to load data into the tables for these components.

This section discusses how to:

- Define risks.
- Associate financial assertions with a risk.
- Define controls.
- Associate financial assertions with a control.
- Associate test plan templates with a control.

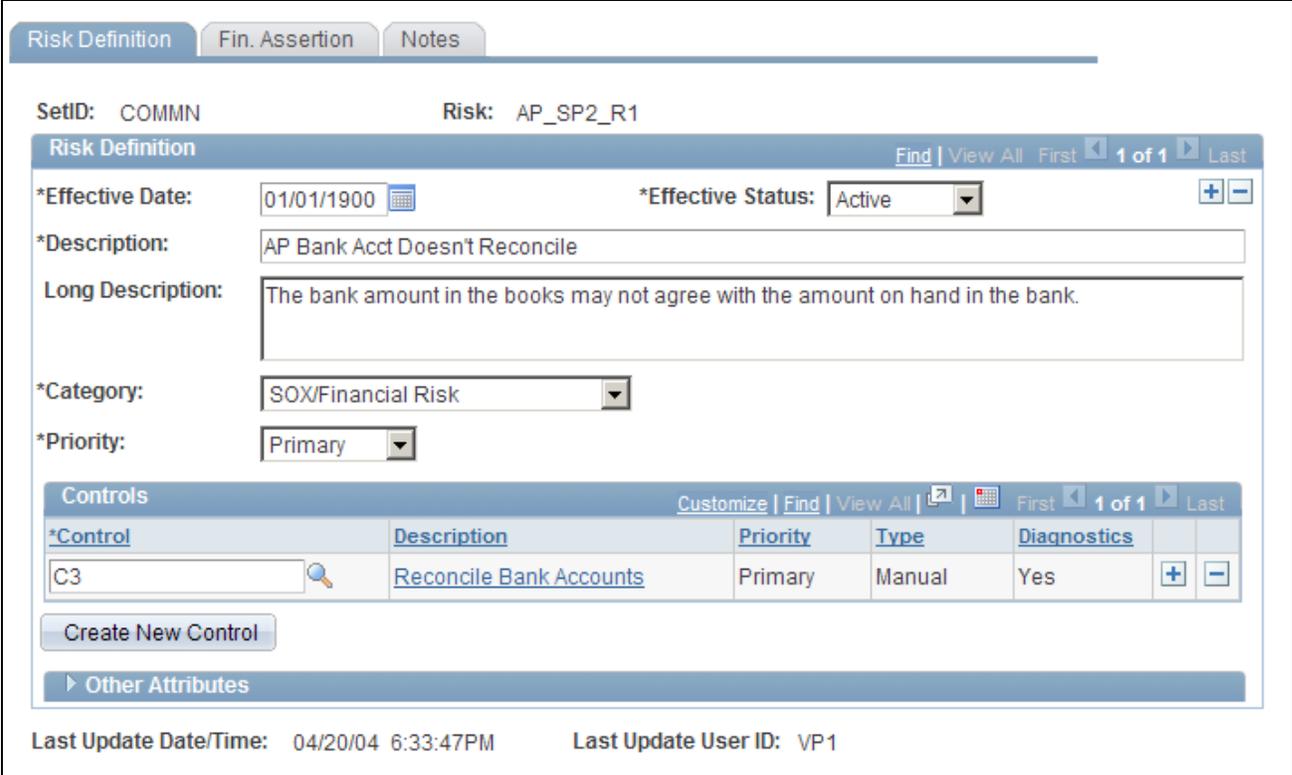
Pages Used to Establish Risks and Controls

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Risk Definition	EPQ_RISK_DEFN	Internal Controls Enforcer, Master Setup, Risk Definition, Risk Definition	Define risks and specify the controls with which they are associated.
Risk Definition - Financial Assertions	EPQ_RISK_FIN	Internal Controls Enforcer, Master Setup, Risk Definition, Fin. Assertion	Associate financial assertions with a risk.
Risk Definition - Notes	EPQ_RISK_NOTES	Internal Controls Enforcer, Master Setup, Risk Definition, Notes	Enter detailed notes about a risk.
Control Definition	EPQ_CTRL_DEFN	<ul style="list-style-type: none"> • Internal Controls Enforcer, Master Setup, Control Definition • Click Create New Control on the Risk Definition page. 	Define controls and specify the test plan templates and diagnostics with which they are associated.
Control Definition - Financial Assertions	EPQ_CONTROL_FIN	Internal Controls Enforcer, Master Setup, Control Definition, Fin. Assertion	Associate financial assertions with a control.
Control Definition - Test Template	EPQ_CTRL_TMPL	Internal Controls Enforcer, Master Setup, Control Definition, Test Template	Associate test templates with a control.

Page Name	Definition Name	Navigation	Usage
Control Definition - Notes	EPQ_CTRL_NOTES	Internal Controls Enforcer, Master Setup, Control Definition, Notes	Enter detailed notes about a control.

Defining Risks

Access the Risk Definition page Internal Controls Enforcer, Master Setup, Risk Definition, Risk Definition).



SetID: COMMN Risk: AP_SP2_R1

Risk Definition Find | View All First 1 of 1 Last

*Effective Date: 01/01/1900 *Effective Status: Active

*Description: AP Bank Acct Doesn't Reconcile

Long Description: The bank amount in the books may not agree with the amount on hand in the bank.

*Category: SOX/Financial Risk

*Priority: Primary

*Control	Description	Priority	Type	Diagnostics
C3	Reconcile Bank Accounts	Primary	Manual	Yes

Create New Control

Other Attributes

Last Update Date/Time: 04/20/04 6:33:47PM Last Update User ID: VP1

Risk Definition page

Risk Definition

Category

Select the category that applies to the risk.

You establish risk categories by using the Risk Category Definition page.

See [Chapter 6, "Establishing the Risk Control Repository," Defining Risk Categories, page 58.](#)

Priority

Select the priority of this risk. Values are *Primary*, *Secondary*, and *Tertiary*.

When the system generates sign-off sheets, you indicate the priority level of risks and controls to include.

Create New Control Click to access the Control Definition page and create a new control to associate with this risk.

Controls

To assign defined controls to a risk, insert rows in the Controls grid, and select the control for each inserted row.

Control Select the control to associate with this risk.

Description Displays the control description. Click a description to access the Control Definition page, where you can view the details for the control.

Priority Displays the control priority.

Type Displays the control type.

Diagnostics If diagnostics are associated with the control, the value for this field is *Yes*; otherwise, it is *No*.

Associating Financial Assertions with a Risk

Access the Risk Definition - Financial Assertions page (Internal Controls Enforcer, Master Setup, Risk Definition, Fin. Assertion).

The screenshot displays the 'Risk Definition - Financial Assertions' page. At the top, there are tabs for 'Risk Definition', 'Fin. Assertion', and 'Notes'. The main content area shows the following details:

- SetID:** COMMN
- Risk:** AP_SP1_R1
- Risk Definition:** Duplicate Vendor Records
- Effective Date:** 01/01/1900
- Effective Status:** Active

Below these details is a table titled 'Select Applicable Financial Assertions' with the following columns and data:

*Financial Assertion	Description
CA	Completeness & Accuracy

At the bottom of the page, it shows the last update information: 'Last Update Date/Time: 04/20/04 4:32:34PM' and 'Last Update User ID: VP1'.

Risk Definition - Financial Assertions page

Select Applicable Financial Assertions

Add rows as required to associate financial assertions with this risk.

Financial Assertion

Select the audit category with which to associate this risk.

You establish financial assertions by using the Financial Assertion Definition page.

See Chapter 6, "Establishing the Risk Control Repository," Defining Financial Assertions, page 58.

Defining Controls

Access the Control Definition page (Internal Controls Enforcer, Master Setup, Control Definition).

The screenshot displays the 'Control Definition' page with the following details:

- Control Definition:** SetID: COMMN, Control: AP_SP3_C11
- Fields:**
 - *Effective Date: 01/01/1900
 - *Effective Status: Active
 - *Description: Receipt Aware
 - Long Description: Defines logic for matching receipts with the appropriate PO's.
 - *Control Type: Automated
 - *Category: Preventative Control
 - *Control Priority: Primary
 - *Framework: COSO
 - *Test Frequency: Same As Sign Off
 - Control Frequency: (empty)
- Diagnostic Selection Table:**

*Diagnostic	Description		
MATCHING1	Matching Diagnostic1	+	-
MATCHING2	Matching Diagnostic2	+	-
MATCHING3	Matching Diagnostic3	+	-
MATCHING4	Matching Diagnostic4	+	-
MATCHING5	Matching Diagnostic5	+	-
- Buttons:** Create New Diagnostic, Other Attributes
- Footer:** Last Update Date/Time: 07/19/05 1:32:13PM, Last Update User ID: VP1

Control Definition page

Control Type

Select the type of control. Options are *Manual* and *Automated*. This is used only for informational purposes.

Category	Select the control category that applies to the control. You establish control categories by using the Control Category Definition page. See Chapter 6, "Establishing the Risk Control Repository," Defining Control Categories, page 59.
Control Priority	Select the priority of the control. Options are <i>Primary</i> , <i>Secondary</i> , and <i>Tertiary</i> . When the system generates sign-off sheets, you indicate the priority level of risks and controls to include.
Framework	Select the framework under which the control is categorized. You establish frameworks by using the Framework Definition page. See Chapter 6, "Establishing the Risk Control Repository," Defining Control Frameworks, page 60.
Test Frequency	Specify how often this control should be tested. Options are: <i>Annual</i> : Select to indicate that this control needs to be retested annually. <i>Same as Sign Off</i> : Select to indicate that this control should be retested every time the sign-off process occurs. When this option is selected, the value of the Sign Off Type field, which is specified by using the Internal Control Sign Off Sheet Generator page, determines how often the control needs to be retested, either quarterly, semi-annually, or annually. On sign-off worksheets, the Needs Testing field indicates whether or not a control needs to be retested. The system automatically sets the Needs Testing field to <i>yes</i> when the test frequency is set to <i>Same as Sign Off</i> . If the test frequency is annual, but the value of the Sign Off Type field on the Internal Control Sign Off Sheet Generator page is <i>quarterly</i> , or <i>semi-annual</i> , then the Needs Testing field is set to <i>no</i> .
Control Frequency	Select the frequency with which the control operates. Options are: <i>Annual</i> , <i>Biweekly</i> , <i>Daily</i> , <i>Monthly</i> , <i>Quarterly</i> , <i>Semiannual</i> , <i>Weekly</i> . This field is informational only, it does not affect any processing. Use this information to ensure that associated action plans provide sufficient lead time for a control to demonstrate its operational effectiveness.
Diagnostic	In the Diagnostic Selection grid, insert rows to associate diagnostics with the control, and select a diagnostic for each inserted row.
<diagnostic description>	Click to access the Define Diagnostics page, where you can review the details of the associated diagnostic.
Create New Diagnostic	Click to access the Define Diagnostics page, where you can define a new diagnostic to associate with this control.

Associating Financial Assertions with a Control

Access the Control Definition - Financial Assertions page (Internal Controls Enforcer, Master Setup, Control Definition, Fin. Assertion).

Select Applicable Financial Assertions

Add rows as required to associate financial assertions with this control.

Financial Assertion

Select the audit category with which to associate this control.

You establish financial assertions by using the Financial Assertion Definition page.

See [Chapter 6, "Establishing the Risk Control Repository," Defining Financial Assertions, page 58.](#)

Associating Test Plan Templates with a Control

Access the Control Definition - Test Template page (Internal Controls Enforcer, Master Setup, Control Definition, Test Template).

Control Definition - Test Template page

Create New Test Template

Click to access the Test Definition page, where you can create a new test definition that is associated with the control.

To associate test plan templates with this control, add rows within the Test Template grid and complete the following fields.

Test Template

Select the test plan template to associate with this control.

Description

Click to access the Test Plan Template page, where you can review the template definition.

Test Dependency

Use this field to indicate if the test template for the current row requires that another one of the test templates for this control must take place before it can be executed. Select the test template that is a prerequisite. The list of valid values is limited to templates that are currently associated with this control. This effectively enables you to control the sequencing of test plans that are generated for this control.

Test plans that are not dependent on other test plans can be executed anytime and in parallel. Multiple test plans that are dependent on one common test plan can also be executed in parallel, but only after the test plan that they are dependent on is completed or canceled.

Chapter 7

Defining Processes

This chapter provides an overview of the Business Process Manager component (EPQ_BP_DEFN) and discusses how to set up business processes and subprocesses.

Understanding the Business Process Manager Component

The Business Process Manager component enables you to:

- Establish and maintain business processes and subprocesses.
- Identify the parent-child relationships that exist between business processes and subprocesses.
- Define the elements that are associated with a subprocess.
- Specify which entities are associated with a subprocess.
- Define the risks (and controls) that are associated with a subprocess.
- Identify and store pertinent business process documents with a subprocess.
- Review the priority for each subprocess.
- Specify whether to include a subprocess in the sign-off process.
- Create or update process instances for selected entities.

You need to define processes separately for each compliance project, because every compliance project has its own independent set of processes. However, you can copy processes from one project to another using the Copy Project component.

See [Chapter 4, "Establishing Compliance Projects," Copying Compliance Projects, page 38](#).

PeopleSoft Internal Controls Enforcer manages two types of processes:

- Business processes.

These are the main processes within an organization. They are logical groupings of subprocesses.

- Subprocesses.

These are discrete components of a business process.

For example, the Manage Accounts Receivable business process could include these subprocesses:

- Apply cash.

- Maintain customer master.
- Manage collections and write-offs.

Note. In this documentation, the term *process* refers to both business processes and subprocesses.

The key fields for the Business Process Manager component are the Compliance Project field, Process ID field, and the Type field (indicates the process type). The pages that appear in this component vary depending on whether the record is a business process or a subprocess.

For business processes, you can access only these pages:

- Business Process Manager - Process Definition page.

You use this page to define a process.

- Business Process Manager - Subprocess page.

You use this page to identify the subprocesses that belong to a business process.

- Business Process Manager - Notes page.

You use this page to enter information that you feel is important to document about the process.

For subprocesses, you can access the following pages:

- Business Process Manager - Process Definition page.

You use this page to define a subprocess.

- Business Process Manager - Risk/Control page.

You use this page to identify the risks associated with a subprocess.

- Business Process Manager - Elements page.

You use this page to identify the financial elements that the subprocess affects.

- Business Process Manager - Entities page.

You use this page to identify the entities that participate in the subprocess.

- Business Process Manager - Documentation page.

You use this page to identify the business process documentation to store with the subprocess.

Note. The system uses PeopleSoft Enterprise Portal Content Management pages to manage the documents.

- Business Process Manager - Notes page.

You use this page to enter information that you feel is important to document about the subprocess.

You associate risks (and their respective controls) with subprocesses, and the internal control sign-offs occur at the subprocess level by subprocess owners. However, depending on how you set up the system, you can require that business process owners also must sign off on the subprocesses.

Once processes are defined, you run the Process Instance Generator Application Engine process (EPQ_INST_GEN) to create the process instance definitions. During this procedure, the system creates the database records (instances) for each process, risk, control, and test plan template by entity, and assigns the entity owner as the owner of the process instance for both subprocesses and business processes. Copies of the business process documents are generated from the master subprocess if they are specified. After the process instances are created, process instance owners can modify their individual instance definitions, if needed. Sign-offs occur at the instance level by subprocess owner and optionally by business process owner.

Although you define only the entities that are associated with each subprocess in the Business Process Manager component, the system determines which entities to associate with each business process by using the defined parent-child relationships between business processes and their subprocesses. All entities that are associated with a subprocess are automatically associated with the parent business process as well.

Common Elements Used in This Chapter

Compliance Project	The project with which a process is associated. Each project has its own set of processes.
Process ID	An identifier for a business process or subprocess.
Type	Specifies the type of business process. Options are: <i>Business Process</i> : Select this option if you are defining a business process. <i>Subprocess</i> : Select this option if you are defining a subprocess.
Parent Process	If the current record is a subprocess, this field lists the process to which it is subordinate. A subprocess must be associated with a parent process by using the Business Process Manager - Subprocesses page to create process instances.
Attribute 1, Attribute 2, Attribute 3, Attribute 4, Attribute 5, and Attribute 6	Fields for storing additional attributes that are applicable to your implementation; you can use this information to filter data in queries or reports that you create. These fields can be set up as either free-form text fields or as list boxes, depending on how you define the system preferences on the Internal Controls Enforcer General Preferences page. The labels can also be modified. See Chapter 3, "Establishing Preferences," Configuring the Other Attribute Fields, page 27.

Setting Up Business Processes and Subprocesses

To establish business processes and subprocesses, use the Business Process Manager component (EPQ_BP_DEFN). Use the EPQ_BP_DEFN_CI component interface to load data into the tables for this component.

This section discusses how to:

- Establish business processes and subprocesses.
- Associate subprocesses with a business process.

- Associate risks and controls with subprocesses.
- Associate elements with subprocesses.
- Associate business process documentation with subprocesses.
- Assign entities to subprocesses and generate process instances.

Pages Used to Set Up Business Processes and Subprocesses

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Business Process Manager - Process Definition	EPQ_BP_DEFN	Internal Controls Enforcer, Master Setup, Business Process Manager, Process Definition	Define a business process or subprocess.
Business Process Manager - Subprocesses	EPQ_BP_SBP_XREF	Internal Controls Enforcer, Master Setup, Business Process Manager, Subprocesses	Associate subprocesses with a business process. You can access this page only if the current record is a business process.
Business Process Manager - Risk/Control	EPQ_BP_RISK_XRF	Internal Controls Enforcer, Master Setup, Business Process Manager, Risk/Control	Associate risks and controls with a subprocess. You can access this page only if the current record is a subprocess.
Business Process Manager - Elements	EPQ_BP_ELEM_XRF	Internal Controls Enforcer, Master Setup, Business Process Manager, Elements	Specify the elements that are associated with a subprocess. You can access this page only if the current record is a subprocess.
Business Process Manager - Documentation	EPQ_BP_CM_LINK	Internal Controls Enforcer, Master Setup, Business Process Manager, Documentation	Specify the documentation that is associated with a subprocess. You can access this page only if the current record is a subprocess.
Business Process Manager - Entities	EPQ_BP_ENT_XRF	Internal Controls Enforcer, Master Setup, Business Process Manager, Entities	Specify the entities that are associated with a subprocess, and generate process instances. You can access this page only if the current record is a subprocess.
Business Process Manager - Notes	EPQ_BP_NOTES	Internal Controls Enforcer, Master Setup, Business Process Manager, Notes	This page contains a free-form text field that you can use to store important information about a business process or subprocess.

Establishing Business Processes and Subprocesses

Access the Business Process Manager - Process Definition page (Internal Controls Enforcer, Master Setup, Business Process Manager, Process Definition).

The screenshot shows the 'Process Definition' tab selected. The page displays the following information:

- Compliance Project:** PROJ1
- Type:** Business Process
- Process ID:** ACCOUNTS_PAYABLE

The 'Process Definition' section includes:

- *Effective Date:** 01/01/1900
- *Effective Status:** Active
- *Description:** Accounts Payable
- Long Description:** This process accounts for the liabilities created by obligations to vendors and other third parties during the normal course of business and that have not been satisfied.
- Other Attributes:** (collapsed)

At the bottom, it shows: **Last Update Date/Time:** 05/11/04 12:08:01PM and **Last Update User ID:** VP1.

Business Process Manager - Process Definition page for a business process

The screenshot shows the 'Process Definition' tab selected, with additional tabs for Risk/Control, Elements, Documentation, Entities, and Notes. The page displays the following information:

- Compliance Project:** PROJ1
- Type:** Subprocess
- Process ID:** PROCESS_AP
- Parent Process:** ACCOUNTS_PAYABLE Accounts Payable

The 'Process Definition' section includes:

- *Effective Date:** 01/01/1900
- *Effective Status:** Active
- *Description:** Process Accounts Payable
- Long Description:** Recording vouchers for payment generally due to the receipt of an invoice, and the subsequent processing of those payments.
- Other Attributes:** (collapsed)

At the bottom, it shows: **Last Update Date/Time:** 07/19/05 5:07:20PM and **Last Update User ID:** VP1.

Business Process Manager - Process Definition page for a subprocess

Enter the process ID, specify the process type, and complete the remaining fields.

Associating Subprocesses with a Business Process

Access the Business Process Manager - Subprocesses page (Internal Controls Enforcer, Master Setup, Business Process Manager, Subprocesses).

The screenshot displays the 'Business Process Manager - Subprocesses' page. At the top, there are three tabs: 'Process Definition', 'Subprocesses', and 'Notes'. Below the tabs, the following information is shown:

- Compliance Project:** PROJ1
- Type:** Business Process
- Process ID:** ACCOUNTS_PAYABLE

Below this information is a 'Process Definition' section with the following details:

- Effective Date:** 01/01/1900
- Effective Status:** Active
- Description:** Accounts Payable

The main part of the page is a 'Subprocesses' grid. It has a header with 'Customize | Find | View All | [Calendar Icon] | [Print Icon] | First | 1-3 of 3 | Last'. The grid contains three rows:

*Subprocess	Description		
MAINT_VENDOR_FILE	Maintain Vendor Files	+	-
PROCESS_AP	Process Accounts Payable	+	-
RECONCILE_AP	Reconcile Accounts Payable	+	-

Below the grid is a 'Create New Subprocess' button. At the bottom of the page, the following information is displayed:

- Last Update Date/Time:** 05/11/04 12:08:01PM
- Last Update User ID:** VP1

Business Process Manager - Subprocesses page

You can access this page only if the current record is a business process.

Insert rows in the Subprocesses grid to associate subprocesses with the business process.

Subprocess Select a subprocess for each inserted row.

<subprocess description> Displays the description of the subprocess. Click to access the Business Process Manager - Process Definition page where you can view the definition for the subprocess.

Create New Subprocess Click to access the Business Process Manager - Process Definition page, where you can create a new subprocess definition.

Note. If you disassociate a subprocess, the system inactivates all of the associated process instances.

Associating Risks and Controls with Subprocesses

Access the Business Process Manager - Risk/Control page (Internal Controls Enforcer, Master Setup, Business Process Manager, Risk/Control).

The screenshot displays the 'Risk/Control' tab of the Business Process Manager interface. It shows the following details for the process:

- Compliance Project:** PROJ1
- Type:** Subprocess
- Process ID:** PROCESS_AP
- Parent Process:** ACCOUNTS_PAYABLE (Accounts Payable)

The 'Process Definition' section includes:

- Effective Date:** 01/01/1900
- Effective Status:** Active
- Description:** Process Accounts Payable

The 'Risks' section shows a table with one risk:

*Risk:	Description	Priority:
AP_SP3_R1	Inappropriate Adjustments	Primary

The 'Controls' section shows a table with five controls:

Control	Description	Priority	Type
AP_SP3_C10	Analytic Reporting	Secondary	Manual
AP_SP3_C12	Invoice Discounting	Tertiary	Automated
AP_SP3_C2	Signature Authority	Primary	Manual
AP_SP3_C3	Manager Review of Invoice	Primary	Manual
AP_SP3_C5	Matching	Primary	Automated

At the bottom of the page, it shows the last update information: Last Update Date/Time: 07/19/05 5:07:20PM and Last Update User ID: VP1.

Business Process Manager - Risk/Control page

You can access this page only if the current record is a subprocess.

Create New Risk Click to access the Risk Definition page in Add mode, where you can define a new risk that is associated with the process.

Insert rows in the Risks group box to associate risks with the subprocess.

Risk Select the risk to associate with the current subprocess.

<risk description> Displays the description for the selected risk. Click to access the Risk Definition page, where you can review the details for the risk.

Priority Displays the risk's defined priority. Values are *Primary*, *Secondary*, and *Tertiary*.

Controls Displays the risk's controls. Click a control description to access the control definition page, where you can review the details for the control.

Associating Elements with Subprocesses

Access the Business Process Manager - Elements page (Internal Controls Enforcer, Master Setup, Business Process Manager, Elements).

The screenshot displays the 'Elements' tab of the Business Process Manager interface. At the top, there are navigation tabs: Process Definition, Risk/Control, Elements, Documentation, Entities, and Notes. Below these, the following details are shown:

- Compliance Project:** PROJ1
- Type:** Subprocess
- Process ID:** PROCESS_AP
- Parent Process:** ACCOUNTS_PAYABLE Accounts Payable

The 'Process Definition' section includes:

- Effective Date:** 01/01/1900
- Effective Status:** Active
- Description:** Process Accounts Payable

The 'Elements' grid is as follows:

*Element	Description	Ranking		
ACCOUNTS_PAYABLE	Accounts Payable	High	+	-
ADMINISTRATIVE_EXP	Administrative Expenses	Low	+	-
CASH_EQUIV	Cash & Cash Equivalents	Low	+	-
INVEQUIPMENT	Inventory - Equipment	Low	+	-
INV_PARTS	Inventory - Parts	Low	+	-
INV_SUPPLIES	Inventory - Supplieess	Low	+	-
OTH_PROP_EQUIP	Other Property and Equipment	Low	+	-

Additional settings at the bottom of the grid:

- Process Priority:** High
- Include in Sign-off**
- ** Override Ranking

Footer information:

- Last Update Date/Time:** 07/19/05 5:07:20PM
- Last Update User ID:** VP1

Business Process Manager - Elements page

You can access this page only if the current record is a subprocess.

Insert rows in the Elements grid to identify elements associated with the subprocess that are exposed to risk.

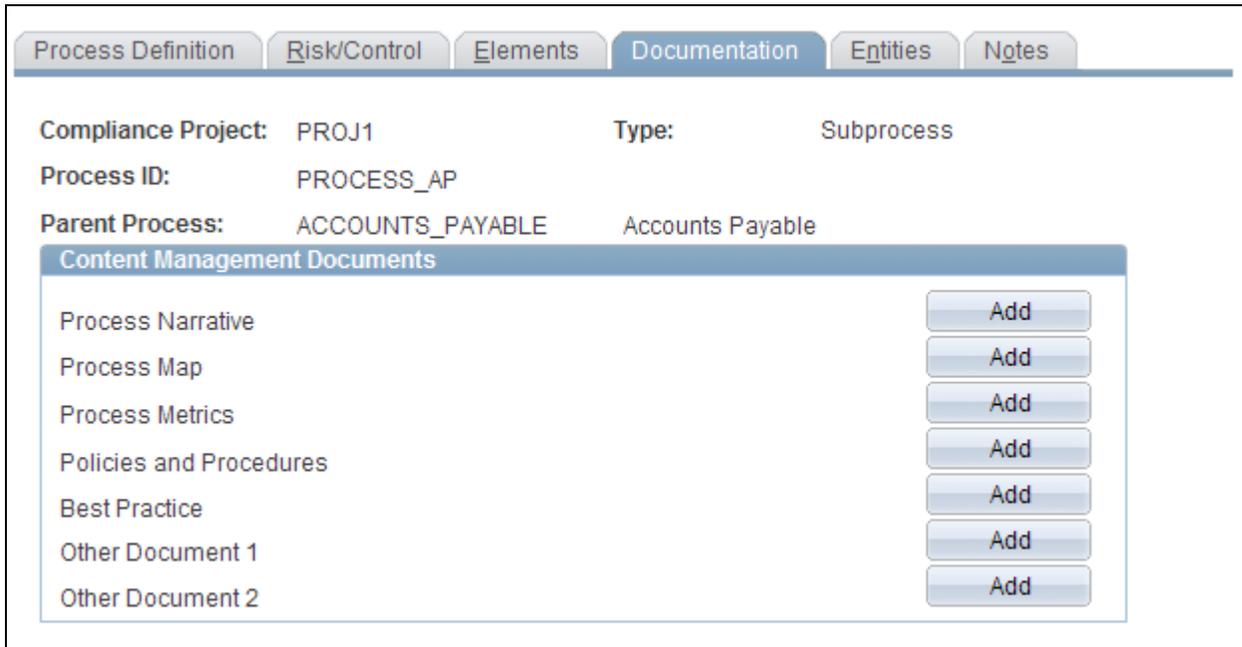
Element Select an element to associate with the subprocess.

Description Click an element's description to access the Element Definition page, where you can review the details for the element.

Ranking	<p>Displays the applied overall ranking for each element. This is equivalent to the calculated risk ranking for the element or, if an override was specified, the override ranking value.</p> <p>See Chapter 5, "Defining Entities and Elements," Element Risk Rankings, page 42.</p>
Process Priority	<p>Displays the priority for the process. Values are <i>Low</i>, <i>Medium</i>, and <i>High</i>.</p> <p>The system determines this value using the following logic:</p> <ul style="list-style-type: none">• If any associated elements have a ranking of <i>High</i>, then the process priority is set to <i>High</i>.• If there is no element with a ranking of <i>High</i>, but there is an element that has a ranking of <i>Medium</i>, then the process priority is set to <i>Medium</i>.• If all elements in the grid are ranked <i>Low</i> or the grid is empty, then the process priority is set to <i>Low</i>.
Include in Sign-off	<p>Select this option to include the subprocess in the internal controls sign-off procedure.</p> <p>Initially, this field is selected if the value for the Process Priority field is <i>High</i>, but you can override this to include lower priority processes or to exclude high priority processes.</p>

Associating Business Process Documentation with Subprocesses

Access the Business Process Manager - Documentation page (Internal Controls Enforcer, Master Setup, Business Process Manager, Documentation).



Business Process Manager - Documentation page

You can access this page only if the current record is a subprocess.

Use the buttons within the Content Management Documents group box to add, edit, or view documents and images that pertain to the subprocess. This enables your organization to store all pertinent business process documents directly with each subprocess at the master level. The system uses PeopleSoft Enterprise Portal Content Management pages to manage the documents.

Process Narrative, Process Map, Process Metrics, Policies and Procedures, Best Practice, Other Document 1, and Other Document 2

Describes the type of document.

Once a document is attached, this description is an active link. Click the description to open the current version of the document in a separate window.

Add

Click this button to access the Enterprise Portal Content Management page that enables you to specify the type of file to add, and import the document. Once a file has been added for a document, this button changes to Edit.

Edit

Click to access the Enterprise Portal Content Management page that enables you to manage the file attachment properties for the document, download the file, or check out the file.

Once documentation has been associated with a content management document, the content type (file attachment, text or HTML, image attachment, image URL, or website URL) is fixed. To change the content type, you must first access the Enterprise Portal Content Management system to delete the content. Then you can access the Business Process Manager - Documentation page and the Add button will be available to add a different document.

Assigning Entities to Subprocesses and Generating Process Instances

Access the Business Process Manager - Entities page (Internal Controls Enforcer, Master Setup, Business Process Manager, Entities).

Process Definition
Risk/Control
Elements
Documentation
Entities
Notes

Compliance Project: PROJ1 **Type:** Subprocess
Process ID: PROCESS_AP
Parent Process: ACCOUNTS_PAYABLE Accounts Payable

Process Definition Find | View All First 1 of 1 Last

Effective Date: 01/01/1900 **Effective Status:** Active + -

Description: Process Accounts Payable

[Load All Entities](#)

Entities Customize Find View 5 First 1-6 of 6 Last					
	*Entity	Description	Owner	Instance Created	
<input type="checkbox"/>	US001	US001 NEW YORK OPS	PAPQ_ENTITYOWNER 1	Yes	+ -
<input type="checkbox"/>	US002	US002 MASSACHUSETTS OPERATIONS	PAPQ_ENTITYOWNER 2	Yes	+ -
<input type="checkbox"/>	US003	US003 CALIFORNIA OPS	PAPQ_ENTITYOWNER 2	Yes	+ -
<input type="checkbox"/>	US004	US004 ILLINOIS OPS	PAPQ_ENTITYOWNER 3	Yes	+ -
<input type="checkbox"/>	US005	US005 FLORIDA OPS	PAPQ_ENTITYOWNER 4	Yes	+ -
<input type="checkbox"/>	US006	US006 OREGON OPS	PAPQ_ENTITYOWNER 5	Yes	+ -

[Select All](#) [Clear All](#) [Create/Update Instances](#)

Last Update Date/Time: 07/19/05 5:07:20PM **Last Update User ID:** VP1

Business Process Manager - Entities page

Assigning Entities

Insert rows in the Entities grid to identify the organization units that are associated with the subprocess.

Load All Entities Click to populate the grid with all active entities. You can then delete any entities that are not associated with this subprocess.

Entity Select the entity.

Owner	Displays the entity's owner. Click the owner's name to access the Send Notification page, where you can compose and send a notification to the owner.
Instance Created	A value of <i>Yes</i> in this field indicates that an instance already exists for the entity.
Select All	Click to select all entities in the grid.
Clear All	Click to clear all entities in the grid.

Note. If you delete an entity in the grid, the system inactivates all its associated process instances.

Creating or Updating Process Instances

Select the check box for an entity to include it in the Process Instance Generator process.

Create/Update Instances Click this button to run the Process Instance Generator process and create (or update) instance definitions for all selected entities.

Note. If you update an existing instance by running this process, any changes previously made to the instance-level definitions are lost. The Delete Content check box, which is located on the Internal Controls Enforcer General Preferences page, controls whether existing documentation content is deleted during instance generation.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20](#).

Chapter 8

Generating and Maintaining Instances

This chapter provides an overview of process instance generation and process instance maintenance and discusses how to:

- Define security for process instances.
- Generate process instances.
- Maintain process instance definitions.
- Propagate new risk control repository objects to process instances.

Understanding Process Instance Generation

The risks, controls, and test plan templates that are defined in the master risk control repository are all independent objects, and they are not associated with any specific entity. When you use the Business Process Manager component (EPQ_BP_DEFN), you create process definitions and indicate how the processes, entities, financial elements, and risks are associated, but the database records for each entity must still be created.

The Process Instance Generator Application Engine process (EPQ_INST_GEN) uses the defined Business Process Manager component information and the definitions in the risk control repository to create database records, or instances, for each process, risk, control, and test plan template, adding the entity as a key. All the field values defined for the risks, controls, test plan templates, and processes are propagated to the instances, and the system assigns the entity owner as the process instance owner, so that each entity owner also becomes the owner of all process instances that are associated with their entity. The system notifies each entity owner when process instances are created for their entities, which informs them that they have been assigned as owners for those processes. The system also creates a control status record for each control that is associated with a process instance, setting its status to *Not Proven*.

In addition, the system defines the content management workgroup category structure for each subprocess instance and grants security according to the defined security rules. The category structure includes a placeholder for each of these documents:

- Process narrative.
- Process map.
- Process metrics.
- Policies and procedures.
- Best practice.

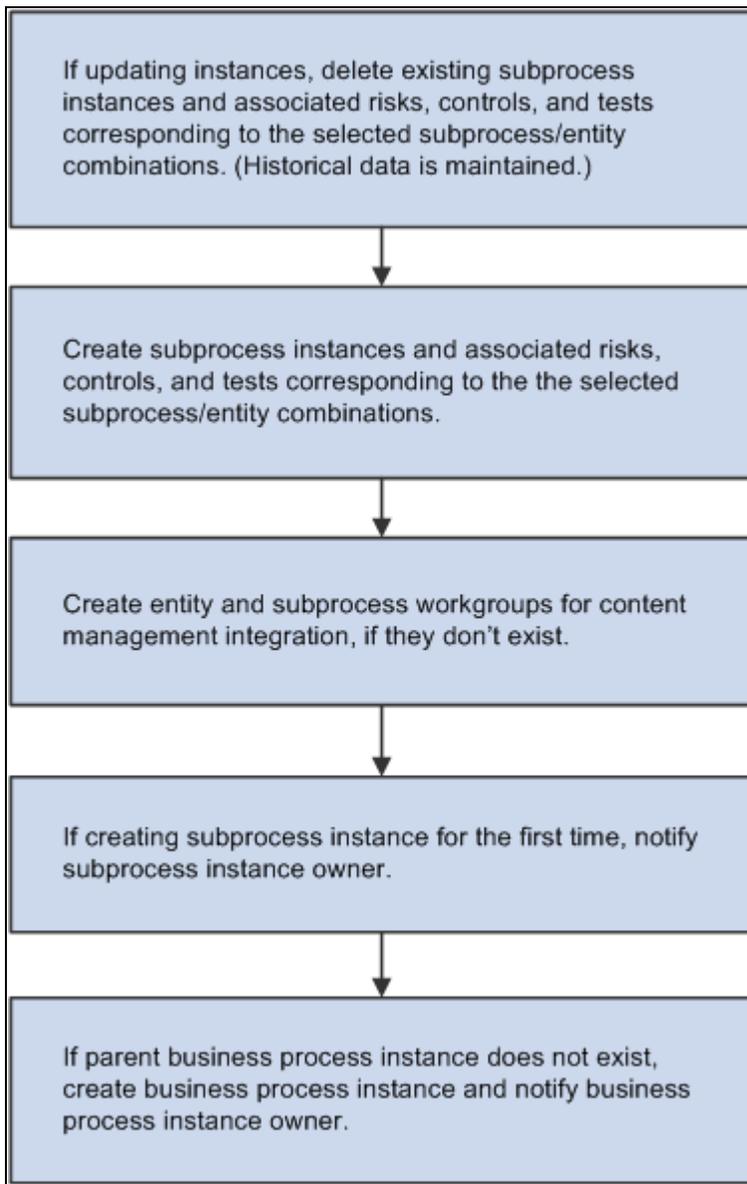
- Two additional documents, Document 1 and Document 2, that can be used for other documents that may be required for your organization.

If documents are associated with a subprocess definition, the system propagates the documents to each generated instance.

The system uses the PeopleSoft Enterprise Portal content management features to store and maintain the documents that are associated with a subprocess instance. This provides a secure, auditable, and version controlled environment to add, view, and maintain subprocess instance documents such as business process narratives, policies and procedures, and process maps. Documents are stored within a workgroup category structure that mirrors the subprocess instance structure defined within PeopleSoft Internal Controls Enforcer. This provides a clear workgroup security framework that an administrator (or the system) can use to provide document edit privileges to the appropriate entity owners, business process owners, and subprocess owners. All changes to managed documents are tracked and historic versions persisted using the content management check-in and check-out functionality.

See *PeopleSoft Enterprise Portal 9.1 PeopleBook: Content Management: "Setting Up and Working With Managed Content"*

The following diagram depicts the process flow for the Process Instance Generator process during which subprocess instances and their associated risks, controls, and test templates are created, and notifications are sent:



Process Instance Generator process flow of subprocess instance generation.

You can run the Process Instance Generator process for one or more selected entities of an individual subprocess by using the Business Process Manager - Entities page. To run it for all processes, use the Run Instance Generator run control page.

Once instances are created, each process instance owner can modify the individual instance definitions, if needed. This design reduces the extent to which you must modify the instances, because you only need to modify them for entities that have values that differ from those that were defined. For example, if one entity has an additional control associated with a risk for a particular process, the owner of that entity would modify their process instance definition, inserting a row for the additional control. Sign-offs occur at the instance level, by instance owner.

Security

Owners of an entity, process, or subprocess can automatically access all data related to the objects that they own. For example, an entity owner has access to all the data related to that entity, and all the processes and subprocesses associated with that entity.

Optionally, you can establish security to explicitly enable access to instance data. This enables various roles within your organization to access the data regardless of whether they are identified as the entity or process owner. For example, you probably would assign this type of security to a role that is associated with key executives within your organization, such as chief financial officer. This security is defined separately from the security for compliance projects. You must set the system preferences appropriately for the type of security you want to enforce.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20](#).

You can use one of the following methods to control access to process instances definitions:

- All Entities and processes.
The role has access to all entities and processes.
- Entity.
The role has access to all processes for specific entities.
- Entity and process.
The role has access to specific process-entity combinations.
- Process.
The role has access to all entities for specific processes.

Understanding Process Instance Maintenance

You maintain process instance definitions by using the pages in the Process Instance Manager feature. Each instance owner can modify the risks that are associated with their processes. Various documents can be associated with each subprocess as well, by attaching files that are managed through the interface to PeopleSoft Enterprise Portal Content Management.

In addition, each entity owner can create *new* risks, controls, and test plan templates for their process instances, by using these instance definition pages:

- Risk Instance Definition page.
- Control Instance Definition page.
- Test Template Instance Definition page.

If entity owners define new risks, controls, or test templates while modifying their process instances, the system programmatically updates the risk control repository, adding the new objects to the repository.

You can add risks, controls, and test plan templates from the *master* risk control repository to the instance level definitions on an as needed basis. The system programmatically instantiates the associated controls and test plan templates when adding risks or controls from the master repository, using the current date as the effective date; you do not have to run a process to generate the instance definitions when you use this ad hoc method.

Prerequisites

Before you generate process instances and maintain process instance definitions, you must define each process by using the Business Process Manager component.

See [Chapter 7, "Defining Processes," page 75](#).

To use the Content Management features for storing images as attachments, such as business process maps, the image attachment type must be properly configured:

- The EPPCM_IMAGE URL must be configured to point to a valid FTP server.
- The FTP server must be configured correctly and running.

This is normally done as part of the PeopleSoft Enterprise Portal installation. Image files added by workgroups are uploaded via FTP and stored on the web server in a directory that you specify.

Common Elements in this Chapter

Add Reviewer Comments	Click to access the Reviewer Comment page, where you can enter comments about this process instance. All comments in PeopleSoft Internal Controls Enforcer are effective-date sensitive, and they apply to the currently effective-dated version of each object.
Attribute 1, Attribute 2, Attribute 3, Attribute 4, Attribute 5, and Attribute 6	Fields for storing additional attributes that are applicable to your implementation; you can use this information to filter data in queries or reports that you create. These fields can be set up as either free-form text fields or as list boxes, depending on how you define the system preferences on the Internal Controls Enforcer General Preferences page. The labels can also be modified. See Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20 and Chapter 3, "Establishing Preferences," Configuring the Other Attribute Fields, page 27 .
Compliance Project	The compliance project that a process is associated with.
Entity	The entity, such as a business unit, that is associated with the process instance.
Parent Process	If the current record is a subprocess, this field lists the process to which it is subordinate.
Process ID	An identifier for a business process or subprocess.

Sign Off Status	If sign off sheets have been generated for this process instance, this field lists their status, otherwise it is blank.
Type	Specifies the type of business process. Values are: <i>Business Process</i> : Indicates the record is a business process. <i>Subprocess</i> : Indicates the record is a subprocess.
View Reviewer Comments	Click to access the View Reviewer Comments page, where you can review all comments.

Defining Role Security for Instances

This section discusses how to:

- Establish role-based instance security.
- Review access to instances.

Pages Used to Define Role Security for Instances

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Process Instance Security	EPQ_PROCSSINST_SEC	Internal Controls Enforcer, Master Setup, Security Setup, Process Instance Security	Define access to instance definitions for role users.
View My Access - Instance	EPQ_VW_ACCESS_INST	Internal Controls Enforcer, User Preferences, View My Access, View My Access - Instance	Review the instances that you can access, based on your login.

Establishing Role-Based Instance Security

Access the Process Instance Security page (Internal Controls Enforcer, Master Setup, Security Setup, Process Instance Security).

Process Instance Security

Role Name: PAPQ_COMPLIANCE_MANAGER Enforcer Compliance Manager

*Security: All Access Access to all Entities and Processes.

Entity	Process

Process Instance Security page

Role Name	Displays the role for which you are defining security.
Security	Specify the method by which to control access. Options are: <i>All Access</i> : Select to enable access to all instances. <i>Entity</i> : Select to enable access to only specific entities. This type of security grants access to all processes and subprocesses for the specified entities. When you select this option, you must also specify one or more entities within the Process Instance Security grid. <i>Entity and Process</i> : Select to enable access to only specific entity-process combinations. When you select this option, you must also specify one or more entity-process combinations within the Process Instance Security grid. <i>Process</i> : Select to enable access to only specific processes for all entities. When you select this option, you must also specify one or more processes within the Process Instance Security grid.
Entity	Select an entity for which to enable access. This field is only available when Security is set to <i>Entity</i> or <i>Entity and Process</i> .
Process	Select a process for which to enable access. This field is only available when Security is set to <i>Process</i> or <i>Entity and Process</i> . If you select a process, then the system enables access to all subprocesses that are associated with that process.

Reviewing Security

Access the View My Access - Instance page to see the instances that you can access, based on the role associated with the user ID you enter at login (Internal Controls Enforcer, User Preferences, View My Access, View My Access - Instance).

Generating Process Instances

This section discusses how to:

- Create process instances for selected process entities.
- Create process instances for all processes and entities.

Pages Used to Create Process Instances

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Business Process Manager - Entities	EPQ_BP_ENT_XRF	Internal Controls Enforcer, Master Setup, Business Process Manager, Entities	Generate process instances for selected process entities.
Run Process Instance Generator	EPQ_INST_GEN_RUN	Internal Controls Enforcer, Master Setup, Run Process Instance Generator	Generate all process instances.

Creating Process Instances for Selected Process Entities

Access the Business Process Manager - Entities page for a particular compliance project and subprocess (Internal Controls Enforcer, Master Setup, Business Process Manager, Entities).

Select the entities for which to generate instances.

Click Create/Update Instances.

Creating Process Instances for all Processes and Entities

Access the Run Process Instance Generator page (Internal Controls Enforcer, Master Setup, Run Process Instance Generator).

Select the Compliance Project for which to generate process instances.

Click Run to run this request. PeopleSoft Process Scheduler runs the Process Instance Generator process at user-defined intervals.

Maintaining Process Instance Definitions

This section discusses how to:

- Update process instance definitions.
- Review subprocess associations for business process instances.
- Update subprocess instance risk associations.
- Review subprocess instance elements.
- Maintain risk definitions for instances.

- Maintain control definitions for instances.
- Maintain test template definitions for instances.
- Update process instances owner assignments.

Pages Used to Maintain Process Instance Definitions

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Process Instance Definition - Process Definition	EPQ_BP_INSTANCE	Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Process Definition	Update process instance definitions. The fields that appear on this page differ depending on the process type. For subprocesses, you can also attach related files that are maintained using the PeopleSoft Enterprise Portal Content Manager.
Process Instance Definition - Subprocess	EPQ_BPI_SBP_XREF	Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Subprocess	Add or update the subprocesses that are associated with a business process instance. You can access this page only for processes.
Process Instance Definition - Risks/Controls	EPQ_BPI_RSK_XRF	Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Risks/Controls	Add or update the risks that are associated with a process instance definition. You can access this page only for subprocesses.
Process Instance Definition - Elements	EPQ_BPI_ELEM_XRF	Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Elements	Review the elements that are associated with a subprocess instance.
Process Instance Definition - Notes	EPQ_BPI_NOTES	Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Notes	Enter details about the process instance.
Risk Instance Definition	EPQ_BPI_RSK_DEF	Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Risk Instance	Add or modify a risk definition for a process instance.
Risk Instance Definition - Financial Assertions	EPQ_BPI_RISK_FIN	Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Fin. Assertion	Add or modify the financial assertions associated with a risk definition for a process instance.

Page Name	Definition Name	Navigation	Usage
Risk Instance Definition - Notes	EPQ_BPI_RISK_NOTES	Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Notes	Enter details about the risk instance.
Control Instance Definition	EPQ_BPI_CTL_DEF	Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Control Instance	Add or modify a control definition for a process instance.
Control Instance Definition - Financial Assertions	EPQ_BPI_CTL_FIN	Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Fin. Assertion	Add or modify the financial assertions associated with a control definition for a process instance.
Control Instance Definition - Test Template	EPQ_BPI_CTL_TMP	Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Test Template	Add or modify the test plan templates associated with a control definition for a process instance.
Control Instance Definition - Notes	EPQ_BPI_CTL_NOTES	Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Notes	Enter details about the control instance.
Test Template Instance Definition	EPQ_BPI_TMP_DEF	Internal Controls Enforcer, Process Instance Setup, Test Template Instance	Add or modify a test plan template definition for a process instance.
Test Template Instance Definition - Checklist	EPQ_BPI_TMP_CHK	Internal Controls Enforcer, Process Instance Setup, Test Template Instance, Checklist	Modify test template instance checklist items.
Test Template Instance Definition - Notes	EPQ_BPI_TMP_NOTES	Internal Controls Enforcer, Process Instance Setup, Test Template Instance, Notes	Enter details about a test template instance.
Work Assignment	EPQ_WORK_ASSIGN EPQ_WKASSIGN_SRC	Internal Controls Enforcer, Process Instance Setup, Work Assignment	Assign an owner to one or more process instances.
Reviewer Comment	EPQ_ADD_COMMENT	Click the Add Reviewer Comments button on various pages.	Enter comments.
View Reviewer Comments	EPQ_VIEW_COMMENT	Click the View Reviewer Comments link on various pages.	Review comments.

Updating Process Instance Definitions

Access the Process Instance Definition - Process Definition page (Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Process Definition).

Process Definition		Subprocess	Notes
Compliance Project:	PROJ1	Compliance Project 1	
Process:	ACCOUNTS_PAYABLE	Type:	Business Process
Entity:	US001	US001 NEW YORK OPS	

Process Definition		Find	View All	First	1 of 1	Last
*Effective Date:	04/30/2004	*Effective Status:	Active			
*Description:	Accounts Payable					
Long Description:	This process accounts for the liabilities created by obligations to vendors and other third parties during the normal course of business and that have not been satisfied.					
*Owner:	PAPQ_ENTITYOWNER1	PAPQ_ENTITYOWNER 1				
Other Attributes						

Last Update Date/Time: 05/11/04 12:11:05PM **Last Update User ID:** VP1

Process Instance Definition - Process Definition page (business process)

Process Definition		Risk/Controls	Elements	Notes
Compliance Project:	PROJ1	Compliance Project 1		
Process:	APPLY_CASH	Type:	Subprocess	
Entity:	US003	US003 CALIFORNIA OPS		
Parent Process:	ACCOUNTS_RECEIVABL	Accounts Receivable		
Sign-Off Status:	Not Signed Off			

Process Definition		Find	View All	First	1 of 1	Last
*Effective Date:	04/30/2004	*Effective Status:	Active			
*Description:	Cash applications					
Long Description:	Applying payments that have been received from customers to the appropriate items in their account.					
*Owner:	PAPQ_SUBPROCESSOWNER1 PAPQ_SUBPROCESSOWNER 1					
<input checked="" type="checkbox"/> Include in Sign-off						
▶ Other Attributes						
Add Reviewer Comments		View Reviewer Comments				

Documentation	
Content Management Documents	
Process Narrative	Edit
Process Map	Edit
Process Metrics	Edit
Policies and Procedures	Edit
Best Practice	Edit
Other Document 1	Add
Other Document 2	Add
▶ Process Map	

Process Instance Definition - Process Definition page (subprocess)

The appearance of this page differs depending on the process type; for a business process only the fields in the Process Definition group box are available, there is only a Subprocess tab, and a Notes tab.

Sign-Off Status

Displays the current sign-off status. Click the status to access the Internal Controls Sign Off page, where you can review the current sign-off worksheet for this subprocess.

Process Definition

Effective Status	The current status of this process instance, either <i>Active</i> or <i>Inactive</i> . If you change this field to <i>Inactive</i> , then this process instance will not be included in any internal control surveys. If you inactivate a business process, all its associated subprocesses also become inactive. You cannot inactivate a business process that has active subprocesses associated with it.
Owner	The person primarily responsible for this process instance. Initially, the value of this field is the person identified as the entity owner.
Include in Sign Off	Select to include this subprocess instance in the internal control sign-off procedure.

Documentation

Use the buttons within the Content Management Documents group box to add, edit, or view documents and images that pertain to the subprocess. This enables your organization to store all pertinent business process documents directly with each subprocess instance. The system uses PeopleSoft Enterprise Portal Content Management pages to manage the documents.

If documents were associated with the subprocess at the "master" level (the risk control repository) they are propagated to each instance when you run the Process Instance Generator process. Once documentation has been associated with a content management document, the content type (file attachment, text or HTML, image attachment, image URL, or website URL) is fixed. To change the content type, you must first access the Enterprise Portal Content Management system to delete the content. Then you can add a different document type.

Process Narrative, Process Map, Process Metrics, Policies and Procedures, Best Practice, Other Document 1, and Other Document 2	Describes the type of document. After a document is attached, this description is an active link. Click the description to open the current version of the document in a separate window.
Add	Click this button to access the Enterprise Portal Content Management page that enables you to specify the type of file to add, and import the document. Once a file has been uploaded for a document, this button changes to Edit.
Edit	Click to access the Enterprise Portal Content Management page that enables you to manage the file attachment properties for the document, download the file, or check out the file.

The labels that are used for these fields are derived from message catalog definitions. You can change the field labels by modifying the text for the associated messages. The message catalog items are within message set number 18145. The following table list the message number IDs that are used as labels for the document fields and the page title that appears on the linked content management page.

Document	Field Label	Content Management Page Title
Process Narrative	1164	1237
Process Map	1165	1228
Process Metrics	1166	1238
Policies and Procedures	1167	1239
Best Practice	1168	1240
Other Document 1	1342	1344
Other Document 2	1343	1345

Information on modifying message catalog definitions is available in your PeopleTools documentation.

See *Enterprise PeopleTools 8.50 PeopleBook: PeopleSoft Application Designer Developers Guide*

Process Map

The system displays the image of the current version of the process map within this expandable group box, if it has been uploaded as either an image attachment or an image URL.

Note. This field is hidden if the process map is not associated to either the image attachment or the image URL. The web server and FTP server must be the same in order for the image to display.

Reviewing Subprocess Associations for Business Process Instances

Access the Process Instance Definition - Subprocess page (Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Subprocess).

Process Definition		Subprocess		Notes									
Compliance Project:	PROJ1			Compliance Project 1									
Process:	ACCOUNTS_PAYABLE	Type:	Business Process										
Entity:	US001	US001 NEW YORK OPS											
<div style="border: 1px solid #ccc; padding: 5px;"> <div style="background-color: #e0e0e0; padding: 2px;">Process Definition Find View All First 1 of 1 Last</div> <div style="padding: 5px;"> <p>Effective Date: 04/30/2004 Effective Status: Active + -</p> <p>Description: Accounts Payable</p> </div> </div>													
<div style="border: 1px solid #ccc; padding: 5px;"> <div style="background-color: #e0e0e0; padding: 2px;">Subprocesses Customize Find View All First 1-3 of 3 Last</div> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-decoration: underline;">Subprocess</th> <th style="text-decoration: underline;">Description</th> </tr> </thead> <tbody> <tr> <td>MAINT_VENDOR_FILES</td> <td>Maintain Vendor Files</td> </tr> <tr> <td>PROCESS_AP</td> <td>Process Accounts Payable</td> </tr> <tr> <td>RECONCILE_AP</td> <td>Reconcile Accounts Payable</td> </tr> </tbody> </table> </div>						Subprocess	Description	MAINT_VENDOR_FILES	Maintain Vendor Files	PROCESS_AP	Process Accounts Payable	RECONCILE_AP	Reconcile Accounts Payable
Subprocess	Description												
MAINT_VENDOR_FILES	Maintain Vendor Files												
PROCESS_AP	Process Accounts Payable												
RECONCILE_AP	Reconcile Accounts Payable												
Last Update Date/Time: 05/11/04 12:11:05PM			Last Update User ID: VP1										

Process Instance Definition - Subprocess page

This page enables you to view the subprocesses that are associated with this business process instance. Click a description to access the Process Instance Definition page for that subprocess.

Updating Subprocess Instance Risk Associations

Access the Process Instance Definition - Risks/Controls page (Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Risks/Controls).

Process Definition
Risk/Controls
Elements
Notes

Compliance Project: PROJ1 Compliance Project 1
Process: APPLY_CASH **Type:** Subprocess
Entity: US001 US001 NEW YORK OPS
Parent Process: ACCOUNTS_RECEIVABL Accounts Receivable
Sign-Off Status: [Not Signed Off](#)

Find | View All | First 1 of 1 Last

Effective Date: 04/30/2004 **Effective Status:** Active + -

Description: Cash applications

Find | View 1 | First 1-4 of 4 Last

***Risk:** [Lost Cash](#) **Priority:** Primary + -

Controls Customize Find View All First 1-4 of 4 Last					
Control	Description	Priority	Type	Status	Diagnostics
AR_SP3_R1_C1	Lockbox	Primary	Manual	Proven	
AR_SP3_R1_C2	Live Check Policies	Primary	Manual	Proven	
C2	Roles and Permissions	Primary	Automated	Proven	View
C3	Reconcile Bank Accounts	Primary	Manual	Proven	View

Find | View All | First 1-2 of 2 Last

***Risk:** [Incorrect Payment Info](#) **Priority:** Primary + -

Controls Customize Find View All First 1-2 of 2 Last					
Control	Description	Priority	Type	Status	Diagnostics
AR_SP3_C1	Payment Predictor	Primary	Automated	Proven	
AR_SP3_C2	EDI Manager	Primary	Automated	Proven	

Find | View All | First 1-3 of 3 Last

***Risk:** [Incorrect Application](#) **Priority:** Primary + -

Controls Customize Find View All First 1-3 of 3 Last					
Control	Description	Priority	Type	Status	Diagnostics
AR_SP3_C1	Payment Predictor	Primary	Automated	Proven	
AR_SP3_C2	EDI Manager	Primary	Automated	Proven	
AR_SP3_C3	Sufficient Pymt Match Criteria	Primary	Automated	Proven	

Find | View All | First 1 of 1 Last

***Risk:** [Payments Unapplied](#) **Priority:** Primary + -

Controls Customize Find View All First 1 of 1 Last					
Control	Description	Priority	Type	Status	Diagnostics
AR_SP3_R4_C1	Research Unapplied Cash	Primary	Manual	Proven	

Create New Risk
Select Master Risk
Add Reviewer Comments
[View Reviewer Comments](#)

Last Update Date/Time: 05/11/04 12:12:29PM **Last Update User ID:** VP1

Process Instance Definition - Risks/Controls page

Insert one or more records within the Risks group box to associate additional risks with this process instance. In Update/Display mode, you must add a new effective-dated row before you can add a new risk association.

Risk	Select the risk to associate with the current process instance.
<risk description>	Displays the description for the selected risk. Click to access the Risk Instance Definition page, where you can review the details for the risk.
Priority	Displays the risk's defined priority, either primary, secondary, or tertiary.
Create New Risk	Click this button to access the Risk Instance Definition page in Add mode, where you can define a new risk that is associated with this process instance. When you create a new risk instance, the system automatically creates a corresponding master-level risk definition.
Select Master Risk	Click this button to add a risk from the master-level risk control repository to this subprocess instance. A search dialog appears, and the resulting list of available values are the risks defined in the master-level risk control repository. When you select a risk, the processing indicator appears while the system creates the instance-level risk, control, and test plan template definitions for this subprocess instance.

The Controls grid lists the controls that are associated with each risk.

Control and <control description>	Displays the control ID. Click the description to access the Control Instance Definition page, where you can review the details for the control.
Priority	Displays the control's defined priority, either primary, secondary, or tertiary.
Type	Displays the control type.
Status	Displays the control's current status. Click the status value to access the Control Management page, where you can review status details, and view or initiate a test plan and action plan.
Diagnostics	If diagnostics are associated with the control, then this field contains <i>View</i> , otherwise it is blank. Click <i>View</i> to access the Diagnostic Reports By Control page, where you can review the most recent diagnostic report for this control.

Reviewing Subprocess Instance Elements

Access the Process Instance Definition - Elements page (Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Elements).

Process Definition		Risk/Controls	Elements	Notes
Compliance Project:	PROJ1	Compliance Project 1		
Process:	APPLY_CASH	Type:	Subprocess	
Entity:	US001	US001 NEW YORK OPS		
Parent Process:	ACCOUNTS_RECEIVABL	Accounts Receivable		
Sign-Off Status:	Not Signed Off			
Process Definition Find View All First 1 of 1 Last				
Effective Date:	04/30/2004	Effective Status:	Active	
Description:	Cash applications			
Elements Customize Find View All First 1-2 of 2 Last				
Element	Description	Ranking		
CASH_EQUIV	Cash & Cash Equivalents	Low		
TRADE_RECEIVABLES	Trade Receivables	Medium		
** Override Ranking		Process Priority: Medium		
Last Update Date/Time: 05/11/04 12:12:29PM		Last Update User ID: VP1		

Process Instance Definition - Elements page

The Elements grid lists the elements that are associated with this subprocess instance definition. The elements are display-only at the instance level; you can only modify them at the master level.

Element and **<element description>** Displays the element ID. Click the description to access the Element Definition page, where you can review the details for the element.

See [Chapter 5, "Defining Entities and Elements," Defining Entities, page 45.](#)

If asterisks appear for a risk ranking, it indicates that the ranking was manually entered for that financial element, instead of using the system-calculated rank.

Maintaining Risk Definitions for Instances

Access the Risk Instance Definition page (Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Risk Instance).

Risk Instance
Fin. Assertion
Notes

Compliance Project: PROJ1 Compliance Project 1
Subprocess: APPLY_CASH Cash applications
Entity: US001 US001 NEW YORK OPS
Risk: AR_SP3_R1

Risk Instance Definition
Find | View All | First 1 of 1 Last

***Effective Date:** 04/30/2004 ***Effective Status:** Active

***Description:** Lost Cash
Long Description: Cash received is diverted, lost or otherwise not applied accurately to accounts receivable.

***Category:** SOX/Financial Risk
***Priority:** Primary

*Control	Description	Priority	Type	Diagnostics		
AR_SP3_R1_C1	Lockbox	Primary	Manual	No	+	-
AR_SP3_R1_C2	Live Check Policies	Primary	Manual	No	+	-
C2	Roles and Permissions	Primary	Automated	Yes	+	-
C3	Reconcile Bank Accounts	Primary	Manual	Yes	+	-

Create New Control
Select Master Control

Other Attributes

Add Reviewer Comments
View Reviewer Comments

Last Update Date/Time: 06/07/06 3:42:29PM **Last Update User ID:** VP1

Risk Instance Definition page

Insert one or more records within the Controls grid to associate additional controls with this risk instance. In Update/Display mode, you must add a new effective-dated row before you can insert a new control association for this risk instance definition.

Risk Instance Definition

Category

Select the category that applies to this risk.

Risk categories are established by using the Risk Category Definition page.

See [Chapter 6, "Establishing the Risk Control Repository," Defining Risk Categories, page 58.](#)

Priority

Select the priority of this risk, either *Primary*, *Secondary*, or *Tertiary*. When sign-off sheets are generated, you specify the priority level of risks and controls to include.

- Create New Control** Click to access the Control Instance Definition page, where you can create a new control that is associated with this risk. When you create a new control instance, the system automatically creates a corresponding master-level control definition.
- Select Master Control** Click this button to add a control from the master-level risk control repository to this risk instance. A search dialog appears, and the resulting list of available values are the controls defined in the master-level risk control repository. When you select a control, the processing indicator appears while the system creates the instance-level control and test plan template definitions for this risk instance.

Controls

- Control** Select a defined control instance to associate with this risk instance.
- Description** Displays the control description. Click a description to access the Control Instance Definition page, where you can view the details for the control instance.
- Priority** Displays the control priority.
- Type** Displays the control type.
- Diagnostics** If diagnostics are associated with the control, the value for this field is *Yes*, otherwise it is *No*.

Financial Assertions

Access the Risk Instance Definition - Financial Assertions page to add or modify the financial assertions associated with this risk instance (Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Fin. Assertion).

- Financial Assertion** Select the audit category with which to associate this risk.
- Financial assertions are established by using the Financial Assertion Definition page.
- See [Chapter 6, "Establishing the Risk Control Repository," Defining Financial Assertions, page 58.](#)

Maintaining Control Definitions for Instances

Access the Control Instance Definition page (Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Control Instance).

Control Instance	Fin. Assertion	Test Template	Notes
Compliance Project:	PROJ1	Compliance Project 1	
Subprocess:	APPLY_CASH	Cash applications	
Entity:	US001	US001 NEW YORK OPS	
Control:	C3		
Control Status:	Proven	Manage Control	
Control Instance Definition Find View All First 1 of 1 Last			
*Effective Date:	04/30/2004	*Effective Status:	Active
*Description:	Reconcile Bank Accounts		
Long Description:	Monthly reconciliations are made of bank accounts to related GL accounts. PeopleSoft has an Auto Reconciliation feature that can take bank transactions in through the EDI Manager to automate bank		
*Control Type:	Manual	*Category:	Detective Control
*Control Priority:	Primary	*Framework:	COSO
*Test Frequency:	Same As Sign Off		
Control Frequency:			
Diagnostics Customize Find View All First 1 of 1 Last			
<u>Diagnostic</u>	<u>Description</u>		
BANK_RECON	Bank Reconciliation Diagnostic		
▶ Other Attributes			
Add Reviewer Comments		View Reviewer Comments	
Last Update Date/Time: 04/30/04 11:02:20AM		Last Update User ID: VP1	

Control Instance Definition page

Manage Control

Click to access the Control Management page, where you can manage a control's status, review the status of its current test plan or action plan, and initiate a new test plan or action plan.

Control Instance Definition

Control Type

Select whether this is a *manual* or *automated* control.

Category	<p>Select the control category that applies to this control.</p> <p>Control categories are established by using the Control Category Definition page. See Chapter 6, "Establishing the Risk Control Repository," Defining Control Categories, page 59.</p>
Control Priority	<p>Select the priority of this control, either <i>Primary</i>, <i>Secondary</i>, or <i>Tertiary</i>. When sign-off sheets are generated, you specify the priority level of risks and controls to include.</p>
Framework	<p>Select the framework under which this control is categorized.</p> <p>Frameworks are established by using the Framework Definition page. See Chapter 6, "Establishing the Risk Control Repository," Defining Control Frameworks, page 60.</p>
Test Frequency	<p>Specify how often this control should be tested. When sign-off sheets are generated, the system uses the value in this field to determine how to set the Needs Testing field. Options are:</p> <p><i>Annual</i>: Select to indicate that this control needs to be retested annually.</p> <p><i>Same as Sign Off</i>: Select to indicate that this control should be retested every time the sign-off process occurs. When this option is selected, the value of the Sign Off Type field, which is specified by using the Internal Control Sign Off Sheet Generator page, determines how often the control needs to be retested, either quarterly, semi-annually, or annually.</p> <p>On sign-off worksheets, the Needs Testing field indicates whether or not a control needs to be retested. The system automatically sets the Needs Testing field to <i>yes</i> when the test frequency is set to <i>Same as Sign Off</i>. If the test frequency is annual, but the value of the Sign Off Type field on the Internal Control Sign Off Sheet Generator page is <i>quarterly</i>, or <i>semi-annual</i>, then the Needs Testing field is set to <i>no</i>.</p>
Control Frequency	<p>Select the frequency with which the control operates. Options are: <i>Annual</i>, <i>Biweekly</i>, <i>Daily</i>, <i>Monthly</i>, <i>Quarterly</i>, <i>Semiannual</i>, <i>Weekly</i>. This field is informational only, it does not affect any processing. Use this information to ensure that associated action plans provide sufficient lead time for a control to demonstrate its operational effectiveness.</p>
Diagnostic and Description	<p>If an associated diagnostic exists, its ID and description display here, otherwise this field is blank. Click the description to access the Define Diagnostics page, where you can review the diagnostic's details.</p>

Fin. Assertions (Financial Assertions)

Access the Control Instance Definition - Financial Assertions page to add or modify the financial assertions associated with this control instance (Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Fin. Assertion).

Financial Assertion

Select the audit category with which to associate this control.

Financial assertions are established by using the Financial Assertion Definition page.

See [Chapter 6, "Establishing the Risk Control Repository," Defining Financial Assertions, page 58.](#)

Test Template

Access the Control Instance Definition - Test Template page (Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Test Template).

*Test Plan Template ID	Assigned To	Description	Test Dependency
T3	PAPQ_TESTPLAN	Review Bank Reconciliations	

Control Instance Definition - Test Template page

Insert one or more records within the Test Template grid to associate additional controls with this process instance. In Update/Display mode, you must add a new effective-dated row before you can insert a new control association for this risk instance definition.

Test Plan Template ID

Select a defined test plan template instance to associate with this control instance.

Assigned To

Select the userID of the person to assign as the test plan owner for any test plans that are generated from this template. If this field is left blank, when test plans are generated the test plan owner defaults to the subprocess owner.

Description

Displays the test template description. Click a description to access the Test Template Instance Definition page, where you can view the details for the test template.

Test Dependency

Use this field to indicate if the test template for the current row requires that another one of the test templates for this control must take place before it can be executed. Select the test template that is a prerequisite. The list of valid values is limited to templates that are currently associated with this control. This effectively enables you to control the sequencing of test plans that are generated for this control.

Test plans that are not dependent on other test plans can be executed anytime and in parallel. Multiple test plans that are dependent on one common test plan can also be executed in parallel, but only after the test plan that they are dependent on is completed or canceled.

Create New Test Template

Click to access the Test Template Instance Definition page in Add mode, where you can define a new test template to associate with this control instance. When you create a new test template instance, the system automatically creates a corresponding master-level test template definition.

Select Master Test Template

Click this button to add a test template from the master-level risk control repository to this control instance. A search dialog appears, and the resulting list of available values are the test templates defined in the master-level risk control repository. When you select a test template, the processing indicator appears while the system creates the instance-level test template definitions for this control instance.

Maintaining Test Template Instance Definitions

Access the Test Template Instance Definition page (Internal Controls Enforcer, Process Instance Setup, Test Template Instance).

Test Template Instance		
Compliance Project:	PROJ1	Compliance Project 1
Subprocess:	MAINT_VENDOR_FILES	Maintain Vendor Files
Entity:	US006	US006 OREGON OPS
Template:	AP_SP1_C1_T1	
<div style="border: 1px solid #ccc; padding: 5px;"> <div style="display: flex; justify-content: space-between; align-items: center;"> Test Template Instance Find View All First 1 of 1 Last </div> <div style="margin-top: 10px;"> <p>*Effective Date: <input type="text" value="04/30/2004"/> <input style="font-size: 8px; vertical-align: middle;" type="button" value="Calendar"/> *Status: <input type="text" value="Active"/> <input style="font-size: 8px; vertical-align: middle;" type="button" value="v"/></p> <p>*Description: <input type="text" value="APY3215"/></p> <p>Long Description: <div style="border: 1px solid #ccc; padding: 2px; min-height: 30px;">Run delivered payables report APY3215 which will report vendor records with duplicate TIN's, Names or Addresses.</div></p> <p>*Test Type: <input type="text" value="Review"/> <input style="font-size: 8px; vertical-align: middle;" type="button" value="v"/></p> <p>Template Attribute <input type="text" value="QUARTERLY"/> <input style="font-size: 8px; vertical-align: middle;" type="button" value="Search"/> Quarterly</p> <p>▶ Other Attributes</p> <p><input type="button" value="Add Reviewer Comments"/> View Reviewer Comments</p> </div> </div>		
Last Update Date/Time: 04/30/04 10:56:41AM		Last Update User ID: VP1

Test Template Instance Definition page

Test Template Instance

Test Type

Specify the general format of the test. Options are:

Inquiry: Select if the test is primarily conducted by questioning an individual or department.

Observation: Select if the test is primarily conducted by viewing that the control is in place.

Re-Performance: Select if the test involves reevaluating the control.

Review: Select if the test is primarily conducted by reviewing a report.

The value that you select for this field does not affect any processing.

Template Attribute

Select the attribute within which to categorize this test plan template. Attributes are established by using the Template Attribute Definition page.

See [Chapter 6, "Establishing the Risk Control Repository," Establishing Template Attributes, page 64.](#)

Checklist

Access the Test Template Instance Definition - Checklist page to modify the checklist items associated with this test template instance (Internal Controls Enforcer, Process Instance Setup, Test Template Instance, Checklist).

Test Template Instance
Checklist
Notes

Compliance Project: PROJ1 Compliance Project 1
Subprocess: MAINT_VENDOR_FILES Maintain Vendor Files
Entity: US006 US006 OREGON OPS
Template: AP_SP1_C1_T1

Test Template Instance
Find | View All First ◀ 1 of 1 ▶ Last

Effective Date: 04/30/2004 **Effective Status:** Active
Description: APY3215
Add Checklist:

Questions
Find | View 1 First ◀ 1-3 of 3 ▶ Last

*Checklist Sequence:	1	+ -	Checklist Item:	Review report for duplicate TIN's (Tax Identification Number).
*Checklist Sequence:	2	+ -	Checklist Item:	Review report for duplicate vendor names.
*Checklist Sequence:	3	+ -	Checklist Item:	Review report for duplicate vendor addresses.

Test Template Instance Definition - Checklist page

To add items from a defined checklist to the test plan template, specify the checklist ID in the Add Checklist field, then click the Add button. The checklist items appear in the Questions group box. You can add items from multiple checklists.

Checklist items are re-sequenced according to the order in which they are added. For example, if you add two checklists, Checklist1 and Checklist2, in that order, and each checklist contains three items, the items from Checklist1 will be sequenced as 1, 2, 3, and the items from Checklist2 will be sequenced as 4, 5, 6. You can edit the items as well as add or remove individual items by using the add row and delete row buttons within the Questions group box.

Checklist Sequence Enter a number to control the order in which this item appears. Items appear on the test plan sequentially in ascending order.

Checklist Item Enter or edit the text of the question or task for the checklist item.

Updating Process Instance Owner Assignments

Access the Work Assignment page (Internal Controls Enforcer, Process Instance Setup, Work Assignment). Specify the compliance project and entity (and any other optional criteria) for which to modify work assignments, then click Search.

Work Assignment

Compliance Project: PROJ1 Compliance Project 1
 Entity ID: US001 US001 NEW YORK OPS

Assigned To

Assigned To:

Customize Find View All 1-10 of 12 First Last					
Subprocess ID	Description	Assigned To	Parent Process ID	Process Type	Effective Date
ACCOUNTS_PAYABLE	Accounts Payable	PAPQ_ENTITYOWNER1		Business Process	04/30/2004
ACCOUNTS_RECEIVABL	Accounts Receivable	PAPQ_ENTITYOWNER1		Business Process	04/30/2004
APPLY_CASH	Cash applications	PAPQ_SUBPROCESSOW	ACCOUNTS_RECEIVABL	Subprocess	04/30/2004
CONSOLIDATION	Consolidation	PAPQ_SUBPROCESSOW	FIN_CLOSE	Subprocess	04/30/2004
FIN_CLOSE	Financial Statement Close	PAPQ_ENTITYOWNER1		Business Process	05/03/2004
MAINT_CUST_MASTER	Maintain customer master file	PAPQ_SUBPROCESSOW	ACCOUNTS_RECEIVABL	Subprocess	04/30/2004
MAINT_VENDOR_FILES	Maintain Vendor Files	PAPQ_SUBPROCESSOW	ACCOUNTS_PAYABLE	Subprocess	04/30/2004
MANAGE_COLL_WOS	Manage collections & write-off	PAPQ_SUBPROCESSOW	ACCOUNTS_RECEIVABL	Subprocess	04/30/2004
MANUAL_JE	Manual Journal Entries	PAPQ_SUBPROCESSOW	FIN_CLOSE	Subprocess	04/30/2004
PROCESS_AP	Process Accounts Payable	PAPQ_SUBPROCESSOW	ACCOUNTS_PAYABLE	Subprocess	04/30/2004

Work Assignment page

To change the assignment for each subprocess individually, select a user ID in the Assigned To field within the Work Assignment grid, then click Save.

To change the assignment for every subprocess that appears in the Work Assignment grid, expand the Assigned To group box and select a user ID in the Assigned To field, then click Save.

The system sends a notification to each new owner.

Propagating New Risk Control Repository Objects to Process Instances

This section provides an overview of change management and discusses how to update process instances with new risk control repository definitions.

Understanding Change Management

At the process instance level, whenever entity owners create new definitions for risks, controls, and test templates, the system programmatically updates the master-level risk control repository, automatically adding the newly defined objects. If the master risk control repository definitions are modified after the instances have been created, then these changes need to be propagated to the instance definitions. The Change Manager component (EPQ_CHG_MGR) enables entity owners to update their instances with the current master-level risk control repository definitions. No existing instance-level information is overwritten; the system adds only the new definitions.

Alternatively, the risk control repository owner can selectively regenerate process instances by using the Business Process Manager component; however, that *does* overwrite existing instance definitions.

Page Used to Propagate New Risk Control Repository Objects to Process Instances

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Change Manager	EPQ_CHG_MGR	Internal Controls Enforcer, Process Instance Setup, Change Manager	Enables entity owners to update their instance definitions with any new risk control repository definitions.

Updating Process Instances with new Risk Control Repository Definitions

Access the Change Manager page (Internal Controls Enforcer, Process Instance Setup, Change Manager).

Change Manager

Compliance Project:	PROJ1	Compliance Project 1
Subprocess:	CONSOLIDATION	Consolidation
Entity:	US003	US003 CALIFORNIA OPS

Repository Synchronization

[View Repository Information](#)

Update from Repository

Use this option to add Risks, associated Controls, Test Templates and Documentation from the Repository to this Subprocess. No existing information will be lost through this process.

Items Added from Repository

[Customize](#) | [Find](#) | [View All](#)

[First](#)
1 of 1
[Last](#)

No New Items		
--------------	--	--

Change Manager page

- View Repository Information** Click to access the Business Process Manager component, where you can review the risks, controls, test templates, documentation, and elements associated with the subprocess at the master risk control repository level.
- Update from Repository** Click to update the process instance definitions with any new risk control repository definitions.
- Items Added from Repository** Lists the repository items that were added to the process instance definitions as a result of clicking the Update from Repository button. If there are currently no new items in the risk control repository, then *No New Items* appears in the grid.

Chapter 9

Establishing and Maintaining Diagnostics

This chapter provides an overview of diagnostics, and discusses how to:

- Establish diagnostics.
- Process diagnostics.
- View diagnostic processing errors.
- View diagnostic reports and manage benchmarks.

Understanding Diagnostics

This section discusses:

- Diagnostic elements.
- Diagnostic management.
- Diagnostic architecture.
- Diagnostics Data Feed process flow.
- Delivered diagnostics for Oracle's PeopleSoft Enterprise applications.
- Delivered diagnostics for Oracle's JD Edwards EnterpriseOne applications.

Diagnostic Elements

The diagnostic feature provides a way to track and monitor changes to external system configurations that are identified as control points to mitigate risks. The main elements of this feature are:

- Diagnostic.

A diagnostic is a tool that retrieves data from an external source system by using a query, function, or SQL statement for the purpose of detecting any changes to that data. You can use a function instead of a query when you need to do some additional processing or calculations before sending the data from the external source system to the Enterprise Portal database.

- Diagnostic report.

A diagnostic report is the set of data that is returned when a diagnostic is run; it contains the rows and columns of retrieved data.

- Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH).

You run this process to generate diagnostic reports for a specified compliance project. You can run the process for all diagnostics or a specified list of diagnostics within a single compliance project, based on the parameters that you enter. For each diagnostic that is processed, the system passes the query or function to the external source system, retrieves the resulting data and compares it to the most recent diagnostic report, and if there are changes, stores the report records in PeopleSoft Internal Controls Enforcer.

- Benchmark.

A benchmark is the version of a diagnostic report that is certified by system users to be the valid results for the diagnostic.

Diagnostic Management

The diagnostics feature uses benchmarks as a means to detect when any controls in the external source system have been modified, potentially indicating that established business rules have been violated. Initially, as you implement a diagnostic, your organization reviews the diagnostic report results that are created by running the diagnostic data feed process. If the report contains the expected values, the run sequence is designated as the benchmark. If the results are not the expected results, then your organization would need to examine the external source system to determine the cause and resolve any problems, then run the diagnostic data feed process to retrieve the correct results, and designate that run sequence as the benchmark. There can be only one currently active benchmark for any diagnostic.

Any time the system determines that the results of a subsequently generated diagnostic report differs from the most recent report, the system:

- Sets the status of every control that is associated with that diagnostic to unproven.
- Sends a notification to the subprocess owners of the associated controls, to inform them of the change.

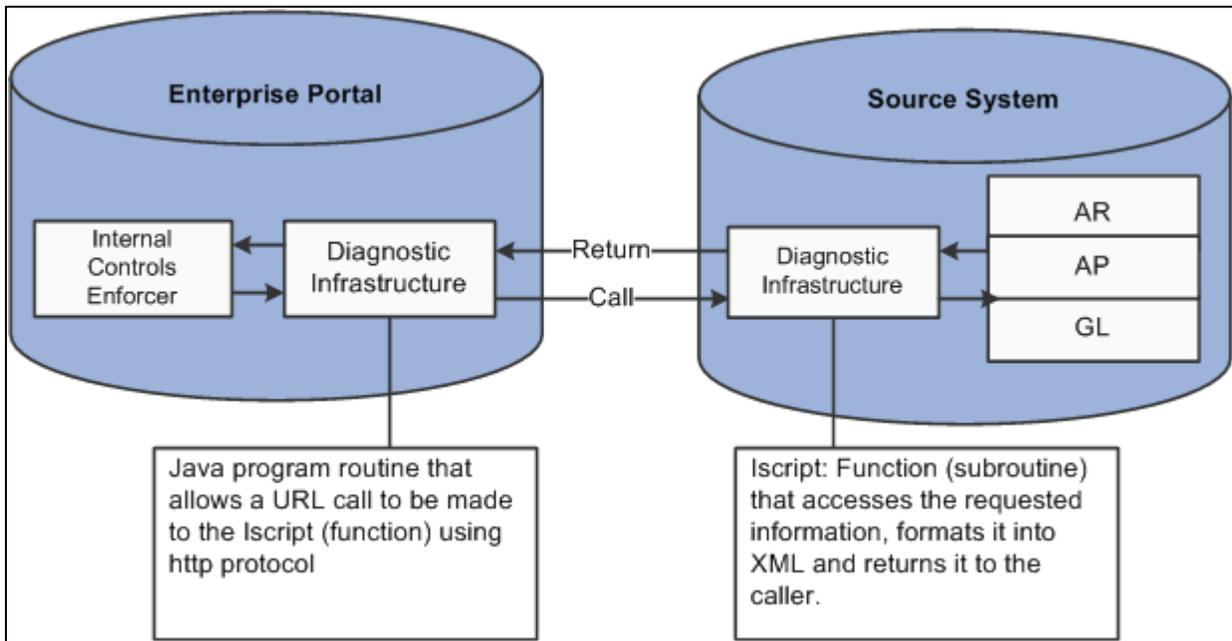
You can reexamine the results at this time, and if an authorized change was made and the diagnostic report reflects the new values and are therefore correct, then you can designate that report as the new benchmark. If the results indeed reflect an unauthorized change, then you can take steps to reestablish the correct controls.

When the Diagnostic Data Feed process runs, it compares the report results with the most recently generated report, and only stores the new report if it differs. This provides an audit trail that tracks whenever there are changes, which you can review by using the Diagnostic Manager page. Because of this design, when you run diagnostics and a change is detected, if you determine that the change is not a new benchmark, you should correct the external source system and run diagnostics again, then designate that report as the benchmark. This ensures that the report being used for comparison purposes is the benchmark report.

Diagnostic Architecture

The diagnostic architecture is designed to track external source system configuration data that is either low in volume, or is exception information from high volume tables. For example, a diagnostic should not query the entire customer list, rather it should look for specific exceptions to the customer list, such as customers that do not have a defined credit limit. If the queries and functions that are used by diagnostics are not designed using this principal, system performance will severely degrade and the diagnostic could fail; a diagnostic report is limited to 1000 rows and 30 columns.

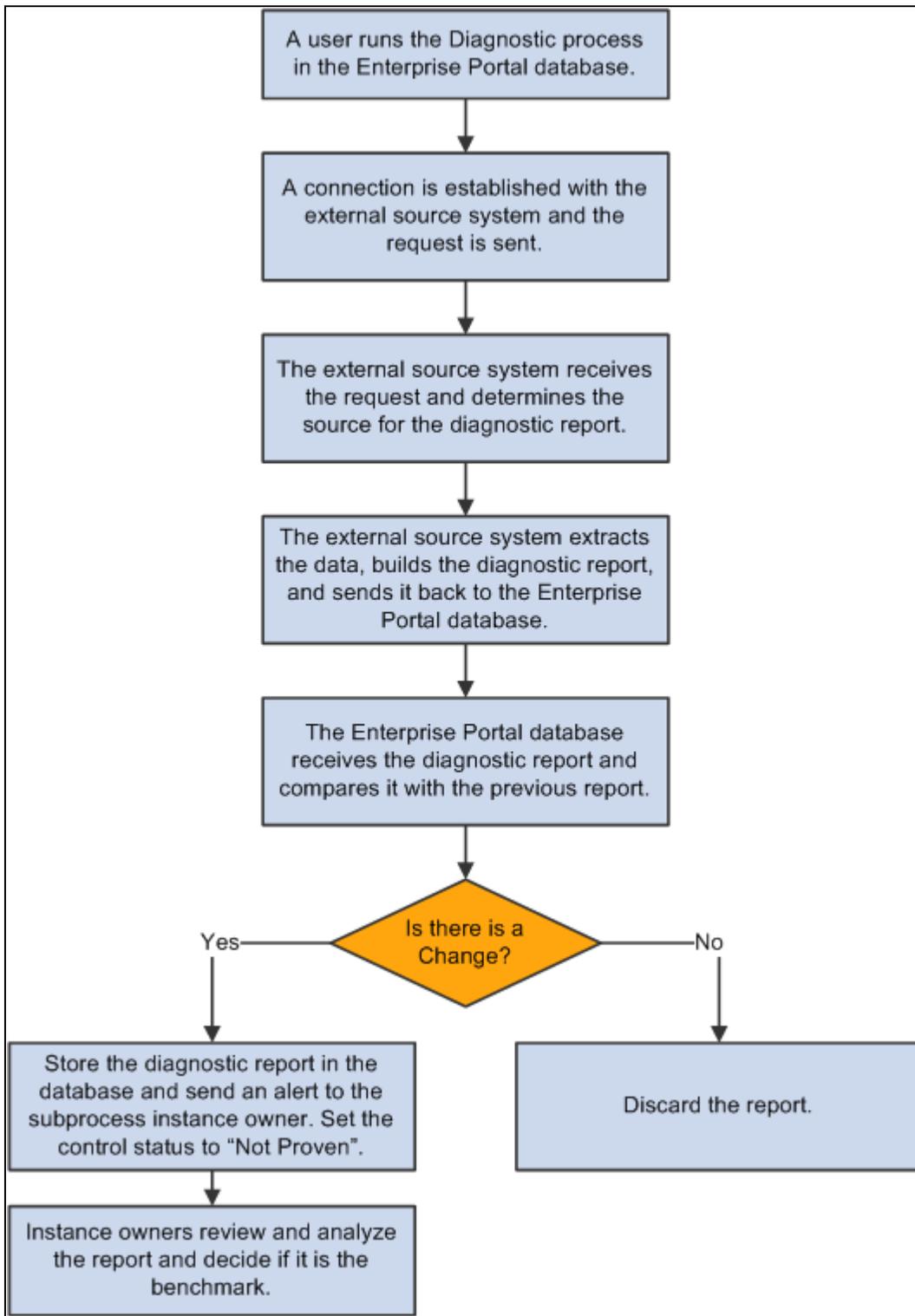
The following diagram depicts the diagnostic architecture, in which the enterprise portal and the source system communicate using Java routines and Iscript functions.



Diagnostic architecture and communication between the Enterprise Portal

Diagnostics Data Feed Process Flow

This diagram shows the process flow for the Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH), in which diagnostics data is extracted, the diagnostic report is built, and if the diagnostic data differs from the previous report the control status is set to not proven .



Diagnostic Data Feed process flow of diagnostic data extraction and comparison to previous runs

Delivered Diagnostics for Oracle's PeopleSoft Enterprise Applications

PeopleSoft Internal Controls Enforcer comes with several predefined diagnostic IDs for use with Oracle's PeopleSoft Enterprise Financial Management 8.4, 8.8, and 8.9 databases, and Oracle's PeopleSoft Enterprise Performance Management 8.9 and 9 databases. Because of the structure of the records in the PeopleSoft Enterprise Financial Management database, in many cases multiple diagnostic IDs are required for an audit. Therefore, *all* of the diagnostic IDs that are listed for a particular audit must be associated with the control definition in PeopleSoft Internal Control Enforcer to use the audit. For example, the journal options audit is comprised of three diagnostics, so to use the journal options audit, you must add three diagnostics to the control that you create for monitoring journal options, selecting JOURNAL_OPTIONS1, JOURNAL_OPTIONS2, and JOURNAL_OPTIONS3 respectively, as the diagnostic IDs.

The following table lists the audits that are provided by using the delivered PeopleSoft Enterprise diagnostics.

Audit	Description	Source System	Diagnostic IDs
Bank Reconciliation Audit	Monitors the rules and tolerances for automatically reconciling individual bank accounts.	PeopleSoft Enterprise Treasury Management	BANK_RECON
Customer Master Credit Limits Audit	Monitors customer credit limit settings.	PeopleSoft Enterprise Receivables	CUST_CREDIT_LIMITS
Expense Approval Audit	Monitors reports that require approval within the system, such as expense reports. Individuals with approval authority for these reports, specific departments, and amount limits.	PeopleSoft Enterprise General Ledger	EXP_APPROVAL_AUDIT1 EXP_APPROVAL_AUDIT2 EXP_APPROVAL_AUDIT3
GC Consolidation Model Audit	Monitors changes to the consolidation model definition.	PeopleSoft Enterprise Global Consolidations	GC_CONSOL_MODEL
GC Correction Mode Audit	Monitors the users that have permission to access correction mode for Global Consolidation pages.	PeopleSoft Enterprise Global Consolidations	GC_CORRECT_MODE
GC Lock / Unlock Periods Audit	Monitors the users that have permission to lock or unlock periods.	PeopleSoft Enterprise Global Consolidations	GC_LOCK_UNLOCK
GC Ownership Rules Audit	Monitors changes to ownership rules.	PeopleSoft Enterprise Global Consolidations	GC_OWNERSHIP
GC Row Level Security Audit	Monitors the row level security settings for Global Consolidations.	PeopleSoft Enterprise Global Consolidations	GC_ROWLEVELSEC

Audit	Description	Source System	Diagnostic IDs
GC Segregation of Duties 1 Audit	Monitors the users that have permission to access both GC setup and GC processing.	PeopleSoft Enterprise Global Consolidations	GC_SEG_DUTIES1
GC Segregation of Duties 2 Audit	Monitors the users that have permission to access both journal entry and journal approval.	PeopleSoft Enterprise Global Consolidations	GC_SEG_DUTIES2
Journal Options Audit	Monitors the treatment applied to standard delivered journal edits, such as debits failing to equal credits. Journal entries which fail these edits may be either recycled or placed into a suspense account.	PeopleSoft Enterprise General Ledger	JOURNAL_OPTIONS1 JOURNAL_OPTIONS2 JOURNAL_OPTIONS3
Match Audit	Tracks the matching rules that are applied to the various levels of the matching hierarchy, their associated tolerances, and two, three, and four way configurations.	PeopleSoft Enterprise Payables	MATCHING1 MATCHING2 MATCHING3 MATCHING4 MATCHING5 MATCHING6 MATCHING7 MATCHING8
One Time Vendor Capability Audit	Tracks the individuals who have the ability to issue checks without the vendor previously being setup on the vendor master.	PeopleSoft Enterprise Payables	ONE_TIME_VENDOR
Receipt Aware Audit	Monitors rules for matching receipts and purchase orders to invoices received when there is not a one to one relationship or a complete reference provided on the source documents.	PeopleSoft Enterprise Payables	RECEIPT_AWARE
Segregation of Duties Audit	Monitors individuals who have access to various functions that should be segregated: the ability to create vendors, enter vouchers, and approve vouchers.	PeopleSoft Enterprise Payables	SEG_OF_DUTY1 SEG_OF_DUTY2 SEG_OF_DUTY3 SEG_OF_DUTY4 SEG_OF_DUTY5 SEG_OF_DUTY6 SEG_OF_DUTY7 SEG_OF_DUTY8

Audit	Description	Source System	Diagnostic IDs
Voucher Entry Limits Audit	Monitors limits on the monetary amount of individual vouchers that a user can enter into the system.	PeopleSoft Enterprise Payables	VCHR_ENTRY_LIMITS
Write-Off Audit	Tracks write-off limits on maintenance and payment worksheets for both manual and automated functions.	PeopleSoft Enterprise Receivables	WRITE_OFF_LIMITS1 WRITE_OFF_LIMITS2 WRITE_OFF_LIMITS3 WRITE_OFF_LIMITS4 WRITE_OFF_LIMITS5 WRITE_OFF_LIMITS6

Note. The delivered diagnostics for Oracle's PeopleSoft Enterprise applications use the diagnostic source PS_SINGLESIGNON. To use these diagnostics with your implementation, you will need to use the Define Diagnostic Source page to modify the Data URL field for the diagnostic source.

See [Chapter 9, "Establishing and Maintaining Diagnostics," Specifying Diagnostic Sources, page 129.](#)

Single Signon Prerequisite

The delivered diagnostics require that single signon be enabled between the PeopleSoft Enterprise Portal database and the source PeopleSoft Enterprise database.

See *Enterprise PeopleTools 8.50 PeopleBook: Security Administration*: "Implementing Single Signon".

Delivered Diagnostics for Oracle's JD Edwards EnterpriseOne Applications

PeopleSoft Internal Controls Enforcer comes with several predefined diagnostic IDs for use with Oracle's JD Edwards EnterpriseOne 8.9, 8.10, and 8.11 applications. The following table lists the audits that are provided by using the delivered diagnostics.

Audit	Description	Source System	Diagnostic IDs
Payables Match Audit	Monitors the purchasing tolerance rules settings (F4322) that pertain to A/P matching. This diagnostic should be used in conjunction with the E1_APMATCHAUDITPOS diagnostic.	PeopleSoft EnterpriseOne Accounts Payable	E1_APMATCHAUDIT

Audit	Description	Source System	Diagnostic IDs
Payables PO Receipts Options Audit	Monitors the PO Receipts (P4312) processing option values pertain to A/P matching. All versions of PO Receipts will be retrieved. This diagnostic should be used in conjunction with the E1_APMATCHAUDIT diagnostic.	PeopleSoft EnterpriseOne Accounts Payable	E1_APMATCHAUDITPO S
Payables Segregation of Duties Audit	Monitors the security workbench values set up for the EnterpriseOne Accounts Payable system. The specific values returned describe how segregation of duties are defined for Accounts Payable.	PeopleSoft EnterpriseOne Accounts Payable	E1_APSEGOFDUTIES
Receivables Aging Settings Audit	Monitors the aging settings that are important to the PeopleSoft EnterpriseOne Accounts Receivable system. This diagnostic returns data from the Company Constants (F0010) table. Optional Function Parameters: <ul style="list-style-type: none"> • FromCompany • ToCompany 	PeopleSoft EnterpriseOne Accounts Receivable	E1_ARAGINGSETTINGS
Customer Master Credit Limit	Monitors the customer credit limit settings. This diagnostic returns data from the Customer Master (F03012) table. Optional Function Parameters: <ul style="list-style-type: none"> • FromCustomer • ToCustomer 	PeopleSoft EnterpriseOne Accounts Receivable	E1_CREDITLIMITS

Audit	Description	Source System	Diagnostic IDs
Duplicate Invoice Audit	Monitors the duplicate invoice number setting in the A/P constants (F0009). This diagnostic should return only 1 row. This diagnostic should be used in conjunction with the E1_DUPINVOICCHKPOS diagnostic.	PeopleSoft EnterpriseOne Accounts Payable	E1_DUPINVOICCHK
Duplicate Invoice Audit for Recycle Recurring Vouchers	Monitors the processing option value for Recycle Recurring Voucher (R048101) UBE that deals with duplicating invoice numbers. This diagnostic should be used in conjunction with the E1_DUPINVOICCHK diagnostic.	PeopleSoft EnterpriseOne Accounts Payable	E1_DUPINVOICCHKPOS
Expense Policy Rules Audit	Monitors the policy edit rules set up (F09E108) for the PeopleSoft EnterpriseOne Expense Management System (EMS).	PeopleSoft EnterpriseOne Expense Management	E1_EXPENSEAPPROVAL
Journal Options Audit	Monitors the system constants that are important to the PeopleSoft EnterpriseOne General Accounting system. This diagnostic will always return only one row, because the General Accounting Constants table contains only one record.	PeopleSoft EnterpriseOne General Accounting	E1_JOURNALOPTIONS
Receivables Write-off Audit	Monitors the accounts receivable write-off settings that are contained in the processing options of P03B102, P03B602, P03B0001, R03B50A, R03B50D, and R03B50E.	PeopleSoft EnterpriseOne Accounts Receivable	E1_WRITEOFFAUDIT

Note. The delivered diagnostics for PeopleSoft EnterpriseOne applications use the diagnostic source PS_ENTERPRISEONE. To use these diagnostics with your implementation, you will need to use the Define Diagnostic Source page to modify the Data URL field for the diagnostic source.

Establishing Diagnostics

This section provides an overview of the diagnostic setup steps and discusses how to:

- Define diagnostic source types.
- Specify diagnostic sources.
- Define query references.
- Define function references.
- Define SQL references.
- Define diagnostics.

Understanding Diagnostic Setup

The steps to establish a diagnostic are:

- (Optional) Define the source type by using the Define Diagnostic Source Type page.

The source type categorizes the external source systems that are used for diagnostics. When you define a diagnostic source, you must specify the source type with which it is associated. The system is delivered with the following source types: PQ_DAO, PQ_SingleSignon, PQ_EnterpriseOne, PQ_Other. You do not need to complete this step *unless* you need to define additional source types to suit your implementation.

Note. If you add a new source type, you also must create and implement a Java routine for that source type.

- Define the location of the external source system by using the Define Diagnostic Source page.

The system uses the URL and other information, if needed, that you specify on this page, to programmatically access the external source system. Once a source has been defined, it can be used for multiple diagnostics.

You *must* modify the fields on this page for the delivered diagnostics to work with your implementation.

- Define references to the queries, functions, or SQL statements for diagnostics, by using the Define Query Reference, Define Function Reference, and Define SQL Reference pages.

The reference definitions identify a query, function, or SQL statement to use with diagnostics, specify whether the diagnostic requires the system to pass the entity business unit when they run, and the values of any other additional parameters to pass during processing. The queries and functions that are used for diagnostics must exist in the external source system. For PeopleSoft EnterpriseOne diagnostics, complete this step only if you need to specify optional function parameters. You do not need to complete this step to use the delivered PeopleSoft Enterprise diagnostics.

- Establish the diagnostic definition, by using the Define Diagnostics page.

On this page, you specify the diagnostic ID, indicate the source it uses, and specify the query, function, or SQL that it executes. The delivered diagnostics are already established.

Information about coding requirements for diagnostics is provided in a red paper that is available in the Red Paper Library that is located within the Implement, Optimize, and Upgrade section of the PeopleSoft Customer Connection website.

See Access the customer connection website and select Implement, Optimize, and Upgrade » Implementation Guide » Implementation Documentation and Software » Red Paper Library, PeopleTools, PeopleSoft Enterprise Portal, and Other Technology: PeopleSoft Internal Controls Enforcer Diagnostics

Required Steps for Delivered Diagnostics

To use the delivered diagnostics the only steps you need to complete are:

- Modify the diagnostic source definition so that it uses the correct URLs.
- For PeopleSoft EnterpriseOne diagnostics, only if you need to specify optional function parameters, define references to the functions for diagnostics.

Pages Used to Establish Diagnostics

Page Name	Definition Name	Navigation	Usage
Define Diagnostic Source Types	EPQ_SRCTYPE_DEFN	Internal Controls Enforcer, Master Setup, Diagnostic Setup, Source Type Definition	Define the types of external source systems that are used for diagnostics.
Define Diagnostic Source	EPQ_SRC_DEFN	Internal Controls Enforcer, Master Setup, Diagnostic Setup, Source Definition	Define the location of the external source system to use for diagnostics.
Define Query Reference	EPQ_QRY_DEFN	Internal Controls Enforcer, Master Setup, Diagnostic Setup, Query Definition	Define references to queries that exist in the external source system.
Define Function Reference	EPQ_FUNC_DEFN	Internal Controls Enforcer, Master Setup, Diagnostic Setup, Function Definition	Define references to functions that exist in the external source system.
Define SQL Reference	EPQ_SQL_DEFN	Internal Controls Enforcer, Master Setup, Diagnostic Setup, SQL Definition	Define SQL to use in diagnostics.
Define Diagnostics	EPQ_DIAG_DEFN	Internal Controls Enforcer, Master Setup, Diagnostic Setup, Diagnostic Definition	Define a diagnostic, specifying the external source that it uses and how it is accessed, and the query or function it executes.

Defining Diagnostic Source Types

Access the Define Diagnostic Source Types page Internal Controls Enforcer, Master Setup, Diagnostic Setup, Source Type Definition).

Source Types		Customize Find View All First 1-4 of 4 Last	
*Source Type	Description		
PQ_DAO	Peoplesoft JDBC - reference	+	-
PQ_EnterpriseOne	Peoplesoft Enterprise One	+	-
PQ_Other	Peoplesoft Other	+	-
PQ_SingleSignon	Peoplesoft Single Signon	+	-

Last Update Date/Time: 12/02/04 5:42:46PM Last Update User ID: VP1

Define Diagnostic Source Types page

The following source types are delivered with the system:

- PQ_DAO.

This source type is for utilizing free-text SQL to retrieve information from remote databases using JDBC (Java Database Connectivity). DAO is an acronym for data access object. Because of security concerns, this source type requires a user name and password to access the remote database. This is provided only as an example.

- PQ_Other.

This source type is for PeopleSoft Enterprise Financial Management databases without single signon. This is provided only as an example.

- PQ_SingleSignon.

This source type is for PeopleSoft Enterprise Financial Management databases with single signon. If you intend to set up diagnostics for use with PeopleSoft Enterprise databases, use this option.

- PQ_EnterpriseOne.

This source type is for PeopleSoft EnterpriseOne applications. If you intend to set up diagnostics for use with PeopleSoft EnterpriseOne, use this option.

To define additional source types, insert rows into the Source Types grid, and complete the following fields:

Source Type Enter an identifier for the source type.

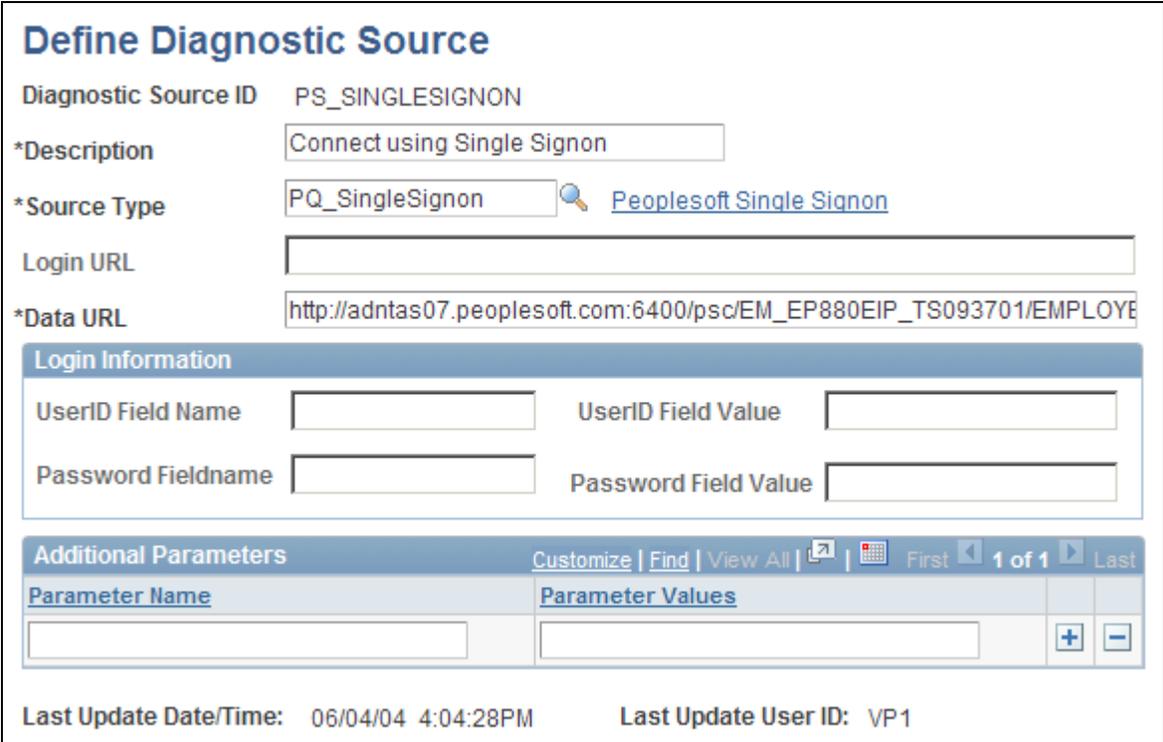
Description Enter a description of the source. The description appears in the selection list for the Source Type field on the Define Diagnostic Source page.

When you use the Define Diagnostic Source page to set up a diagnostic source, the valid source types are derived from the source types that are established on this page.

Note. This is one of many steps required to add additional sources for use with diagnostics. For example, you must create a Java program to support a new source.

Specifying Diagnostic Sources

Access the Define Diagnostic Source page (Internal Controls Enforcer, Master Setup, Diagnostic Setup, Source Definition).



Define Diagnostic Source

Diagnostic Source ID PS_SINGLESIGNON

*Description

*Source Type [Peoplesoft Single Signon](#)

Login URL

*Data URL

Login Information

UserID Field Name UserID Field Value

Password Fieldname Password Field Value

Additional Parameters [Customize](#) | [Find](#) | [View All](#) | [First](#) | [1 of 1](#) | [Last](#)

Parameter Name	Parameter Values
<input type="text"/>	<input type="text"/>

Last Update Date/Time: 06/04/04 4:04:28PM Last Update User ID: VP1

Define Diagnostic Source page

PeopleSoft Internal Controls Enforcer uses the information in these fields to access the external source system when retrieving data for diagnostics.

Diagnostic Source Fields

Diagnostic Source ID and **Description** Enter a source identifier and a description of the source.

Source Type	<p>Specify the source type. You establish source types by using the Define Diagnostic Source Types page.</p> <p>See Chapter 9, "Establishing and Maintaining Diagnostics," Defining Diagnostic Source Types, page 128.</p>
<source type description>	<p>Click to access the Define Diagnostic Source Types page, where you can review the definition of the source type.</p>
Login URL	<p>Enter the uniform resource locator (URL) to access the login page of the external source system. For non-single signon sources, you must complete this field so the diagnostic can access the source. For PeopleSoft single signon databases, this field is unavailable for entry, because the system uses the options that are specified in the Diagnostic Setup Options group box that is on the Internal Controls Enforcer General Preferences page.</p> <p>This field is 254 characters long; not all characters appear due to page size limitations. However, if you access the field, you can scroll within it to view the entire contents.</p> <p>For PeopleSoft Enterprise the syntax for the login URL is:</p> <p><Scheme>://<server>[:<port>]/<servlet_name>/<SiteName>/?cmd=login</p> <p>Example login URL:</p> <p>http://jbeltz050203.peoplesoft.com/ps/ps/?cmd=login</p> <p>For PeopleSoft EnterpriseOne, the syntax for the login URL is:</p> <p><Scheme>://<server>.<domain>:<port>/invoke/PSFT_EnterpriseOne_ICE.Diagnostics</p> <p>The URL is derived from the server that you are accessing and the folder structure of the flow services; the EnterpriseOne applications deliver their flows in the same folder.</p> <p>Example login URL:</p> <p>http://pidnts3.peoplesoft.com:7777/invoke/PSFT_EnterpriseOne_ICE.Diagnostics</p> <p>For DAO-based sources, specify the DAO implementation class name.</p>
Data URL	<p>Enter the URL to access the external source system data. This field is 254 characters long; not all characters appear due to page size limitations. However, if you access the field, you can scroll within it to view the entire contents.</p> <p>For PeopleSoft Enterprise, the syntax for the data URL is:</p> <p><Scheme>://<server>[:<port>]/<servlet_name>/<SiteName>/<PortalName>/<NodeName>/<content_type>/<content_id>?<content_parm></p> <p>Example data URL:</p> <p>http://jbeltz050203.peoplesoft.com/psc/ps/EMPLOYEE/ERP/s/WEBLIB_EPQDN.ISCRIPT_PQDIAG.FieldFormula.iScript_getDiag</p> <p>For PeopleSoft EnterpriseOne, use the same value you use for the Login URL field.</p> <p>For DAO-based sources, specify the DAO implementation class name.</p>

This table defines the various syntax elements of the URLs:

Syntax Element	Definition
Scheme	The scheme – http or https.
server:port	The web server name and the port number.
servlet_name	The name of the physical servlet that the web server invokes to handle the request. This is either psp or psc.
SiteName	The user-defined site name. This is defined during the installation of PeopleSoft Pure Internet Architecture. This enables you to set up multiple sites on one physical web server.
PortalName	The name of the portal to use for this request. The portal object contains metadata that describes how to present the content, for example, template, pagelets and so on.
NodeName	The name of the node that contains the content for this request.
content_type	The type of the content for this request. For iScripts, this is "s".
content_id	The identification of the content. This, and the type is the unique key to the content being retrieved. For an iScript, the content_id has the following form: <code>Record.Field.Event.Function</code>
?content_parm	The query string parameters (name value pairs) for the content.

Login Information Fields

The system uses these fields to log on to the external source system. These fields are unavailable for entry if the source type is PeopleSoft Single Signon, as they are not used.

When the Diagnostic Data Feed process is scheduled, it is possible that when the job runs, the single signon authentication may have expired. If so, the system will attempt to reestablish the single signon authentication by using the login information that is specified in the Diagnostic Setup Options group box on the Internal Controls Enforcer General Preferences page.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20.](#)

UserID Field Name Enter the name of the field in the external source system that stores user IDs. For PeopleSoft EnterpriseOne, enter *Userid*.

User ID Field Value Enter a valid user ID value.

Password Field Name Enter the name of the field in the external source system that stores user ID passwords. For PeopleSoft EnterpriseOne, enter *Password*.

Password Field Value Enter the password associated with the user ID that you specified in the User ID Field Value field. The system hides the text that you enter, displaying asterisks instead of the actual password.

Additional Parameters Fields

These fields are used to pass additional parameters to the external source system that are required at logon.

Parameter Name Enter the name of the parameter to pass to the external source system.

Parameter Values Enter the parameter to pass to the external source system.

For DAO-based data sources, you are required to provide values for the connection and driver parameters, as they specify the JDBC driver to use and the source to connect to. To use the JDBC-ODBC bridge that is delivered with PeopleTools, enter the following parameter names and values, substituting your actual data source name for <data source name>:

<i>Parameter Name</i>	<i>Parameter Values</i>
connection	JDBC:ODBC:<data source name>
driver	sun.jdbc.odbc.JdbcOdbcDriver

Other drivers will have different values. Refer to your driver manufacturer for the format of the connection string.

For an example of a DAO-based source definition, review the PS_DB source ID delivered with the demo database, which is shown here:

Define Diagnostic Source

Diagnostic Source ID PS_DB

*Description

*Source Type [Peoplesoft JDBC - reference](#)

Login URL

*Data URL

Login Information

UserID Field Name UserID Field Value

Password Fieldname Password Field Value

Additional Parameters [Customize](#) | [Find](#) | [View All](#) | | First 1-2 of 2 Last

Parameter Name	Parameter Values		
<input type="text" value="connection"/>	<input type="text" value="JDBC:ODBC:HY890XVL"/>	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="driver"/>	<input type="text" value="sun.jdbc.odbc.JdbcOdbcDriver"/>	<input type="button" value="+"/>	<input type="button" value="-"/>

Last Update Date/Time: 07/08/05 3:13:07PM Last Update User ID: VP1

Diagnostic source definition example for DAO-based data source

Defining Query References

Access the Define Query Reference page (Internal Controls Enforcer, Master Setup, Diagnostic Setup, Query Definition).

Define Query Reference

Query ID PQ_REFEXPREP

*Description

Select "Business Unit Required" when the query, function or SQL is dependent on the value of the business unit field. When selected, the system automatically inserts the entity business unit as the first parameter of the query that it sends to the remote ERP system

Business Unit Required

Additional Parameters	Customize Find View All
*Parameter Values	First ◀ 1 of 1 ▶ Last
<input style="width: 90%;" type="text"/>	<input type="button" value="+"/> <input type="button" value="-"/>

Last Update Date/Time: 03/17/04 5:44:51PM Last Update User ID: VP1

Define Query Reference page

Query ID and Description

Enter an identifier for the query and a description of the query.

Business Unit Required

Select this option to pass the value of an entity's business unit to the external source system as the first query parameter. This is needed in cases where you are querying control data in a PeopleSoft database, such as the PeopleSoft Enterprise Financial Management database, so that setID redirection can retrieve the appropriate set of records.

The business unit for an entity is defined by using the Entity Definition page.

See [Chapter 5, "Defining Entities and Elements," Defining Entities, page 45.](#)

To pass additional values as parameters to the query in the external source system, insert rows in the Additional Parameters grid and complete this field:

Parameter Values

Enter the value to pass to the query in the external source system.

Defining Function References

Access the Define Function Reference page (Internal Controls Enforcer, Master Setup, Diagnostic Setup, Function Definition).

Define Function Reference

Function ID PQ_AUTHEXPAPPRVLMT

***Description**

Select "Business Unit Required" when the query, function or SQL is dependent on the value of the business unit field. When selected, the system automatically inserts the entity business unit as the first parameter of the query that it sends to the remote ERP system

Business Unit Required

Additional Parameters	Customize Find View All	First 1 of 1 Last
*Parameter Values		
<input style="width: 80%;" type="text"/>		

Last Update Date/Time: 03/17/04 5:36:42PM **Last Update User ID:** VP1

Define Function Reference page

Function ID and Description Enter an identifier for the function and a description of the function.

Business Unit Required Select this check box to pass the value of an entity's business unit to the external source system as the first function parameter. This is needed in cases where the system will access control data in a PeopleSoft database, such as the PeopleSoft Enterprise Financial Management database, so that setID redirection can retrieve the appropriate set of records.

The business unit for an entity is defined by using the Entity Definition page.

See [Chapter 5, "Defining Entities and Elements," Defining Entities, page 45.](#)

To pass additional values as parameters to the function in the external source system, insert rows in the Additional Parameters grid and complete this field:

Parameter Values Enter the value to pass to the function in the external source system.

Defining SQL References

Access the Define SQL Reference page (Internal Controls Enforcer, Master Setup, Diagnostic Setup, SQL Definition).

Define SQL Reference

SQL Identifier: PQ_GCROWLEVELSEC

***Description:**

***SQL Statement:**

SELECT 'X', GC_SECURE_BU, GC_SECURE_SCENARIO,
 GC_SECURE_OP_UNIT, GC_SECURE_ACCT, GC_SECURE_DEPT,
 GC_SECURE_BKCD, GC_SECURE_LOB, GC_SECURE_LOCATION,
 GC_RPT_SECURITY
 FROM PS_GC_INSTALLATION

Select "Business Unit Required" when the query, function or SQL is dependent on the value of the business unit field. When selected, the system automatically inserts the entity business unit as the first parameter of the query that it sends to the remote ERP system

Business Unit Required

Last Update Date/Time: 08/30/05 2:59:24PM **Last Update User ID:** VP1

Define SQL Reference page

SQL Identifier and Description

Enter an ID and description for the SQL reference.

SQL Statement

Enter the SQL to pass to the source system.

The SQL statement is limited to 1800 characters.

The SQL must adhere to JDBC prepared statement standards. This is especially important with respect to bind variables; they must be defined with "?" instead of ":1". If the Business Unit Required check box is selected, then the SQL statement must contain at least 1 bind variable.

Business Unit Required

Select this check box to pass the value of an entity's business unit to the external source system as the first SQL parameter. This is needed in cases where the system will access control data in a PeopleSoft database, such as the PeopleSoft Enterprise Financial Management database, so that setID redirection can retrieve the appropriate set of records.

The business unit for an entity is defined by using the Entity Definition page.

See [Chapter 5, "Defining Entities and Elements," Defining Entities, page 45.](#)

Defining Diagnostics

Access the Define Diagnostics page (Internal Controls Enforcer, Master Setup, Diagnostic Setup, Diagnostic Definition).

Define Diagnostics

SetID: COMMN

Diagnostic ID: BANK_RECON

*Description:

*Diagnostic Source ID [Connect using Single Signon](#)

Source

Query Function SQL

*Name [Bank Reconciliation Audit](#)

Last Update Date/Time: 04/28/04 11:11:07AM Last Update User ID: VP1

Define Diagnostics page

Diagnostic ID and Description Enter an identifier for the diagnostic, and a description of the diagnostic.

Diagnostic Source ID Select the ID of the external source system that the diagnostic uses. Diagnostic sources are established by using the Define Diagnostic Source page.
See [Chapter 9, "Establishing and Maintaining Diagnostics," Specifying Diagnostic Sources, page 129.](#)

<diagnostic source description> Click to access the Define Diagnostic Source page, where you can review the details of the diagnostic source definition.

Source Specify the type of reference this diagnostic uses. Options are:
Query. Select to define a query-based diagnostic.
Function. Select to define a function-based diagnostic.
SQL. Select to define a SQL-based diagnostic.

Name Select the query, function or SQL reference to use for this diagnostic. The list of available values is controlled by the selected source.
These references are established by using the Define Function Reference, Define Query Reference, and Define SQL Reference pages, respectively.
See [Chapter 9, "Establishing and Maintaining Diagnostics," Defining Query References, page 133.](#)
See [Chapter 9, "Establishing and Maintaining Diagnostics," Defining Function References, page 134.](#)
See [Chapter 9, "Establishing and Maintaining Diagnostics," Defining SQL References, page 135.](#)

Processing Diagnostics

This section discusses how to:

- Run the Diagnostic Data Feed process.
- View the status of diagnostic runs.

Pages Used to Process Diagnostics

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Diagnostic Data Feed	EPQ_DIAGNOSTIC_RUN	Internal Controls Enforcer, Manage Diagnostic Feed, Run Diagnostic Feed	Runs the Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH).
Diagnostic Run Log	EPQ_RUN_LOG	<ul style="list-style-type: none"> • Internal Controls Enforcer, Manage Diagnostic Feed, Diagnostic Run Log • Click Run Log on the Diagnostic Data Feed page. 	View the status for Diagnostic Data Feed process runs.

Running the Diagnostic Data Feed Process

Access the Diagnostic Data Feed page (Internal Controls Enforcer, Manage Diagnostic Feed, Run Diagnostic Feed).

Diagnostic Data Feed

Run Control ID: 2009 [Report Manager](#) [Process Monitor](#)

Process Information

*Compliance Project: Compliance Project 1

Diagnostic Selection [Customize](#) | [Find](#) | | First 1-20 of 20 Last

*Diagnostic ID	Description		
<input type="text" value="BANK_RECON"/>	Bank Reconciliation Diagnostic	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="CUST_CREDIT_LIMITS"/>	Customer Credit Limits Diag	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="EXP_APPROVAL_AUDIT1"/>	Expense Approval Audit Diag1	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="EXP_APPROVAL_AUDIT2"/>	Expense Approval Audit Diag2	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="EXP_APPROVAL_AUDIT3"/>	Expense Approval Audit Diag3	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="EXP_APRV_AUDIT1_89"/>	Expense Aprv Audit 1- FMS 8.9	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="JOURNAL_OPTIONS1"/>	Journal Options Diagnostic1	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="JOURNAL_OPTIONS2"/>	Journal Options Diagnostic2	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="JOURNAL_OPTIONS3"/>	Journal Options Diagnostic3	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="ONE_TIME_VENDOR"/>	One Time Vendor Diagnostic	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="RECEIPT_AWARE"/>	Receipt Aware Diagnostic	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY1"/>	Segregation of Duty Diag1	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY2"/>	Segregation of Duty Diag2	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY3"/>	Segregation of Duty Diag3	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY4"/>	Segregation of Duty Diag4	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY5"/>	Segregation of Duty Diag1	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY6"/>	Segregation of Duty Diag6	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY7"/>	Segregation of Duty Diag7	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="SEG_OF_DUTY8"/>	Segregation of Duty Diag8	<input type="button" value="+"/>	<input type="button" value="-"/>
<input type="text" value="VCHR_ENTRY_LIMITS"/>	Voucher Entry Limits	<input type="button" value="+"/>	<input type="button" value="-"/>

Diagnostic Data Feed run control page

Compliance Project Specify the compliance project for which to run diagnostics.

Load All Diagnostics Click to insert all diagnostics for the specified compliance project into the Diagnostic Selection grid.

- Diagnostic ID** Specify a diagnostic to include in the Diagnostic Data Feed process. Only diagnostics for the currently specified compliance project appear in the list of available values.

- Run Log** Click to access the Diagnostic Run Log page, where you can review the process status.

See [Chapter 9, "Establishing and Maintaining Diagnostics," Viewing the Status of Diagnostic Runs, page 140.](#)

- Run** Click to run the Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH).

Viewing the Status of Diagnostic Runs

Access the Diagnostic Run Log page (Internal Controls Enforcer, Manage Diagnostic Feed, Diagnostic Run Log).

Diagnostics Run Log				
Run Control ID: 88DIAG				
Compliance Project: PROJ1 Compliance Project 1				
Customize Find View 100 First 1-10 of 154 Last				
Process Instance	Entity ID	Diagnostic ID	Date Time Stamp	Status
280	US001	BANK_RECON	02/11/2005 1:12PM	Data Fetched OK
280	US001	CUST_CREDIT_LIMITS	02/11/2005 1:12PM	Data Fetched OK
280	US001	E1_APMATCHAUDIT	02/11/2005 1:07PM	Communication Error
280	US001	EXP_APPROVAL_AUDIT1	02/11/2005 1:12PM	Data Fetched OK
280	US001	EXP_APPROVAL_AUDIT2	02/11/2005 1:12PM	Data Fetched OK
280	US001	EXP_APPROVAL_AUDIT3	02/11/2005 1:12PM	Data Fetched OK
280	US001	JOURNAL_OPTIONS1	02/11/2005 1:12PM	Data Fetched OK
280	US001	JOURNAL_OPTIONS2	02/11/2005 1:12PM	Data Fetched OK
280	US001	JOURNAL_OPTIONS3	02/11/2005 1:12PM	Data Fetched OK
280	US001	MATCHING1	02/11/2005 1:12PM	Data Fetched OK

Diagnostic Run Log page

Process Instance	Displays the process instance for the diagnostic run.
Entity ID	Displays the entity that was processed.
Diagnostic ID	Displays the diagnostic that was used.
DateTime Stamp	Displays when the process ran.
Status	<p>Displays the results of the diagnostic run. Values are:</p> <p><i>Data Fetched OK:</i> Indicates that the diagnostic run completed and the external source data was successfully retrieved.</p> <p><i>Exceeded Row Limit of 1000:</i> Indicates that more than 1000 rows of data were fetched. The diagnostics report is limited to 1000 rows. You should review and redesign the associated query or function so that this limit is not exceeded.</p> <p><i>Exceeded Column Limit of 30:</i> Indicates that more than 30 columns of data were fetched. The diagnostics report is limited to 30 columns. You should review and redesign the associated query or function so that this limit is not exceeded.</p> <p><i>Query/Function Error:</i> Indicates that the query or function executed, but an error occurred.</p> <p><i>Invalid XML:</i> Indicates the XML was not in the required XSD format.</p> <p><i>Communication Error:</i> Indicates that there were issues communicating with the external source system, and as a result the diagnostic could not be processed. Click to access the Diagnostic Error XML page, where you can review the details of the error.</p> <p>See Chapter 9, "Establishing and Maintaining Diagnostics," Viewing XML Errors for Diagnostics, page 144.</p> <p><i>Number of rows - Mismatched:</i> When the diagnostic runs, it creates a summary, or "header" row, that includes a count of the number of rows and columns of data that were retrieved. This error message indicates that the actual number of rows retrieved and stored in the Enterprise Portal database did not match the total number of rows calculated in the header row, indicating that there could be a communication error between the external source system database and the Enterprise Portal database.</p> <p><i>Number of columns - Mismatched:</i> When the diagnostic runs, it creates a summary, or "header" row, that includes a count of the number of rows and columns of data that were retrieved. This error message indicates that the actual number of columns retrieved and stored in the Enterprise Portal database did not match the total number of columns calculated in the header row, indicating that there could be a communication error between the external source system database and the Enterprise Portal database.</p> <p><i>Query/Function not exists:</i> Indicates that the query ID or function ID used for the diagnostic does not exist in the external source system.</p>

Viewing Diagnostic Processing Errors

This section discusses how to:

- Specify criteria for viewing diagnostic errors.
- View diagnostic errors.
- View XML errors for diagnostics.

Pages Used to View Diagnostic Processing Errors

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Diagnostic Errors Selection	EPQ_DIAG_ERRSEL	Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Errors	Enter criteria for viewing diagnostic errors.
Diagnostic Errors	EPQ_DIAG_ERRMGR	<ul style="list-style-type: none"> • Click the Get Errors button on the Diagnostic Errors Selection page. • Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Manager <p>Click the Diagnostic Errors Exist! link.</p>	Review errors encountered during diagnostic processing.
Diagnostic Error XML	EPQ_DIAG_ERRXML	<ul style="list-style-type: none"> • Click the Show XML button on the Diagnostic Errors page. • Internal Controls Enforcer, Manage Diagnostic Feed, Diagnostic Run Log <p>Click the Communication Error link.</p>	View the XML code returned by an unsuccessful diagnostic run, to help determine why the run failed.

Specifying Criteria for Viewing Diagnostic Errors

Access the Diagnostic Errors Selection page (Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Errors).

Diagnostic Errors Selection

Compliance Project: PROJ1 Compliance Project 1

All Processes

Process ID

All Entities

Entity ID US001 NEW YORK OPS

All Controls

Control ID

Diagnostic Errors Selection page

Compliance Project	Specify the compliance project for which to view diagnostic errors.
All Processes	Select to view errors for all diagnostic processing runs.
Process ID	Specify a process ID for which to review errors. The system automatically clears the All Processes check box when you complete this field.
All Entities	Select to view errors for all entities.
Entity ID	Specify an entity ID for which to review errors. The system automatically clears the All Entities check box when you complete this field.
All Controls	Select to view errors for all controls.
Control ID	Specify a control ID for which to review errors. The system automatically clears the All Controls check box when you complete this field.
Get Errors	Click to access the Diagnostic Errors page, where you can review the error messages for all of the specified processing runs, entities, and controls.

Viewing Diagnostic Errors

Access the Diagnostic Errors page (click the Get Errors button on the Diagnostic Errors Selection page).

Diagnostic Errors			
Diagnostic ID	Run Date/Time	Status	Error Message
JOURNAL_OPTIONS1	02/08/2005 4:58:53PM	Invalid XML	XML parser error ParseXmlString (159,5) EPQ_DIAG_PACK.Diagnostic.OnExecute Name:validateDiag PCPC:14843 Statement:266 Called from:EPQ_DIAGPROC.Process.GBL.default.1900-01-01.ChkDiag.OnExecute Statement:5
JOURNAL_OPTIONS2	02/08/2005 4:58:53PM	Invalid XML	XML parser error ParseXmlString (159,5) EPQ_DIAG_PACK.Diagnostic.OnExecute Name:validateDiag PCPC:14843 Statement:266 Called from:EPQ_DIAGPROC.Process.GBL.default.1900-01-01.ChkDiag.OnExecute Statement:5
JOURNAL_OPTIONS3	02/08/2005 4:58:52PM	Invalid XML	XML parser error ParseXmlString (159,5) EPQ_DIAG_PACK.Diagnostic.OnExecute Name:validateDiag PCPC:14843 Statement:266 Called from:EPQ_DIAGPROC.Process.GBL.default.1900-01-01.ChkDiag.OnExecute Statement:5

Diagnostic Errors page

This page lists the diagnostic error messages for a compliance project by Diagnostic ID and run date and time.

- Status** Lists the processing status for the diagnostic.
See [Chapter 9, "Establishing and Maintaining Diagnostics," Viewing the Status of Diagnostic Runs, page 140.](#)
- Error Message** Lists the error that occurred.
- Show XML** Click to access the Diagnostic Error XML page, where you can review any XML errors.
See [Chapter 9, "Establishing and Maintaining Diagnostics," Viewing XML Errors for Diagnostics, page 144.](#)

Viewing XML Errors for Diagnostics

Access the Diagnostic Error XML page (click the Show XML button on the Diagnostic Errors page).

Diagnostic Error XML

Compliance Project:	PROJ1	Compliance Project 1
Entity ID:	US001	US001 NEW YORK OPS
Diagnostic ID:	E1_APMATCHAUDIT	Get A/P Matching Audit
Timestamp:	02/07/2005 12:09:25PM	Status: Communication Error
Error Message:		
XML:	<pre><?xml version="1.0" encoding="UTF-8"?><Diagnostic xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:noNamespaceSchemaLocation="C:\User\Enforcer\enforcer.xsd"><DH numRows="0" numCol="0" status="6"><ts>2001-12-17T09:30:47-05:00</ts><sm>Exception Occurred in PQ_EnterpriseOne.GetData()</sm><cn></cn></DH><DD KEY=""><cv></cv></DD></Diagnostic></pre>	

Diagnostic Error XML page

Error Message Displays the error message, if applicable.

XML Displays the XML that was returned, which may provide more details about the cause of the error.

Viewing Diagnostic Reports and Managing Benchmarks

This section discusses how to:

- View and compare diagnostic results and manage benchmarks.
- View a diagnostic report.
- Review all diagnostic reports for a control.
- Comparing diagnostic run results.
- Specify criteria for viewing diagnostic history.
- Review diagnostic history.
- View benchmarks for a control.

Pages Used to View Diagnostic Reports and Manage Benchmarks

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Diagnostic Manager	EPQ_DIAG_MGR	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Manager Internal Controls Enforcer, Subprocess Management, Control Management <p>Click the Manage Diagnostics link.</p> <ul style="list-style-type: none"> Click Manage Diagnostic Reports on the Diagnostic Reports by Control page. 	Review and set benchmarks, access diagnostic report details, select versions of diagnostic reports to compare, set display options for comparing diagnostics.
Diagnostic Reports by Control	EPQ_DIAG_BY_CTRL	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Reports By Control Internal Controls Enforcer, Subprocess Management, Control Management <p>Click the View Diagnostic Reports link.</p> <ul style="list-style-type: none"> Internal Controls Enforcer, Sign Off, Sign-Off Worksheet <p>Click the View link in the Diagnostics column of the Controls grid.</p> <ul style="list-style-type: none"> Internal Controls Enforcer, Sign Off, Sign-Off Sheet <p>Click the View link in the Diagnostics column of the Controls grid.</p>	View diagnostic results of the most recent diagnostic run for all of the diagnostics associated with a control.
Diagnostic Report	EPQ_DIAG_RPT	Click the View Report link on the Diagnostic Manager page.	Shows details for a specific run of a single diagnostic report.

Page Name	Definition Name	Navigation	Usage
Diagnostics Comparison	EPQ_DIAG_COMP	<ul style="list-style-type: none"> Click the Compare Selected link on the Diagnostic Manager page. Click the Compare to Benchmark link on the Diagnostic Manager Page. 	Compare the results of different diagnostic runs for a single diagnostic.
Diagnostic Reports By Control - Benchmark	EPQ_DIAG_BMARK_RPT	Click the View Benchmarks link on the Diagnostic Reports by Control page.	View the established benchmarks for all of a control's diagnostics.
Diagnostics History	EPQ_DIAG_HIST	Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Compare – History	Enter criteria by which to compare results for a single diagnostic over a specified period of time.
Diagnostics History Comparison	EPQ_DIAG_COMP_HIST	<ul style="list-style-type: none"> Click Compare on the Diagnostics History page. Click Compare to Previous on the Diagnostic Manager page. 	Review results for a single diagnostic for an entity over a specified period of time.

Viewing and Comparing Diagnostics Results and Managing Benchmarks

Access the Diagnostic Manager page (Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Manager).

Diagnostic Manager

Compliance Project: PROJ1 Compliance Project 1
 Process ID: CONSOLIDATION Consolidation
 Entity ID: US004 US004 ILLINOIS OPS
 Control ID: GL_C4 Journal Edits

Compare display option
 Show changed sequences only
 Show all sequences

Diagnostics Find First 1-3 of 3 Last

Diagnostic ID: JOURNAL_OPTIONS1 Journal Options Diagnostic1

Diagnostic Instances Customize Find View All First 1 of 1 Last

Run Date/Time	View Report	Benchmark		
<input type="checkbox"/> 07/31/05 12:00:00AM	View Report	<input checked="" type="checkbox"/>		Set Benchmark

Diagnostic ID: JOURNAL_OPTIONS2 Journal Options Diagnostic2

Diagnostic Instances Customize Find View All First 1 of 1 Last

Run Date/Time	View Report	Benchmark		
<input type="checkbox"/> 07/31/05 12:00:00AM	View Report	<input checked="" type="checkbox"/>		Set Benchmark

Diagnostic ID: JOURNAL_OPTIONS3 Journal Options Diagnostic3

Diagnostic Instances Customize Find View All First 1 of 1 Last

Run Date/Time	View Report	Benchmark		
<input type="checkbox"/> 07/31/05 12:00:00AM	View Report	<input checked="" type="checkbox"/>		Set Benchmark

Diagnostic Manager page

This page lists every diagnostic run for all of the diagnostics associated with a single control instance. Within the Diagnostics group box, each diagnostic is listed by diagnostic ID. For each diagnostic ID, the Diagnostic Instances grid lists every processing run on a separate row.

Diagnostic Errors Exist! Click this option to access the Diagnostic Error page, where you can review the error messages that exist for the diagnostics that are associated with this control instance. This link appears only if diagnostic errors exist.

Compare Display Option

These options control the information from the diagnostic run results that the system displays when you view the Diagnostic Comparison page by clicking the various compare links.

Show changed sequences only Select this option to view only the sequences that differ.

The diagnostic report is made up of rows and columns of data, and each row is equivalent to a sequence. This limits the comparison view to only the sequences that have results that differ, instead of viewing every sequence.

Show all sequences Select this option to view all diagnostic run sequences.

Diagnostic Instances

View Report	Click this option to access the Diagnostic Report page, where you can review the data retrieved by a particular processing run for a diagnostic.
Benchmark	If selected, indicates the processing run was designated as a benchmark. This is a display-only field. There is only one active benchmark at any time—the most recent processing run that has the benchmark check box selected.
Compare to Benchmark	Click this option to access the Diagnostics Comparison page where you can view the diagnostic results of the current row's processing run and the results of the active benchmark processing run for comparison purposes.
Compare to Previous	Click this option to access the Diagnostics Comparison page where you can view the diagnostic results of the current row's processing run and the results of the immediately preceding processing run for comparison purposes.
Compare Selected	Click this option to access the Diagnostics Comparison page where you can view the diagnostic results of the selected processing runs for comparison purposes.
Set Benchmark	Click this option to set the current row as the established benchmark.

Viewing a Diagnostic Report

Access the Diagnostic Report page (Click the View Report link on the Diagnostic Manager page).

Diagnostic Report

Compliance Project: PROJ1 Compliance Project 1
Process ID: 88DIAGSP 88DIAGSP
Entity ID: US001 US001 NEW YORK OPS
Control ID: F_88DIAG FUNCTION 88 DIAG
Diagnostic ID: SEG_OF_DUTY8 Segregation of Duty Diag8
Run Date/Time: 06/04/04 4:26:42PM

Diagnostic Report		Customize Find View 100 First 1-10 of 152 Last
ROLEUSER	PAGE ACCESS	
AMS1	ENTER TRANSFER TEMPLATES	
AMS2	ENTER TRANSFER TEMPLATES	
AMS3	ENTER TRANSFER TEMPLATES	
AMS4	ENTER TRANSFER TEMPLATES	
APS1	ENTER TRANSFER TEMPLATES	
APS2	ENTER TRANSFER TEMPLATES	
APS3	ENTER TRANSFER TEMPLATES	
APS4	ENTER TRANSFER TEMPLATES	
ARS1	ENTER TRANSFER TEMPLATES	
ARS2	ENTER TRANSFER TEMPLATES	

Diagnostic Report page

This page lists the diagnostic results for a specific diagnostic run.

The fields that comprise the diagnostic report are listed as the columns of the Diagnostic Report grid, and each row in the grid corresponds to a row of diagnostic results.

Reviewing All Diagnostic Reports for a Control

Access the Diagnostic Reports by Control page (Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Reports By Control).

Diagnostic Reports By Control

Compliance Project: PROJ1 Compliance Project 1
Process ID: CONSOLIDATION Consolidation
Entity ID: US001 US001 NEW YORK OPS
Control ID: GL_C4 Journal Edits [View Benchmarks](#) [Manage Diagnostic Reports](#)

Diagnostics Find First 1-3 of 3 Last

Diagnostic ID: JOURNAL_OPTIONS1 Journal Options Diagnostic1
Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report Customize | Find | View All | [?] | [] First 1 of 1 Last

BUSINESS UNIT	JRNL BALANCE OPTN	JRNL EDIT ERR OPTN	CONTROL TOTAL OPTN	JRNL AMT ERR OPTN	JRNL DT ERR OPTN	JRNL DT ERR OPTN2
US001	R	R	R	R	R	R

Diagnostic ID: JOURNAL_OPTIONS2 Journal Options Diagnostic2
Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report Customize | Find | View All | [?] | [] First 1-10 of 11 Last

BUSINESS UNIT	JRNL BALANCE OPTN	JRNL EDIT ERR OPTN	CONTROL TOTAL OPTN	JRNL AMT ERR OPTN	JRNL DT ERR OPTN	JRNL DT ERR OPTN2
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D
US001	D	D	D	D	D	D

Diagnostic ID: JOURNAL_OPTIONS3 Journal Options Diagnostic3
Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report Customize | Find | View All | [?] | [] First 1-10 of 32 Last

SETID	JRNL BALANCE OPTN	JRNL EDIT ERR OPTN	CONTROL TOTAL OPTN	JRNL AMT ERR OPTN	JRNL DT ERR OPTN	JRNL DT ERR OPTN2
SHARE	D	D	D	D	D	D
SHARE	D	D	D	D	D	D
SHARE	R	R	R	D	D	D
SHARE	S	S	D	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	D	D	D	D	D	D
SHARE	D	D	D	D	D	D

Diagnostic Reports by Control page

This page lists, for a single control instance, the most recent diagnostic report for every diagnostic that is associated with the control.

For each diagnostic, the Diagnostic Report grid list the fields of the diagnostic report as the column titles, and the rows contain the data retrieved.

View Benchmarks Click this option to access the Diagnostic Reports By Control - Benchmark page, where you can view the benchmark values for each diagnostic.

Manage Diagnostic Reports

Click this option to access the Diagnostic Manager page, where you can manage benchmarks, access diagnostic report details, select versions of diagnostic reports to compare, and set display options for comparing diagnostics.

Comparing Diagnostic Run Results

Access the Diagnostics Comparison page (click either the Compare Selected or Compare to Benchmark link on the Diagnostic Manager page.).

Diagnostics Comparison

Compliance Project: PROJ1 Compliance Project 1

Process ID: CONSOLIDATION Consolidation

Entity ID: US004 US004 ILLINOIS OPS

Control ID: GL_C4 Journal Edits

Diagnostic ID: JOURNAL_OPTIONS2 Journal Options Diagnostic2

Diagnostic Sequences Find First 1-4 of 4 Last

Sequence: 1

Diagnostic Reports			Customize Find First 1-8 of 8 Last
Field Name	02/11/05 1:10:26PM	06/04/04 4:27:22PM	
BUSINESS_UNIT	US004	US004	
LEDGER_GROUP	ADJUSTMENT	--	
JRNL_BALANCE_OPTN	D	D	
JRNL_EDIT_ERR_OPTN	D	D	
CONTROL_TOTAL_OPTN	D	D	
JRNL_AMT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN2	D	D	

Sequence: 2

Diagnostic Reports			Customize Find First 1-8 of 8 Last
Field Name	02/11/05 1:10:26PM	06/04/04 4:27:22PM	
BUSINESS_UNIT	US004	US004	
LEDGER_GROUP	PROJECTS	--	
JRNL_BALANCE_OPTN	D	D	
JRNL_EDIT_ERR_OPTN	D	D	
CONTROL_TOTAL_OPTN	D	D	
JRNL_AMT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN2	D	D	

Sequence: 3

Diagnostic Reports			Customize Find First 1-8 of 8 Last
Field Name	02/11/05 1:10:26PM	06/04/04 4:27:22PM	
BUSINESS_UNIT	US004	US004	
LEDGER_GROUP	RECORDING	--	
JRNL_BALANCE_OPTN	D	D	
JRNL_EDIT_ERR_OPTN	D	D	
CONTROL_TOTAL_OPTN	D	D	
JRNL_AMT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN2	D	D	

Sequence: 4

Diagnostic Reports			Customize Find First 1-8 of 8 Last
Field Name	02/11/05 1:10:26PM	06/04/04 4:27:22PM	
BUSINESS_UNIT	US004	US004	
LEDGER_GROUP	REPORTING	--	
JRNL_BALANCE_OPTN	D	D	
JRNL_EDIT_ERR_OPTN	D	D	
CONTROL_TOTAL_OPTN	D	D	
JRNL_AMT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN	D	D	
JRNL_DT_ERR_OPTN2	D	D	

Diagnostic Comparison page

This page shows the diagnostic results for the runs selected on the Diagnostic Manager page, for comparison purposes. The results are listed by sequence, which equates to a single row of data from the diagnostic report. For each sequence, the first column of the Diagnostic Reports grid contains the field names that are in the diagnostic report, and the remaining columns list the results for each field for a each selected run, with the run date and time as the column heading. This view provides you with a row by row comparison of the diagnostic report for the selected runs.

Benchmark results appear bold to distinguish them, and changed data appear blue and bold to distinguish them.

If you opt to show only changed sequences, this page displays only the results that differ, which means, in general, that there would be fewer columns listed in each sequence grid (unless the results differ every run). If no changes take place for a particular row of data, then the sequence grid is blank. In the example shown here, only changed sequences appear, and because there were no differences in the results for sequences 1 and 3 for the two selected comparison runs, they are blank. In sequence 2 there were differences between the two diagnostic runs, and the changed value is "N" as indicated by the blue. The oldest run was a benchmark.

Specifying Criteria for Viewing Diagnostic History

Access the Diagnostics History page (Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Compare – History).

The screenshot shows the 'Diagnostics History' page with the following fields and options:

- Compliance Project:** PROJ1 (selected) / Compliance Project 1
- Entity ID:** US001 (selected) / US001 NEW YORK OPS
- Diagnostic ID:** BANK_RECON (selected) / Bank Reconciliation Diagnostic
- Start Date:** [Empty field with calendar icon]
- End Date:** [Empty field with calendar icon]
- Compare display option:**
 - Show changed sequences only
 - Show all sequences
- Compare** button
- Notify** button

Diagnostics History page

Entity ID, Diagnostic ID, Start Date, and End Date Specify the diagnostic, entity, and date range for which to view diagnostic results.

Compare Click to view the Diagnostic History Comparison page, and see the historical results.

Compare Display Option

These options control the information from the diagnostic run results that the system displays when you view the Diagnostic History Comparison page by clicking Compare.

Show changed sequences only Select this option to view only the sequences that differ.

The diagnostic report is made up of rows and columns of data, and each row of data in the diagnostic report is equivalent to a sequence on the Diagnostic History Comparison page. This limits the comparison view to only the sequences that have results that differ over time instead of viewing all of the data.

Show all sequences Select this option to view all sequences of the diagnostic reports that occur within the specified date range.

Reviewing Diagnostic History

Access the Diagnostic History Comparison page (click Compare on the Diagnostics History page).

Diagnostic History Comparison

Compliance Project: PROJ1 Compliance Project 1

Start Date: 05/31/2004

End Date: 02/11/2005

Diagnostic ID: ONE_TIME_VENDOR One Time Vendor Diagnostic

Diagnostic Sequences Find First 1-69 of 69 Last

Sequence: 1

Diagnostic Reports Customize Find First 1-3 of 3 Last

Field Name	02/11/05 1:10:07PM	06/04/04 4:27:31PM
OPRID	AMSYS	AMSYS
NAME1	Asset Management System Admini	Asset Management System Admini
AUTH_SGL_PYMNT_VCH	Y	N

Sequence: 2

Diagnostic Reports Customize Find First 1-3 of 3 Last

Field Name	02/11/05 1:10:07PM	06/04/04 4:27:31PM
OPRID	APA2	APA2
NAME1	Payables Analyst 2	Payables Analyst 2
AUTH_SGL_PYMNT_VCH	Y	Y

Sequence: 3

Diagnostic Reports Customize Find First 1-3 of 3 Last

Field Name	02/11/05 1:10:07PM	06/04/04 4:27:31PM
OPRID	APS1	APS1
NAME1	Payables Supervisor 1	Payables Supervisor 1
AUTH_SGL_PYMNT_VCH	Y	N

Diagnostic History Comparison

This page shows the results of the criteria that were specified on the Diagnostic History page. The results are listed by sequence, which equates to a single row of data from the diagnostic report. For each sequence, the first column of the Diagnostic Reports grid contains the field names that are in the diagnostic report, and the remaining columns list the results for each field for a particular run, with the run date and time as the column heading. This view provides you with a comparison, over time, of each row of the diagnostic report.

The benchmark results are bold to distinguish them from the other data.

If you opt to show only changed sequences, then the report lists only the results that differ, which means, in general, that there would be fewer columns listed in each sequence grid (unless the results differ every run). If no changes take place over time for a particular row of data, then the sequence grid is blank. The changed data are blue and bold to distinguish them.

Viewing Benchmarks for a Control

Access the Diagnostic Reports By Control - Benchmark page (click the View Benchmarks link on the Diagnostic Reports by Control page).

Diagnostic Reports By Control - Benchmark

Compliance Project: PROJ1 Compliance Project 1
 Process ID: CONSOLIDATION Consolidation
 Entity ID: US004 US004 ILLINOIS OPS
 Control ID: GL_C4 Journal Edits [Manage Diagnostic Reports](#)

Diagnostics Find First 1-3 of 3 Last

Diagnostic ID: JOURNAL_OPTIONS1 Journal Options Diagnostic1
 Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report Customize | Find | View All | [Print] | [Calendar] First 1 of 1 Last

BUSINESS UNIT	JRNL BALANCE OPTN	JRNL EDIT ERR OPTN	CONTROL TOTAL OPTN	JRNL AMT ERR OPTN	JRNL DT ERR OPTN	JRNL DT ERR OPTN2
US004	R	S	R	R	R	R

Diagnostic ID: JOURNAL_OPTIONS2 Journal Options Diagnostic2
 Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report Customize | Find | View All | [Print] | [Calendar] First 1-4 of 4 Last

BUSINESS UNIT	JRNL BALANCE OPTN	JRNL EDIT ERR OPTN	CONTROL TOTAL OPTN	JRNL AMT ERR OPTN	JRNL DT ERR OPTN	JRNL DT ERR OPTN2
US004	D	D	D	D	D	D
US004	D	D	D	D	D	D
US004	D	D	D	D	D	D
US004	D	D	D	D	D	D

Diagnostic ID: JOURNAL_OPTIONS3 Journal Options Diagnostic3
 Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report Customize | Find | View All | [Print] | [Calendar] First 1-10 of 32 Last

SETID	JRNL BALANCE OPTN	JRNL EDIT ERR OPTN	CONTROL TOTAL OPTN	JRNL AMT ERR OPTN	JRNL DT ERR OPTN	JRNL DT ERR OPTN2
SHARE	D	D	D	D	D	D
SHARE	D	D	D	D	D	D
SHARE	R	R	R	D	D	D
SHARE	S	S	D	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	R	R	R	D	D	D
SHARE	D	D	D	D	D	D
SHARE	D	D	D	D	D	D

[Return](#)

Diagnostic Reports By Control - Benchmark page

This page shows the details for the diagnostic report that is the current benchmark. The column titles within the Diagnostic Report grid are the fields that comprise the diagnostic report.

Manage Diagnostic Reports

Click this option to access the Diagnostic Manager page, where you can manage benchmarks, access diagnostic report details, select versions of diagnostic reports to compare, and set display options for comparing diagnostics.

Chapter 10

Monitoring and Managing Controls

This chapter provides an overview of subprocess management and discusses how to:

- Monitor and manage controls.
- Manage test plans and action plans.
- Monitor sign-off status.

Understanding Subprocess Management

To monitor critical metrics regarding internal control status, there are several pages that enable key individuals to view control status and subsequently initiate action plans and test plans to ensure internal controls effectiveness in accordance with Section 404 of the Sarbanes-Oxley Act of 2002. By using these pages, individuals can access pertinent detailed information, view the name of the person responsible for a process, test, or action plan, and send a notification to the person responsible should there be a concern. These actions support the overall objective to achieve 100 percent effective internal controls within a specified period of time, and to overcome issues prohibiting 100 percent effectiveness by a required date. This section discusses:

- Control status.
- Test plans and action plans.
- Test packages.

Control Status

The Control Status field indicates the state of a control at a given point in time. Because various actions cause the status to change, this field is dynamic and its value fluctuates over time. Initially when process instances are generated, the system sets the control status for all controls to *Not Proven*. Subsequently, the following actions can change the status of a control:

- Manually updating the control status field.

Subprocess owners can update the control status by using the Control Management page.

- Running diagnostics.

When you run diagnostics, if the system determines that the data that a diagnostic retrieves differs from the data retrieved in the previous run, the system automatically sets the status of all control instances associated with that diagnostic that are currently in *Proven* status to *Not Proven*.

- Initiating a test plan or an action plan.

When a test plan or action plan is initiated for a control that is currently in *Proven* status, the system automatically changes the control's status to *Not Proven*.

- Generating test plans.

When you generate test plans, either by running the Test Plan Generator Application Engine process (EPQ_TP_GEN) or by generating sign-off sheets, the system sets the status for all included controls that are currently in *Proven* status to *Not Proven*.

- Generating sign-off sheets.

- When annual sign-off sheets are generated, the system sets the status for all included controls that are currently in *Proven* status to *Not Proven*.
- When semiannual or quarterly sign-off sheets are generated, the system sets the status for all included controls whose test frequency is *Same as Sign Off* that are currently in *Proven* status to *Not Proven*.

- Updating sign-off worksheets.

When subprocess owners access their sign-off worksheets, if they set either the Changed Since Last Sign Off or the Needs Testing fields to *yes*, the system automatically changes the associated control's status to *Not Proven* if it was in *proven* status.

Subprocesses can be signed off only if the status of all their associated controls is *Proven* or *Exception*.

If an action plan or test plan is associated with a control, the system does not allow the control status to be set to *Proven* until the test plan is completed and passed (or canceled), and until the action plan is completed (or canceled).

Test Plans and Action Plans

You can initiate test plans and action plans to resolve issues that are preventing controls from being proven effective.

Test Plans

Test plans are initiated to test unproven controls. Test plans can be automatically generated, as well as created manually one by one. Typically, test plans are based on a test plan template, and are generated automatically when you generate sign-off sheets, but that is not a requirement— you can create test plans on demand, with or without using a template. However, test plan templates— which are associated with a control when you define the control— do provide additional functionality. A test plan template can include a checklist of items to complete during control testing, and therefore only test plans that are based on templates can have checklists.

When you associate test plan templates with a control, you can specify the dependencies of the test plan templates, and therefore also the resulting test plans. Test plans that are automatically created from test plan templates are sequenced according to the order that is specified when the test template is associated with its control. Sequencing is handled by specifying the test plan template that another template is dependent on, rather than a number order. When you create a test plan manually, you can also specify what test plan the new test is dependent on, if any. After a test plan is created, you can re-sequence the test if required, but only if it has not been started. Test plans that are not dependent on other test plans can be executed anytime and in parallel. Test plans that are dependent on the same test plans can also be executed in parallel, but only after the test plan that they are dependent on is completed or canceled.

The following methods can be used to generate test plans:

- When you generate sign-off sheets the system automatically creates test plans for all controls that have test plan templates associated with them.

See [Chapter 6, "Establishing the Risk Control Repository," Establishing Risks and Controls, page 67](#) and [Chapter 6, "Establishing the Risk Control Repository," Establishing Checklists, Template Attributes, and Test Plan Templates, page 60](#).

- By running the Test Plan Generator Application Engine process (EPQ_TP_GEN).

See [Chapter 10, "Monitoring and Managing Controls," Generating Test Plans on Demand, page 177](#).

The following methods can be used to manually create test plans:

- Adding a test plan by using the Test Plan page.

See [Chapter 10, "Monitoring and Managing Controls," Maintaining Test Plans, page 179](#).

- Adding a test plan by clicking the Create New Test Plan button on the Test Plan Package page.

See [Chapter 10, "Monitoring and Managing Controls," Reviewing Test Package Status, page 186](#).

Regardless of the method used to create test plans, the system automatically generates the test plan ID by concatenating the control instance ID, the test template instance ID (if applicable), and a sequentially generated six-digit number, inserting an underscore between each concatenated portion.

Test Plan ID = (Control ID) + "_" + (Test Template Instance ID) + "_" + N, where N equals a sequentially incremented six-digit number starting with 000001.

To update the status of a test plan, access the Test Plan page, and select a value in the Change Status field. The status cannot be changed to *Started* unless an actual start date has been entered nor set to *Completed* unless an actual end date has been entered.

Test plans must be set to a status of *Completed* or *Canceled* in order to change the control status to *Proven* or *Exception*.

When a new test plan is created, the system changes the control status value to *Unproven* if the current control status value is either *Proven*, *Exception*, or *Missing*.

Action Plans

Action plans represent projects that you initiate to resolve ineffective or missing controls. Like test plans, there can be one or more active action plans at a time for a given control

To create an action plan, click the Create New Action Plan button by using the Control Management page. The status of all action plans that are associated with a control must be *Completed* or *Canceled* before you can set the control status to *Proven*. Action plans may be open or outstanding to set the control status to *Exception*.

When a new action plan is created, the system changes the control status value to *Unproven* if the current control status value is *Proven*. The control status does not change if the current control status value is either *Exception* or *Missing*.

Owners

You must specify an owner for test plans and action plans. This individual receives notifications when they are assigned to a test plan or action plan. As a test or action plan progresses, the owner should record the progress and update their status accordingly. When test plans are complete, the owner should indicate the test results, either *Passed*, *Failed*, or *Undetermined*.

Dates

The system keeps track of several dates for test and action plans:

- Planned start date.
- Planned end date.
- Actual start date.
- Actual end date.

The system uses these dates to determine whether test plan or action plans have started, and whether they are on time.

File Attachments

You can associate file attachments with active test plans and action plans. This enables you to store and access related documents directly with the test or action plans. The system keeps a history of the activity related to the attached files.

Test Plan and Action Plan Status

The following pages enable you to view the status of test and action plans:

- Unproven Control Monitor page.
This page shows all missing or not proven controls, and the status of their associated test and action plans.
- Control Management component.
This component includes pages that show the current status of a control, and the status of its existing test plans and action plans. You can create new test or action plans by clicking buttons on the pages within this component to access the test plan and action plan definition pages.
- View Test/Action Plan page.
This is an inquiry page for viewing test or action plans that meet specified criteria.

Test Packages

A test package is a collection of test plans that are not tied to the control status. A test package enables you to create test plans that do not impact the status of a control, and therefore do not impact the ability to sign off a control. Unlike test plans, creating a test package does *not* cause a control's status to be set to *not proven*. Use test packages when you want to periodically test controls "unofficially", outside of a formal internal controls certification process.

Test packages can be created only by using the Test Plan Generation application engine process. The ID of a test package is automatically generated with the format of "Prefix_Sequence", where the prefix is specified in the Test Plan Generation run control page. When you run the Test Plan Generation process, if you specify a test package, then the system creates a single test package based on the criteria specified. Test plans within a test package cannot be viewed in the Control Management page because they are not tied to the control status. Instead, you can review them by using the Test Package page.

In the Sign-off Worksheet page, a test package can be associated with a control. Based on a test package's overall status for a control, a subprocess owner can decide whether to set the control status to Proven, Exception, or Not Proven. The overall test result for a test package is based on the worst-case result for the control. If one test within the test package fails, the overall test result is "Failed". If none of the tests fail, but one is undetermined, the overall test result is "Undetermined." If all tests pass, the overall test result is "Passed".

Prerequisites

Process instances must exist before you can maintain control status.

See [Chapter 8, "Generating and Maintaining Instances," page 87](#).

Common Elements Used in This Chapter

Action Status

Displays the current status of an action plan. Values are:

Not Started: Indicates that the action plan has not yet started and that the current date is earlier than the planned start date.

Started: Indicates that the action plan has started.

Late: Indicates that the action plan has not yet started and that the current date is later than the planned start date.

In Progress: Indicates that the action plan has started, and that the current date is later than the planned start date but earlier than the planned end date.

Past Due: Indicates that the action plan has started, but the current date is later than the planned end date.

Canceled: Indicates that the action plan was canceled.

Completed: Indicates that the action plan is complete.

Control Status

Displays the current status of a control. Values are:

Missing: Indicates that the control should be in place but is not. This value must be specifically selected by using the Control Management page. The system does not permit subprocess owners to sign off a subprocess if it has any controls that are in this state.

Not Proven: Indicates that the control has not been verified. This is the initial control status value. You can specifically select this value, or the system automatically sets the control status to this value under certain conditions. The system does not permit subprocess owners to sign off a subprocess if it has any controls that are in this state.

Exception: Indicates that this control is an exception and does not need to be signed off. For example, you might select this option if a control isn't effective but your organization feels that it is not significant enough to prevent sign off. The system *does* permit subprocess owners to sign off a subprocess if it has any controls that are in this state. It is recommended that comments be entered on the Control Management page to provide a record of why a control was made an exception.

Proven: Indicates that the control has been verified. The system permits sign-off for subprocesses that have controls in this state. If there is an action plan or test plan associated with the control, you can't select *Proven* until the test plan is completed and passed (or canceled), and until the action plan is completed.

Test Status

Displays the current status of a test plan. Values are:

Not Started: Indicates that the test has not yet started and that the current date is earlier than the planned start date.

Started: Indicates that the test has started.

Late: Indicates that the test has not yet started and that the current date is later than the test's planned start date.

In Progress: Indicates that the test has started, and that the current date is later than the planned start date but earlier than the planned end date.

Past Due: Indicates that the test has started, but the current date is later than the planned end date.

Canceled: Indicates that the test was canceled.

Completed: Indicates that the action plan is complete.



Appears for test plans or action plans that have a status of *Not Started*. Click to access the Action Plan page or the Test Plan page.



Appears for test plans or action plans that have a status of *Late*. Click to access the Action Plan page or the Test Plan page.



Appears for test plans or action plans that have a status of *In Progress*. Click to access the Action Plan page or the Test Plan page.



Appears for test plans or action plans that have a status of *Past Due*. Click to access the Action Plan page or the Test Plan page.



Appears for test plans or action plans that have a status of *Completed*. Click to access the Action Plan page or the Test Plan page.



Appears for test plans or action plans that have a status of *canceled*. Click to access the Action Plan page or the Test Plan page.



Appears for controls that have a status of *Not Proven*. Click to access the Control Management component pages.



Appears for controls that have a status of *Missing*. Click to access the Control Management component pages.



Appears for controls that have a status of *Exception*. Click to access the Control Management component pages.

Monitoring and Managing Controls

This section discusses how to:

- View ineffective controls for a subprocess.
- Manage control status.
- Review a control's test plan status.
- Review a control's action plan status.
- Enter comments.
- Review comments.

Pages Used to Monitor and Manage Controls

Page Name	Definition Name	Navigation	Usage
Unproven Control Monitor	EPQ_SP_ALRTMNTR	Internal Controls Enforcer, Subprocess Management, Unproven Control Monitor	Review ineffective controls for a subprocess and the status of the associated test plans or action plans.
Control Management	EPQ_BPI_CTL_STATUS	<ul style="list-style-type: none"> • Internal Controls Enforcer, Subprocess Management, Control Management • Click a control status on various pages. 	Manage a control's status, review the status of its current test plan or action plan, and initiate a new test plan or action plan.

Page Name	Definition Name	Navigation	Usage
Control Management - Test Plan	EPQ_BPICTL_TESTPLN	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Control Management, Test Plan Click the value in the Number of Test Plans field on the Unproven Control Monitor page. Click the test plan description on various pages. 	Review the status of a control's test plans, and access pages that enable you to create new test plans for the control, or update the status of the test plan.
Control Management - Action Plan	EPQ_BPICTL_ACTNPLN	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Control Management, Action Plan Click the value in the Number of Action Plans field on the Unproven Control Monitor page. Click the action plan description on various pages. 	Review the status of a control's action plans, and access pages that enable you to create new action plans for the control, or update the status of the action plan.
Reviewer Comment	EPQ_ADD_COMMENT	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Add Reviewer Comments Click the Add Reviewer Comments button on various pages. 	Enter notes about action plans or test plans, including reasons for any changes to their status.
View Reviewer Comments	EPQ_VIEW_COMMENT	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, View Reviewer Comments Click the View Reviewer Comments link on various pages. 	View existing comments that meet specific criteria.

Viewing Ineffective Controls for a Subprocess

Access the Unproven Control Monitor page (Internal Controls Enforcer, Subprocess Management, Unproven Control Monitor).

Unproven Control Monitor

Compliance Project: PROJ1 Compliance Project 1

Subprocess: MAINT_CUST_MASTER Maintain customer master file

Process Owner: PAPO_SUBPROCESSOWNER 3

*View: [Internal Control Worksheet](#) [View Test/Action Plan](#)

Alert Monitor										
Risk	Control	Control Status	Number of Action Plans	Action Plans Overdue	Action Plans Not Started	Action Plans In Progress	Number of Test Plans	Test Plans Overdue	Test Plans Not Started	Test Plans In Progress
Unauthorized Chg to Cust Master	Roles and Permissions	⊘ Not Proven	0	0	0	0	1	■ 1	0	0
Over Extending Credit	Roles and Permissions	⊘ Not Proven	0	0	0	0	1	■ 1	0	0
Over Extending Credit	AR Aging	⊘ Not Proven	0	0	0	0	1	■ 1	0	0
Over Extending Credit	Credit Limits	⊘ Not Proven	0	0	0	0	1	■ 1	0	0
No Sales Tax Due is Collected	Signed Tax Exempt Forms	⊘ Not Proven	0	0	0	0	1	■ 1	0	0

Unproven Control Monitor page

This page displays all controls for a subprocess that have a status of either *Exception*, *Missing*, or *Not Proven*.

View

Specify which controls to view in the Alert Monitor grid. Options are:

All Unproven Controls: Select to view all the controls for this subprocess that have a status of either *Exception*, *Missing* or *Not Proven*, regardless of the status of their associated test plans or action plans. This is the initial selection for this field.

Action Alerts: Select to view only controls with late or past due action plans.

Test Alerts: Select to view only controls with late or past due test plans.

Internal Control Worksheet

Click to access the Internal Controls Sign-off Worksheet page, where you can update the corresponding worksheet. This link appears only if there is an active internal control sign-off worksheet.

View Test/Action Plan

Click to access the View Test/Action Plan page, where you can review action plans or tests that meet specified criteria.

Risk

The risk description.

Click to access the Risk Instance Definition page for the risk, where you can view the risk definition.

Control

The control description.

Click to access the Control Instance Definition page for the control, where you can view the control definition.

<control status icon>	<p>This field contains a symbol that represents the current control status.</p> <p>Click to access the Control Management page for this control, where you can change the control status, initiate new test plans and action plans, or view the status of current test and action plans.</p>
Control Status	<p>Displays the current status for the control.</p> <p>Click to access the Control Management page for this control, where you can change the control status, initiate new test plans and action plans, or view the status of current test and action plans.</p>
Number of Action Plans	<p>Lists the number of action plans that exist for the control. For values greater than zero, you can click the value to access the Control Management - Action Plan page, where you can where you can view and maintain the details for this action plan.</p>
<action plan status icon>	<p>This field contains a symbol that represents the overall status of the action plans for this control, using the worst-case result. For example, assume there are three action plans. If one is set to exception, then the system displays the exception icon. If one is set to not started and the other two are started, then the system displays the use the not started icon.</p>
Action Plans Overdue	<p>Lists the number of action plans that have:</p> <ul style="list-style-type: none"> • Not started, and the current date is greater than their planned start dates. • Have started, but are not complete and the current date is greater than their planned end dates.
Action Plans Not Started	<p>List the number of action plans that have not yet started.</p>
Action Plans In Progress	<p>Lists the number of action plans that have started, but are not yet complete.</p>
Number of Test Plans	<p>Lists the number of test plans that exist for the control. For values greater than zero, you can click the value to access the Control Management - Test Plan page, where you can where you can view and maintain the details for this test plan.</p>
<test plan status icon>	<p>This field contains a symbol that represents the overall status of the test plans for this control, using the worst-case result. For example, assume there are three test plans. If one is set to exception, then the system displays the exception icon. If one is set to not started and the other two are started, then the system displays the not started icon.</p>
Test Plans Overdue	<p>Lists the number of test plans that have:</p> <ul style="list-style-type: none"> • Not started, and the current date is greater than their planned start dates. • Have started, but are not complete and the current date is greater than their planned end dates.
Test Plans Not Started	<p>List the number of test plans that have not yet started.</p>

Test Plans In Progress Lists the number of test plans that have started, but are not yet complete.

Managing Control Status

Access the Control Management page (Internal Controls Enforcer, Subprocess Management, Control Management).

Control Management		Test Plan	Action Plan
Compliance Project:	PROJ1	Compliance Project 1	
Subprocess:	Cash applications	Entity:	US004 ILLINOIS OPS
Control:	Payment Predictor	Priority:	Primary
Control Type:	Automated		
Current Control Status			
Updated on:	07/20/2005 11:46:16AM	Last Updated By:	VP1
Current Status:	Not Proven	*Change Status:	<input type="text" value="Not Proven"/>
Comments:	<input type="text"/>		
Test Plan Status			
Number of Tests:	2	Tests Not Started:	0
Tests In Progress:	0	Tests Completed:	1
Tests Cancelled:	0	Tests Overdue:	1
Action Plan Status			
Number of Action Plans:	1	Action Plans Not Started:	0
Action Plans In Progress:	0	Action Plans Completed:	0
Action Plans Cancelled:	1	Action Plans Overdue:	0

Control Management page

<control description> Click to access the Control Instance Definition page for the control, where you can view the details for the control instance.

Current Control Status

Current Status Displays the current control status value.

Change Status	To change the control status, select a value from the drop-down list box. Values are: <i>Exception, Missing, Not Proven</i> , and <i>Proven</i> .
Manage and View Diagnostics	Click to access the Diagnostic Manager page, where you can view the diagnostic runs, compare to the current benchmark, and set a new benchmark. This link appears only when a diagnostic is associated with the control.
Comments	Enter text to document the reason for the status change.

Test Plan Status

This group box summarizes the following details about the test plans that are associated with this control:

Number of Tests	The total number of test plans that are associated with this control.
Tests in Progress	The total number of the control's test plans that have started, but have not yet completed.
Tests Cancelled	The total number of the control's test plans that have been canceled.
Tests Not Started	The total number of the control's test plans that have not yet started.
Tests Completed	The total number of the control's test plans that have been completed.
Tests Overdue	The total number of the control's test plans that have: <ul style="list-style-type: none"> • Not started, and the current date is greater than their planned start dates. • Have started, but are not complete, and the current date is greater than their planned end dates.

Action Plan Status

This group box summarizes the following details about the action plans that are associated with this control:

Number of Action Plans	The total number of action plans that are associated with this control.
Action Plans in Progress	The total number of the control's action plans that have started, but have not yet completed.
Action Plans Cancelled	The total number of the control's action plans that have been canceled.
Action Plans Not Started	The total number of the control's action plans that have not yet started.
Action Plans Completed	The total number of the control's action plans that have been completed.

Action Plans Overdue The total number of the control's action plans that have:

- Not started, and the current date is greater than their planned start dates.
- Have started, but are not complete, and the current date is greater than their planned end dates.

Reviewing a Control's Test Plan Status

Access the Control Management - Test Plan page (Internal Controls Enforcer, Subprocess Management, Control Management, Test Plan).

Control Management		Test Plan	Action Plan						
Compliance Project:	PROJ1	Compliance Project 1							
Subprocess:	Cash applications	Entity:	US004 ILLINOIS OPS						
Control:	Payment Prediction	Priority:	Primary						
Control Type:	Automated								
Test Plan									
Test Plan		Plan Description							
Sequence	Test Plan	Execute After	Status	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	Result	Assigned To
1	AR_SP3_C1-AR_SP3_C1_T1-000001		✓ Completed	07/05/2004	07/09/2004	07/05/2004	07/09/2004	Passed	PAPQ_TESTPLANOWNER
1	AR_SP3_C1-AR_SP3_C1_T1-000002		▼ Late	07/20/2005	09/30/2005			Undetermined	PAPQ_TESTPLANOWNER
<input type="button" value="Create New Test Plan"/>									

Control Management - Test Plan page

<control description> Click to access the Control Instance Definition page for the control, where you can view the details for the control instance.

Test Plan Fields

Sequence Displays the system generated sequence number for the test plan.

Test Plan Displays the test plan ID. Click to access the Test Plan page, where you can maintain the details of the test plan.

Execute After If populated, this lists the test plan ID upon which the current test plan is dependent. The test plan can only start when this dependent test plan is completed or canceled. If this is blank, then the test plan does not have any dependencies.

<status icon> This field contains a symbol that represents the current test plan status.

- Status** Displays the current status for the test plan.

- Planned Start Date, Planned End Date, Actual Start Date, Actual End Date** Lists the various planned and actual (if started or completed) dates associated with the test plan.

- Result** Displays the results of the test plan. Values are:
Failed, Passed, and Undetermined.

- Assigned To** Displays the user ID of the owner assigned to the test plan. Click to access the Send Notification page, where you can compose and send a notification to that individual.

- Description** Displays the text of the long description field for the test plan.

Reviewing a Control's Action Plan Status

Access the Control Management - Action Plan page (Internal Controls Enforcer, Subprocess Management, Control Management, Action Plan).

The screenshot displays the 'Action Plan' section of the Control Management interface. It includes a navigation bar with 'Control Management', 'Test Plan', and 'Action Plan' tabs. Below the navigation bar, key information is presented: Compliance Project (PROJ1), Subprocess (Cash applications), Control (Payment Predictor), Control Type (Automated), Entity (US004 ILLINOIS OPS), and Priority (Primary). The main area features an 'Action Plan' table with columns for Sequence, Action Plan, Execute After, Status, Planned Start Date, Planned End Date, Actual Start Date, Actual End Date, and Assigned To. A single row is visible with a cancelled status. A 'Create New Action Plan' button is located at the bottom of the table area.

Sequence	Action Plan	Execute After	Status	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	Assigned To
1	AR_SP3_C1_AP1		Cancelled	08/02/2004	08/06/2004			PBPQ_ACTIONPLANOWNER

Control Management - Action Plan page

<control description> Click to access the Control Instance Definition page for the control, where you can view the details for the control instance.

Action Plan Fields

Sequence Displays the system generated sequence number for the action plan.

Action Plan Displays the action plan ID. Click to access the Action Plan page, where you can maintain the details of the action plan.

Execute After	If populated, this lists the action plan ID upon which the current action plan is dependent. The action plan can only start when this dependent action plan is completed or canceled. If this is blank, then the action plan does not have any dependencies.
<status icon>	This field contains a symbol that represents the current action plan status.
Status	Displays the current status for the action plan.
Planned Start Date, Planned End Date, Actual Start Date, Actual End Date	Lists the various planned and actual (if started or completed) dates associated with the action plan.
Result	Displays the results of the action plan. Values are: <i>Failed, Passed, and Undetermined.</i>
Assigned To	Displays the user ID of the owner assigned to the action plan. Click to access the Send Notification page, where you can send a notification to that individual.
Description	Displays the text of the long description field for the action plan.

Entering Comments

Access the Reviewer Comment page (Internal Controls Enforcer, Subprocess Management, Add Reviewer Comments).

Reviewer Comment

Compliance Project:	PROJ1	Compliance Project 1
Subprocess ID:	APPLY_CASH	Cash applications
Entity ID:	US004	US004 ILLINOIS OPS
Control:	AR_SP3_C1	Payment Predictor
Action Plan:	AR_SP3_C1_AP1	
Updated On:	05/11/04 12:39:25PM	

Reviewer Comment Find | View All First 1 of 1 Last

Last Update Date/Time: 07/29/09 9:46:30AM + -

Last Updated By: VP1 Vice President of Finance

Comment:

OK Cancel Apply

Reviewer Comment page

Comment Enter comments.

Reviewing Comments

Access the View Reviewer Comments page (Internal Controls Enforcer, Subprocess Management, View Reviewer Comments).

View Reviewer Comments

Compliance Project:	PROJ1	Compliance Project 1
Subprocess:	REPORTING	Reporting Financials
Entity:	US004	US004 ILLINOIS OPS
Subject:	<input type="text" value="All"/>	As of Date: <input type="text"/>

Reviewer Comment
Find | View All | First | 1 of 1 | Last

ID:

Effective Date:

Comment:

Last Update Date/Time: Last Updated By:

View Reviewer Comments page

- Subject** Select from the drop-down list box which type of comments to view. You can select to view all comments, or only comments entered specifically for an action plan, control definition, risk definition, sign-off sheet, subprocess, subprocess risks, test plan, or test template.
- As of Date** Enter the beginning date for which to view comments. The system displays comments that were entered on or after that date.
- Refresh** Click to view all comments that meet the specified criteria.

Managing Test Plans and Action Plans

This section discusses how to:

- Generate test plans on demand.
- Maintain test plans.
- Maintain action plans.
- Review test packages.
- Review test plans or action plans for a subprocess/entity.
- Review test plan history.
- Review action plan history.

- Send notifications about test plans and action plans.
- Review test packages.

Note. Test plans can also be generated during sign-off sheet generation.

See [Chapter 11, "Certifying Internal Controls,"](#) page 203.

Pages Used to Manage Test Plans and Action Plans

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Test Plan Generation	EPQ_TEST_PLN_RUN	Internal Controls Enforcer, Subprocess Management, Test Plan Generation	Generate test plans on demand.
Test Plan	EPQ_TEST_PLAN	Internal Controls Enforcer, Subprocess Management, Test Plan	Manage a test plan.
Test Plan - Attachments	EPQ_ATTACH_TP	Internal Controls Enforcer, Subprocess Management, Test Plan, Attachments	Manage file attachments for the test plan.
Test Plan - Checklist	EPQ_TP_CHKLIST	Internal Controls Enforcer, Subprocess Management, Test Plan, Checklist	Manage the checklist items for a test plan.
Test Plan - Notes	EPQ_TSTPLN_NOTE	Internal Controls Enforcer, Subprocess Management, Test Plan, Notes	Enter notes about a test plan.
Test Plan Attachments History	EPQ_ATTACH_HIST_AP	Click the History button on the Test Plan - Attachments page.	View a history of all activity for file attachments that are associated with an test plan.
Action Plan	EPQ_ACTION_PLAN	<ul style="list-style-type: none"> • Internal Controls Enforcer, Subprocess Management, Action Plan, Action Plan • Click Initiate Action Plan by using the Control Management page. • Click the action status on the Unproven Control Monitor page. • Click the action plan description on various pages. 	Create or maintain an action plan for a control.

Page Name	Definition Name	Navigation	Usage
Action Plan - Attachments	EPQ_ATTACH_AP	Internal Controls Enforcer, Subprocess Management, Action Plan, Attachments	Manage file attachments for the action plan.
Action Plan - Notes	EPQ_TSTPLN_NOTE	Internal Controls Enforcer, Subprocess Management, Test Plan, Notes	Enter notes about an action plan.
Action Plan Attachments History	EPQ_ATTACH_HIST_AP	Click the History button on the Action Plan - Attachments page.	View a history of all activity for file attachments that are associated with an action plan.
Test Plan Package	EPQ_TSTPLN_PKG	Internal Controls Enforcer, Subprocess Management, Test Plan Package	Review the test plans associated with a test package.
View Test/Action Plan	EPQ_VIEW_TEST_ACTN	Internal Controls Enforcer, Subprocess Management, View Test/Action Plan	View test plans or action plans that meet specified search criteria.
Test Plan History	EPQ_TSTPLN_HIST	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Test Plan History Click the Test Plan History link on the Test Plan page. 	Review the status changes to a test plan over time.
Action Plan History	EPQ_ACTPLN_HIST	<ul style="list-style-type: none"> Internal Controls Enforcer, Subprocess Management, Action Plan History Click the Action Plan History link on the Action Plan page. 	Review the status changes to an action plan over time.
Test/Action Plan Alert	EPQ_PLAN_ALRT_RUN	Internal Controls Enforcer, Subprocess Management, Test/Action Plan Alert Run	Send test/action plan notifications.

Generating Test Plans on Demand

Access the Test Plan Generation page (Internal Controls Enforcer, Subprocess Management, Test Plan Generation).

Test Plan Generation

Run Control ID: TestPlanGen [Report Manager](#) [Process Monitor](#)

Process Information

*Compliance Project: Compliance Project 1

Default Plan End Date Option

Specify

Scheduled

Select the entity, subprocess or control for creating test plans with optional run criteria. Test plan generation will occur for all values of the filter criteria (Entity, Subprocess, Control) if the value is left blank.

Subprocess: Maintain customer master file

Entity ID: US001 NEW YORK OPS

Control ID:

*Risk Priority:

*Control Priority:

*Template Attribute Type:

Template Attribute: Monthly

*Association:

Test Package Prefix:

Test Plan Generation page

Compliance Project Specify the compliance project for which to generate test plans.

The default plan end date is relative to the run date, at the specified period of time after the run date. This date will be populated to each test plan's Planned End Date. The date can be changed, if required, for specific Test Plans after generation in each of the Test Plan pages.

Specify Select to use a specific value for the planned end date for all the test plans that are generated. Enter the date to use as the planned end date in the adjacent field.

The date can be changed, if required, for specific test plans after they are generated.

Scheduled Select this option to have the planned end date for the generated test plans be a certain number of days, month, or quarters after the run date of the Test Plan Generation engine. Enter a value in the adjacent field and then select either *Months, Quarters, or Years* to indicate the number of months, quarters, or years after the run date to use as the default value for the planned end date.

Subprocess	Select a subprocess to generate test plans only for the specified subprocess.
Entity ID	Select an entity to generate test plans only for the specified entity.
Control ID	Select a control to generate test plans only for the specified control.
Risk Priority	Specify the priority of risks for which to generate test plans, either <i>All</i> , <i>Primary</i> , or <i>Primary and Secondary</i> .
Control Priority	Specify the priority of controls for which to generate test plans, either <i>All</i> , <i>Primary</i> , or <i>Primary and Secondary</i> .
Template Attribute Type	<p>Indicate the type of template attribute for which to generate test plans. Options are:</p> <p><i>All</i>: Select to generate test plans without considering the template attribute.</p> <p><i>Blank</i>: Select to generate test plans only from test plan templates with a blank template attribute field.</p> <p><i>Specified</i>: Select to generate test plans only from test plan templates that have a specific value for the template attribute field. When you select this option, you must also enter a value in the Template Attribute field.</p>
Template Attribute	Enter the template attribute value for which to generate test plans. This value is used only if the Template Attribute Type fields is set to <i>Specified</i> .
Association	<p>Specify how the generated test plans will be associated. Values are:</p> <p><i>Control Status</i>: Select to have the generated test plans impact control status and be viewable in the Control Management page. This is the default option.</p> <p><i>Test Package</i>: Select to have the generated test plans be categorized as a test package. If you select this option, you must also specify the Test Package Prefix.</p>
Test Package Prefix	Specify the prefix to use if generating a test package.
Run	Click to run the process.

Maintaining Test Plans

Access the Test Plan page (Internal Controls Enforcer, Subprocess Management, Test Plan).

Test Plan		Attachments	Checklist	Notes
Compliance Project:	PROJ1	Compliance Project 1		
Subprocess:	PROCESS_AP	Process Accounts Payable		
Entity:	US001	US001 NEW YORK OPS		
Control:	AP_SP2_C4	Due Dt Payment Automation		
Test Plan Template ID:	AP_SP3_C4_T1	Observe Payment processing		
Test Plan:	AP_SP2_C4-AP_SP3_C4_T1-000001	Test Plan History		
Current Test				
Execute After:	<input type="text"/>			
Updated on:	07/20/05 11:46:23AM	Last Updated By:	VP1	
Status:	Not Started	Change Status:	<input type="text" value="Not Started"/>	
*Assigned To:	<input type="text" value="PAPQ_TESTPLANOWNER"/>	Enforcer Test Plan Owner		
*Planned Start Date:	<input type="text" value="07/20/2005"/>	*Planned End Date:	<input type="text" value="09/30/2005"/>	
*Description:	<input type="text" value="Observe Payment processing"/>			
Long Description:	<input type="text" value="Observe payment processing attempt to pay invoice before its due date through normal payment procedures."/>			
Test Type:	<input type="text" value="Observation"/>			
Actual Start Date:	<input type="text"/>	Actual End Date:	<input type="text"/>	
Result:	<input type="text" value="Undetermined"/>			
Result Comments:	<input type="text"/>			
Other Attributes				
<input type="button" value="Add Reviewer Comments"/>		View Reviewer Comments		

Test Plan page

Test Plan Template ID and <test plan template description>

If this test plan was based on a template, the template ID and description display. Click the template description to access the Test Template Instance Definition page, and review the details of the template upon which this test plan is based.

Test Plan History

Click to access the Test Plan History page, where you can review a history of the test plan.

Current Test

Status

Displays the current test plan status. Initially the status is *Not Started*.

Change Status	<p>To change the test plan status, select a value from the drop-down list box. The values differ depending on the current test plan status. Options are <i>Not Started</i>, <i>Started</i>, <i>Completed</i>, and <i>Canceled</i>.</p> <p>This field is unavailable for entry once the test plan status changes to <i>Completed</i> or <i>Canceled</i>.</p>
Assigned To	Specify the individual primarily responsible for the test plan.
Planned Start Date	Enter the expected start date for the test plan. This date must be equal to or greater than the current date.
Planned End Date	Enter the expected finish date for the test plan. This date cannot be earlier than the planned start date.
Actual Start Date	As the test plan progresses, enter the date on which it starts. This field is required if the test plan status is <i>Started</i> or <i>Completed</i> .
Actual End Date	As the test plan progresses, enter the date on which it ends. This date cannot be earlier than the actual start date. This field is required if the test plan status is <i>Completed</i> .
Result	<p>Indicate the results of the current test plan by selecting a value from the drop-down list box. Options are: <i>Failed</i>, <i>Passed</i>, and <i>Undetermined</i>. This field is unavailable for entry once the test plan status is <i>Completed</i> or <i>Canceled</i>.</p> <p>The current test plan must be completed and passed, or canceled, before its associated control can be set to proven.</p>
Add Reviewer Comments	Click to access the Reviewer Comment page, where you can enter new comments about the test plan.
View Reviewer Comments	Click to access the View Reviewer Comments page, where you can review existing comments.

Attachments

Access the Test Plan - Attachments page to manage documents associated with this test plan (Internal Controls Enforcer, Subprocess Management, Test Plan, Attachments). Insert rows within the Attachments grid to add new attachments. Delete rows to inactivate attachments.

Test Plan - Attachments page

Note. If you delete a row in the Attachments grid, the system does not delete the associated file, instead it changes the attachment's status to inactive. You can access inactive documents by viewing all attachments, or by using the Test Plan Attachments History page.

Active Only	Click to view only active attachments within the Attachments grid.
All	Click to view both active and inactive attachments within the Attachments grid.
Description	Enter a description for the attachment.
Attached File	Displays the filename of the attachment.
Attach	Click to browse for and attach a file. This option is unavailable if the test plan status is <i>Completed</i> or <i>Canceled</i> . If a file is already attached, this option enables you to attach a new active file. The system automatically stores the file that was previously attached. Access the History tab to view previous versions of the attachment.
View	Click to launch the attachment.
Last Update User ID and Last Update Date/Time	Displays when and by whom the attachment was last modified.
History	Click to access the Test Plan Attachments History page, where you can review the history for all test plan attachments, including those that are inactive, and view the file associated with each.

Checklist

Access the Test Plan - Checklist page to manage the test plan's checklist items (Internal Controls Enforcer, Subprocess Management, Test Plan, Checklist).

Test Plan	Attachments	Checklist	Notes
Compliance Project:	PROJ1	Compliance Project 1	
Subprocess:	PROCESS_AP	Process Accounts Payable	
Entity:	US001	US001 NEW YORK OPS	
Control:	AP_SP2_C4	Due Dt Payment Automation	
Test Plan Template:	AP_SP3_C4_T1	Observe Payment processing	
Test Plan:	AP_SP2_C4-AP_SP3_C4_T1-000001		
Test Plan History			
Checklist			
Customize Find View All First 1-3 of 3 Last			
Checklist Item	Checked		
Review payment policies and procedures documentation.	<input type="checkbox"/>		
Observe vendor payment process noting any discrepancies in procedure.	<input type="checkbox"/>		
Follow up on any exceptions noted in the vendor payment process.	<input type="checkbox"/>		

Test Plan - Checklist

Select the check box in the Checked field to indicate you have completed a checklist item.

Notes

Access the Test Plan - Notes page to enter notes about the test plan (Internal Controls Enforcer, Subprocess Management, Test Plan, Notes).

Maintaining Action Plans

Access the Action Plan page (Internal Controls Enforcer, Subprocess Management, Action Plan, Action Plan).

Action Plan		Attachments	Notes
Compliance Project:	PROJ1	Compliance Project 1	
Subprocess:	MAINT_CUST_MASTER	Maintain customer master file	
Entity:	US001	US001 NEW YORK OPS	
Control:	AR_SP1_R2_C1	Credit Limits	
Action Plan:	AP2	Action Plan History	
Current Action Plan			
Execute After:	<input type="text"/>		
Updated on:	07/21/05 9:43:26AM	Last Updated By:	VP1
Status:	Not Started	Change Status:	<input type="text" value="Not Started"/>
Issue Type:	<input type="text" value="Ineffective Control"/>		
Issue Description:	<input type="text" value="Credit limits are inappropriately configured."/>		
*Assigned To:	<input type="text" value="PAPQ_ENTITYOWNER"/>	Enforcer Entity Owner	
*Planned Start Date:	<input type="text" value="07/21/2005"/>	*Planned End Date:	<input type="text" value="07/30/2005"/>
Plan Description:	<input type="text" value="Review policies and procedures related to customer credit limits. Run diagnostic on credit limits and configure limits appropriately."/>		
Actual Start Date:	<input type="text"/>	Actual End Date:	<input type="text"/>
Resolution Comments:	<input type="text"/>		
Other Attributes			
<input type="button" value="Add Reviewer Comments"/>		View Reviewer Comments	

Action Plan page

Action Plan History Click to access the Action Plan History page, where you can review a history of the action plan.

Current Action Plan

Status Displays the current action plan status. Initially the status is *Not Started*.

Change Status To change the action plan status, select a value from the drop-down list box. The values differ depending on the current action plan status. Options are:

Not Started, Started, Completed, and Canceled.

This field is unavailable for entry once the action plan status changes to *Completed* or *Canceled*.

The current action plan's status must be completed (or canceled) before its associated control can be set to proven.

Issue Type Select the type of control issue that this action plan addresses, either *Ineffective Control* or *Missing Control*.

Assigned To	Specify the individual primarily responsible for the action plan.
Planned Start Date	Enter the expected start date for the action plan. This date must be equal to or greater than the current date.
Planned End Date	Enter the expected finish date for the action plan. This date cannot be earlier than the planned start date.
Actual Start Date	As the action plan progresses, enter the date on which it starts. This field is required if the action plan status is <i>Started</i> or <i>Completed</i> .
Actual End Date	As the action plan progresses, enter the date on which it ends. This field is required if the action plan status is <i>Completed</i> .
Resolution Comments	Enter comments to document the results of this action plan.
Add Reviewer Comments	Click to access the Reviewer Comment page, where you can enter new comments about the action plan.
View Reviewer Comments	Click to access the View Reviewer Comments page, where you can review existing comments.

Attachments

Access the Action Plan - Attachments page to manage documents associated with this action plan (Internal Controls Enforcer, Subprocess Management, Action Plan, Attachments). Insert rows within the Attachments grid to add new attachments. Delete rows to inactivate attachments.

The screenshot displays the 'Attachments' page for an action plan. At the top, there are tabs for 'Action Plan', 'Attachments', and 'Notes'. Below the tabs, the following details are shown:

- Compliance Project:** PROJ1 (Compliance Project 1)
- Subprocess:** MAINT_CUST_MASTER (Maintain customer master file)
- Entity:** US001 (US001 NEW YORK OPS)
- Control:** AR_SP1_R2_C1 (Credit Limits)
- Action Plan:** AP2

Below the details, there are tabs for 'Active Only' and 'All'. The main section is titled 'Attachments' and includes a toolbar with 'Customize', 'Find', 'View All', and navigation buttons. Below the toolbar, there are tabs for 'Attachments' and 'Histories'. A table with one row is displayed, showing a description 'Project Plan' and an attached file 'ProjectPlan.mpp'. The table has columns for 'Description', 'Attached File', 'Attach', and 'View'. The 'Attach' and 'View' columns contain buttons labeled 'Attach' and 'View' respectively, along with '+' and '-' icons.

Action Plan - Attachments

Note. If you delete a row in the Attachments grid, the system does not delete the associated file, instead it changes the attachment's status to inactive. You can access inactive documents by viewing all attachments, or by using the Action Plan Attachments History page.

Active Only	Click to view only active attachments within the Attachments grid.
All	Click to view both active and inactive attachments within the Attachments grid.
Description	Enter a description for the attachment.
Attached File	Displays the filename of the attachment.
Attach	Click to browse for and attach a file. This option is unavailable if the action plan status is <i>Completed</i> or <i>Canceled</i> . If a file is already attached, this option enables you to attach a new active file. The system automatically stores the file that was previously attached. Access the History tab to view previous versions of the attachment.
View	Click to launch the attachment.
Last Update User ID and Last Update Date/Time	Displays when and by whom the attachment was last modified.
History	Click to access the Action Plan Attachments History page, where you can review the history for all action plan attachments, including those that are inactive, and view the file associated with each.

Notes

Access the Action Plan - Notes page to enter notes about the action plan (Internal Controls Enforcer, Subprocess Management, Test Plan, Notes).

Reviewing Test Package Status

Access the Test Plan Package page (Internal Controls Enforcer, Subprocess Management, Test Plan Package).

Test Plan Package

Compliance Project: PROJ1 Compliance Project 1
Subprocess: APPLY_CASH **Entity:** US001
Control: C3 **Control Priority:** Primary
Control Type: Manual **Test Package:** TEST_PACK_000001
Generation Date: 07/20/2005 **Overall Test Result:** Passed

Sequence	Test Plan	Execute After	Status	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date	Result
1	C3-T3-000003		Completed	07/20/2005	09/30/2005	07/20/2005	07/20/2005	Passed

[Create New Test Plan](#)

Test Plan Package page

The current status, planned and actual dates, and results appear within the Test Plan grid.

Test Plan Click to access the test plan page for this test package.

Create New Test Plan Click to access the Test Plan page, and add a new test plan for this test package.

The overall test result for a test package is based on the worst-case result for the control. If one test within the test package fails, the overall test result is "Failed". If no test fails but one is undetermined, the overall test result is "Undetermined." If all tests pass, the overall test result is "Passed".

Reviewing Test Plans or Action Plans for a Subprocess/Entity

Access the View Test/Action Plan page (Internal Controls Enforcer, Subprocess Management, View Test/Action Plan).

View Test/Action Plan

Compliance Project: PROJ1 Compliance Project 1
Subprocess: MAINT_CUST_MASTER Maintain customer master file
Entity: US001 US001 NEW YORK OPS

Search Criteria

*View Type: Control ID:
 Owner:
 Status: Test Result:

Date Range

Most Recent
 Range Type From Date: To Date:

Action Plan Customize | Find | View All | First 1-4 of 4 Last

Risk	Control	Owner	Action Plan	Status	Planned Start Date	Planned End Date	Actual Start Date	Actual End Date
No Sales Tax Due is Collected	Signed Tax Exempt Forms	Enforcer Entity Owner	AP3	Not Started	07/21/2005	07/30/2005		
Over Extending Credit	Credit Limits	Enforcer Entity Owner	AP2	Not Started	07/21/2005	07/30/2005		
Over Extending Credit	Roles and Permissions	Enforcer Entity Owner	AP1	Not Started	07/21/2005	07/30/2005		
Unauthorized Chg to Cust Master	Roles and Permissions	Enforcer Entity Owner	AP1	Not Started	07/21/2005	07/30/2005		

View Test/Action Plan page

Use this page to specify criteria by which to view test or action plans. The results appear in a grid below the search criteria when you click the Refresh button. The title of the results grid will be Test or Action Plan, depending on whether you specify to view tests or action plans. You can click the Test Plan or Action Plan ID within the results grid to access the Test Plan or Action Plan page, respectively.

Enter criteria to determine which test or action plans to view:

View Type Specify which type of plan to view. Options are:
Test: Select to view only test plans.
Action Plan: Select to view only action plans.

Owner (Optional) Select to view only the test or action plans for which this person is responsible.

Status (Optional) Select to view only the test or action plans that are currently in this specific state.

- Control ID** (Optional) Select to view only the test or action plans for this control.
- Test Result** (Optional) Select to view only the test plans with this specific result.
This field is unavailable for entry if the view type is *Action Plan*.
- Most Recent** Select to view only the most recent test or action plans.
- Range Type** Select to view test or action plans that occur within a specific date range, then select the date type upon which to base the search in the adjacent drop-down list box. Values are: *Actual Start Date*, *Actual End Date*, *Planned Start Date*, and *Planned End Date*.
- From Date and To Date** Select the range of dates to view, if you selected to view by range type.
- Refresh** Click to view the results.

Reviewing Test Plan History

Access the Test Plan History page (Internal Controls Enforcer, Subprocess Management, Test Plan History).

Test Plan History									
Compliance Project:		PROJ1	Compliance Project 1						
Subprocess:		APPLY_CASH	Cash applications						
Entity:		US001	US001 NEW YORK OPS						
Control:		AR_SP3_C1	Payment Predictor						
Test Plan:		AR_SP3_C1-AR_SP3_C1_T1-000001							
Status	Result	Assigned To	Planned Start Date	Actual Start Date	Planned End Date	Actual End Date	Last Updated By	Updated on	View
Completed	Passed	PAPQ_SUBPROCESSOWNER2	08/09/2004	08/09/2004	08/20/2004	08/18/2004	VP1	05/04/2004 2:04:04PM	View
Not Started	Undetermined	PAPQ_SUBPROCESSOWNER2	08/09/2004		08/20/2004		VP1	05/04/2004 1:58:47PM	View

Test Plan History page

Every time a test plan is updated, the previous information for the test plan is saved as history. This page displays all versions of the test plan. Click [View](#) to view a version of the test plan at that point in time.

Reviewing Action Plan History

Access the Action Plan History page (Internal Controls Enforcer, Subprocess Management, Action Plan History).

Action Plan History

Compliance Project: PROJ1 Compliance Project 1
 Subprocess: MAINT_CUST_MASTER Maintain customer master file
 Entity: US001 US001 NEW YORK OPS
 Control: AR_SP1_R3_C1 Signed Tax Exempt Forms
 Action Plan: AP3

Action Plan								
Status	Assigned To	Planned Start Date	Actual Start Date	Planned End Date	Actual End Date	Last Updated By	Updated on	View
Not Started	PAPQ_ENTITYOWNER	07/21/2005		07/30/2005		VP1	07/21/2005 9:50:48AM	View

Action Plan History page

Every time an action plan is updated, the previous information for the action plan is saved as history. This page displays all versions of the test plan. Click View to view a version of the action plan at that point in time.

Sending Notifications About Test Plans and Action Plans

Access the Test/Action Plan Alert page (Internal Controls Enforcer, Subprocess Management, Test/Action Plan Alert Run).

Test/Action Plan Alert

Run Control ID: TEST [Report Manager](#) [Process Monitor](#) [Run](#)

Process Information

*Compliance Project: Compliance Project 1

*Plan Type:

*Status Type:

*Plan Status:

Deadline Tolerance: Days

Notify

Plan Owner Subprocess Owner Business Process Owner

Last Run Date:

Test/Action Plan Alert page

Compliance Project	Specify the compliance project for which to send notifications.
Plan Type	Specify the type of object for which to send notifications. Values are: <i>All</i> : Select to send notifications only both test plans and action plans. <i>Test Plan</i> : Select to send notifications only for test plans. <i>Action Plan</i> : Select to send notifications only for action plans.
Status Type	Specify the type of status for which to send notifications. Values are: <i>All</i> : Select to send notifications plans that are late or are within a specified number of days from their finish date deadline. <i>Approaching Deadline</i> : Select to send notifications for plans that are within a specified number of days from their finish date. Use the Deadline Tolerance field to specify the number of days from the deadline to consider. <i>Late</i> : Select to send notifications for plans that are late.
Plan Status	Specify the status of plans for which to send notifications, either <i>All</i> , <i>Not Started</i> , or <i>Started</i> .
Deadline Tolerance	Enter the number of days away from the deadline to use when sending notifications for plans that are approaching a deadline.
Plan Owner	Select to send notifications to the plan owner.
Subprocess Owner	Select to send notifications to the subprocess owner.
Business Process Owner	Select to send notifications to the business process owner.

Monitoring Sign-Off Status

This section provides an overview of the hierarchical sign-off monitors and discusses how to:

- Specify entity tree viewer parameters.
- View sign-off status using an entity tree.
- View internal control metrics for an entity.
- Specify business process tree viewer parameters.
- View sign-off status using a business process tree.
- View internal control metrics for a process.

Understanding the Hierarchical Sign-Off Monitors

The system provides two components that enable you to monitor key sign-off metrics for entities or business processes that are hierarchically related: the Entity Tree Viewer component (EPQ_ENTITY_TREE) and the Business Process Tree Viewer component (EPQ_PROCESS_TREE). These components each use a tree to define the hierarchical relationships that exist among entities or business processes. When you view these components, you are able to navigate through the various levels of the tree to view aggregated percentages for the following information at each level:

- Not signed-off.
- Ineffective controls.
- Unmitigated risks.
- Incomplete action plans.

Because these pages use row-level security, users view only the compliance projects or process instances that they have access to, and the percentage totals are calculated using only those objects. When you are viewing results for a detail value on the tree (a tree leaf), you can click on an amount to view the details that contribute to that amount.

Entity Tree Viewer

The Entity Tree Viewer component enables you to view sign-off metrics for the entities within your organization for a particular compliance project. You must use Tree Manager to create the entity tree before using this component. The tree you create must use the EPQ_ENTITY_TREE structure ID. The tree can be organized in any way that you wish to see the metrics summarized. For example, you could arrange them geographically, like the tree shown in the following graphic:



Entity tree example, arranged geographically

The leaves of the tree represent entities, and can be either individual entities, such as US001, or ranges, such as US001–US002. The entities that you use in the tree must be defined by using the Entity Definition page.

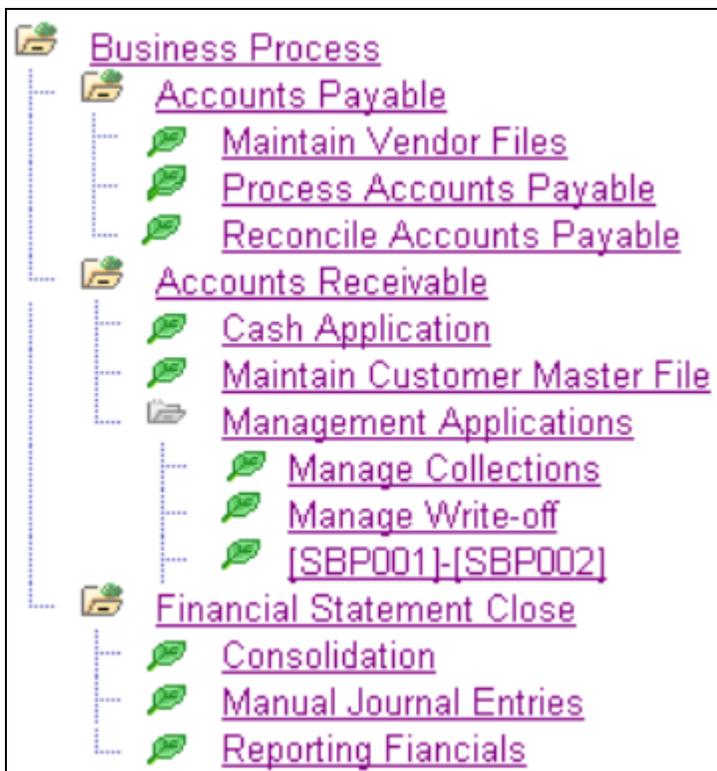
See [Chapter 5, "Defining Entities and Elements," Defining Entities, page 45.](#)

Business Process Tree Viewer

The Business Process Tree Viewer component enables you to view sign-off metrics for the hierarchy of business processes within your organization for a particular compliance project. You must use Tree Manager to create the business process tree before using this component. The tree you create must use the EPQ_PROCESS_TREE structure ID. The nodes of the tree represent your organization's major business processes, and the leaves of the tree represent subprocesses. The leaves can be individual processes, such as SBP001, or ranges, such as SBP001-SBP005. Use the nodes to group processes in logical levels that represent relationships among your subprocesses. The leaves that you use must be processes instances that are defined by using the Business Process Manager page.

See [Chapter 7, "Defining Processes," Establishing Business Processes and Subprocesses, page 79.](#)

The following graphic provides an example of a business process tree, with the highest levels being accounts payable, accounts receivable, and financial statement close.



Business process tree example

Navigation

When you first access either tree viewer page, the tree is collapsed and the first row of the grid contains totals for the entire tree while subsequent rows contain subtotals for each top-level node, as shown in the following example.

Entity Tree Viewer

Compliance Project: PROJ1 Sign-off ID: 9_30_2005

Sign-off Type: Annual Sign-off Due Date: 09/30/2005

Entity Tree

First | Previous | Next | Last | Left | Right

- [-] TOTAL COMPANY
 - [-] AMERICAS

Internal Control State

Customize | Find | View All | [Print] | First 1-2 of 2 Last

	Tree Node	Entity Owner	Not Signed Off	Unmitigated Risks	Ineffective Controls	Incomplete Action Plan
[-]	TOTAL COMPANY		100%	95%	95%	2%
+	AMERICAS		100%	95%	95%	2%

[Return to Selection Page](#) | [View My Access](#)

Initial state of tree viewer pages

To view details for a node, click the tree node description to select and expand the node. The grid displays the totals for the selected node in the first row, while the remaining rows include the levels subordinate to the selected node and their associated subtotals, or the detail values if you've reached the lowest level. You can continue to navigate through the tree in this manner to access node levels that contain detail values, as shown in the following example:

Entity Tree Viewer

Compliance Project: PROJ1 Sign-off ID: 9_30_2005

Sign-off Type: Annual Sign-off Due Date: 09/30/2005

Entity Tree

First | Previous | Next | Last | Left | Right

- [-] TOTAL COMPANY
 - [-] AMERICAS
 - [-] UNITED STATES
 - [-] NORTHEAST
 - [-] SOUTH
 - [-] MIDWEST
 - [-] WEST
 - [US003]
 - [US006]

Internal Control State

Customize | Find | View All | [Print] | First 1-3 of 3 Last

	Tree Node	Entity Owner	Not Signed Off	Unmitigated Risks	Ineffective Controls	Incomplete Action Plan
[-]	WEST		100%	100%	100%	0%
[US003]	US003	PAPQ_ENTITYOWNER2	100%	100%	100%	0%
[US006]	US006	PAPQ_ENTITYOWNER5	100%	100%	100%	0%

[Return to Selection Page](#) | [View My Access](#)

Viewing detail values

Click a percentage value to access either the Internal Controls by Entity page or the Internal Controls by Business Process page, where you can review the status of the internal controls for that entity or business process.

Prerequisites

You must create an entity tree and business process tree before you use these pages, and sign-off sheets must exist.

Common Elements Used in this Section



Click to expand the tree node.



Click to collapse the tree node.

<node description>

Click to expand and select the tree node.

View My Access

Click to access the View My Access component, where you can review the compliance projects and process instances to which you have been granted access.

See [Chapter 8, "Generating and Maintaining Instances," Reviewing Security, page 93.](#)

Pages Used to Monitor Sign-Off Status

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Tree Manager	PSTREEMGR	Tree Manager, Tree Manager	Create an entity tree or business process tree.
Entity Tree Selection	EPQ_ENTREE_SELECT	Internal Controls Enforcer, Tree Viewer, Entity Tree Viewer	Specify the compliance project and tree to use for the Entity Tree Viewer page.
Entity Tree Viewer	EPQ_ENTITY_TREE	Click Go on the Entity Tree Selection page.	Review sign-off metrics for a compliance project summarized by entity.
Internal Controls by Entity	EPQ_ENT_BPDETAIL	Click a detail value on the Entity Tree Viewer page.	Review internal control metrics for the processes associated with an entity.
Business Process Tree Selection	EPQ_BPTREE_SELECT	Internal Controls Enforcer, Tree Viewer, Business Process Tree Viewer.	Specify the compliance project, entity, and tree to use for the Business Process Tree Viewer page.

Page Name	Definition Name	Navigation	Usage
Business Process Tree Viewer	EPQ_PROCESS_TREE	Click Go on the Business Process Tree Selection page.	Review sign-off metrics for a compliance project summarized by business process.
Internal Controls by Business Process	EPQ_BPTREE_DTL EPQ_BP_SBPDETAIL	Click a detail value on the Business Process Tree Viewer page.	Review internal control metrics for processes and subprocesses.

Specify Entity Tree Viewer Parameters

Access the Entity Tree Selection page (Internal Controls Enforcer, Tree Viewer, Entity Tree Viewer).

Entity Tree Selection page

- Compliance Project** Select the compliance project for which to view sign-off status.
- Tree Name** Select the entity tree by which sign-off metrics are summarized. Only trees that use the EPQ_ENTITY_TREE structure are valid.
- Go** Click to access the Entity Tree Viewer page, using the specified parameters.

Viewing Sign-Off Status Using An Entity Tree

Access the Entity Tree Viewer page (click the Go button on the Entity Tree Selection page).

Entity Tree Viewer

Compliance Project: PROJ1 Sign-off ID: 9_30_2005

Sign-off Type: Annual Sign-off Due Date: 09/30/2005

Entity Tree

First | Previous | Next | Last | Left | Right

- ▶ TOTAL COMPANY
 - ▶ AMERICAS
 - ▶ UNITED STATES
 - ▶ NORTHEAST
 - ▶ SOUTH
 - ▶ MIDWEST
 - ▶ WEST
 - ▶ [US003]
 - ▶ [US006]

Internal Control State

Customize | Find | View All | First 1-3 of 3 Last

	Tree Node	Entity Owner	Not Signed Off	Unmitigated Risks	Ineffective Controls	Incomplete Action Plan
▶	WEST		100%	100%	100%	0%
▶	US003	PAPQ_ENTITYOWNER2	100%	100%	100%	0%
▶	US006	PAPQ_ENTITYOWNER5	100%	100%	100%	0%

[Return to Selection Page](#) | [View My Access](#)

Entity Tree Viewer page

Return to Selection Page Click to access the Entity Tree Selection page.

Entity Tree

Select the tree node for which to view results in the Internal Control State grid.

Internal Control State

This grid contains rows that display the sign-off metric percentages for the entities associated with the currently selected tree node.

Entity Owner

Displays the description of the individual that is assigned as the owner of the entity. Click to access the Send Notification page, where you can compose and send them a notification.

Not Signed Off

Displays the percentage of controls that are not signed off. Click an amount to access the Internal Controls by Entity page, where you can review internal control metrics for the processes associated with the entity.

Unmitigated Risks

Displays the percentage of risks that are still problematic. Click an amount to access the Internal Controls by Entity page, where you can review internal control metrics for the processes associated with the entity.

Ineffective Controls

Displays the percentage of controls that are not adequate. Click an amount to access the Internal Controls by Entity page, where you can review internal control metrics for the processes associated with the entity.

Incomplete Action Plan Displays the percentage of action plans that are not finished. Click an amount to access the Internal Controls by Entity page, where you can review internal control metrics for the processes associated with the entity.

Viewing Internal Control Metrics for an Entity

Access the Internal Controls by Entity page (click a detail value on the Entity Tree Viewer page).

Internal Control State		
Business Process	Owner	% Subprocesses Not Signed Off
Accounts Payable	PAPQ_ENTITYOWNER 5	100%
Accounts Receivable	PAPQ_ENTITYOWNER 5	100%
Financial Statement Close	PAPQ_ENTITYOWNER 5	100%

Internal Controls by Entity page

This page enables users with overall responsibility for corporate compliance to view metrics on the state of internal controls certification for an entity by business process.

Entity Owner and Owner Click the name of any of the various owners (entity owner, business process owner, or subprocess owner) to access the Send Notification page, where you can send a notification to that individual.

Sign Offs Click this link to view the percentages of subprocesses not signed off for each business process associated with this entity.

Risks Click this link to view metrics about the unmitigated risks for each business process associated with this entity, analyzed by primary, secondary, and tertiary risks.

Controls Click this link to view metrics about ineffective controls for each business process associated with this entity, classified by primary, secondary, and tertiary controls.

Action Plans Click this link to view metrics about the action plans for each business process associated with this entity.

Business Process

Click to access the Internal Controls by Business Process page, where you can view metrics for the subprocesses within that business process.

See [Chapter 10, "Monitoring and Managing Controls," Viewing Internal Control Metrics for a Process, page 201.](#)

Specifying Business Process Tree Viewer Parameters

Access the Business Process Tree Selection page (Internal Controls Enforcer, Tree Viewer, Business Process Tree Viewer).

Business Process Tree Selection

*Compliance Project:

Entity ID

Reporting Tree

*Tree Name:

Reporting Tree is used to roll-up the voluminous data into a single dimension for efficient on-line data viewing. It is also the primary means of navigating through your data. Please select a business process tree to review rolled up percentages of Not Signed Off, Unmitigated Risks, Ineffective Controls and Incomplete Action Plan.

Business Process Tree Selection

Compliance Project

Select the compliance project for which to view sign-off status.

Entity ID

Optionally, select an entity if you want to limit the results that you view to only a specific entity. To view the results for all entities, leave this field blank.

Tree Name

Select the entity tree by which sign-off metrics are summarized. Only trees that use the EPQ_PROCESS_TREE structure are valid.

Go

Click to access the Entity Tree Viewer page, using the specified parameters.

Viewing Sign-Off Status Using A Business Process Tree

Access the Business Process Tree Viewer page (click the Go button on the Business Process Tree Selection page).

Business Process Tree Viewer

Business Process Tree
First | Previous | Next | Last | Left | Right

- BUSINESS PROCESSES
 - ACCOUNTS PAYABLE
 - ACCOUNTS RECEIVABLE**
 - APPLY CASH
 - MAINT CUST MASTER
 - MANAGE COLL WOS
 - FIN CLOSE
 - CONSOLIDATION
 - MANUAL JE
 - REPORTING

Compliance Project: PROJ1 Sign-off ID: 9_30_2005
 Sign-off Type: Annual Sign-off Due Date: 09/30/2005

Internal Control State		Not Signed Off	Unmitigated Risks	Ineffective Controls	Incomplete Action Plan
Tree Node					
ACCOUNTS_RECEIVABLE		100%	100%	87%	5%
APPLY_CASH		100%	100%	80%	0%
MAINT_CUST_MASTER		100%	100%	80%	16%
MANAGE_COLL_WOS		100%	100%	100%	0%

[Return to Selection Page](#) | [View My Access](#)

Business Process Tree Viewer page

Return to Selection Page Click to access the Business Process Tree Selection page.

Business Process Tree

Select the tree node for which to view results in the Internal Control State grid.

Internal Control State

This grid contains rows that display the sign-off metric percentages for the entities associated with the currently selected tree node.

- Not Signed Off** Displays the percentage of controls that are not signed off. Click an amount to access the Internal Controls by Business Process page, where you can view details for the business process.
- Unmitigated Risks** Displays the percentage of risks that are still problematic.
- Ineffective Controls** Displays the percentage of controls that are not adequate.
- Incomplete Action Plan** Displays the percentage of action plans that are not finished.

Viewing Internal Control Metrics for a Process

Access the Internal Controls by Business Process page (click a detail value on the Business Process Tree Viewer page).

Internal Controls by Business Process

Compliance Project: PROJ1 Compliance Project 1

Subprocess: MAINT_CUST_MASTER Maintain customer master file

Business Process: ACCOUNTS_RECEIVABL Accounts Receivable

[Sign Offs](#) | [Risks](#) | [Controls](#) | [Action Plans](#)

Internal Control State					
Entity ID	Entity Owner	Process Owner	Subprocess Owner	Process Priority	Signed Off
US001	PAPQ_ENTITYOWNER1	PAPQ_ENTITYOWNER1	PAPQ_SUBPROCESSOWNER3	Medium	No
US003	PAPQ_ENTITYOWNER2	PAPQ_ENTITYOWNER2	PAPQ_SUBPROCESSOWNER3	Medium	No
US004	PAPQ_ENTITYOWNER3	PAPQ_ENTITYOWNER3	PAPQ_SUBPROCESSOWNER3	Medium	No
US005	PAPQ_ENTITYOWNER4	PAPQ_ENTITYOWNER4	PAPQ_SUBPROCESSOWNER3	Medium	No
US006	PAPQ_ENTITYOWNER5	PAPQ_ENTITYOWNER5	PAPQ_SUBPROCESSOWNER3	Medium	No

Internal Controls by Business Process page

Process Owner and Owner

Click on the name of any of the various owners (business process owner, or subprocess owner) to access the Send Notification page, where you can send a notification to that individual.

Sign Offs

Click this link to view the process priority and sign of status for each subprocess associated with this business process.

Risks

Click this link to view metrics about the unmitigated risks for each subprocess associated with this business process, classified by primary, secondary, and tertiary risks.

Controls

Click this link to view metrics about ineffective controls for each subprocess associated with this business process, classified by primary, secondary, and tertiary controls.

Action Plans

Click this link to view metrics about the action plans for each subprocess associated with this business process.

Subprocess

Click on a subprocess description to access the Process Definition page, where you can view the details for the subprocess definition.

Chapter 11

Certifying Internal Controls

This chapter provides an overview of the internal controls certification procedure and discusses how to:

- Manage the internal controls certification process.
- Sign off internal controls.

Understanding the Internal Controls Certification Procedure

This section discusses:

- Certification activities.
- Sign-off options.
- Change management.
- Notifications.
- Sign-off sheet generator process flow.

Certification Activities

To comply with the requirements stated in section 404 of the Sarbanes-Oxley Act, organizations must annually validate their internal controls. To meet these requirements, there are several activities included in the internal controls certification process:

1. Generate sign-off sheets and worksheets.

Sign-off sheets and worksheets are generated by running the Sign-off Sheet Generator Application Engine process (EPQ_SO_GEN). There can only be one active sign-off sheet at any time, and a new sign-off sheet cannot be created until all existing sign-off sheets have been either signed off or canceled. The sign-off ID is specified when you generate sign-off sheets. When you run the sign-off sheet generation process, the system creates sign-off sheets for each subprocess instance, and sends notifications to the corresponding subprocess owners that sign-off sheets have been created for which they are responsible; the notification includes a link that they can use to access their respective sign-off sheets. There are also options for the system to automatically generate test plans (by using the test plan templates that are associated with each control instance) and delete any existing generated test plans. You can either run the process on demand by using the Internal Controls Sign-off Sheet Generator page, or define a schedule for running the process by using the Schedule Sign-off Generation run control page, which runs the engine using process scheduler.

2. Certify controls by using sign-off worksheets.

Sign-off worksheets are used by subprocess owners to:

- Review and specify which controls have changed since the last sign off.
- Review which controls need to be retested.
- Update control status.
- Initiate action plans and test plans for unproven controls.

3. Sign off subprocesses by using sign-off sheets.

Once all of a subprocesses controls are in proven or exception status, the subprocess can be signed off. Subprocess owners, and optionally business process owners, are required to complete the sign-off sheet; this option is set by using the General Preferences page.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20.](#)

Sign-Off Options

The following options are specified when you generate sign-off sheets:

- Sign-off frequency.

Sign-offs can be conducted either annually, semiannually, or quarterly. The frequency that is specified determines which controls the system sets to not proven status, in conjunction with the control's defined test frequency. (You specify the test frequency when you define the control instance).

- Risk priority and control priority.

Either primary, primary and secondary, or all (primary, secondary, and tertiary) risks and controls can be included. The priority options provide you with the flexibility to control which risks and controls to evaluate for a particular sign off. For example, your organization can opt to evaluate only primary risks for interim sign-offs, then evaluate all risks for an annual sign off.

Change Management

If risks or controls are added or modified after sign-off sheets have been generated, use the Sign-Off Sheet Refresh Application Engine process (EPQ_SO_REFRESH) to regenerate the sign-off sheets for either all subprocesses or a specific subprocess, and all entities or a specific entity. You can either run the process on demand by using the Internal Controls Sign-off Sheet Refresh page, or define a schedule for running the process by using the Schedule Sign-off Refresh run control page, which runs the engine using process scheduler.

There is a system-wide option that controls whether you can cancel or refresh sign-off sheets after they have all been completed for a given sign-off ID.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20.](#)

Notifications

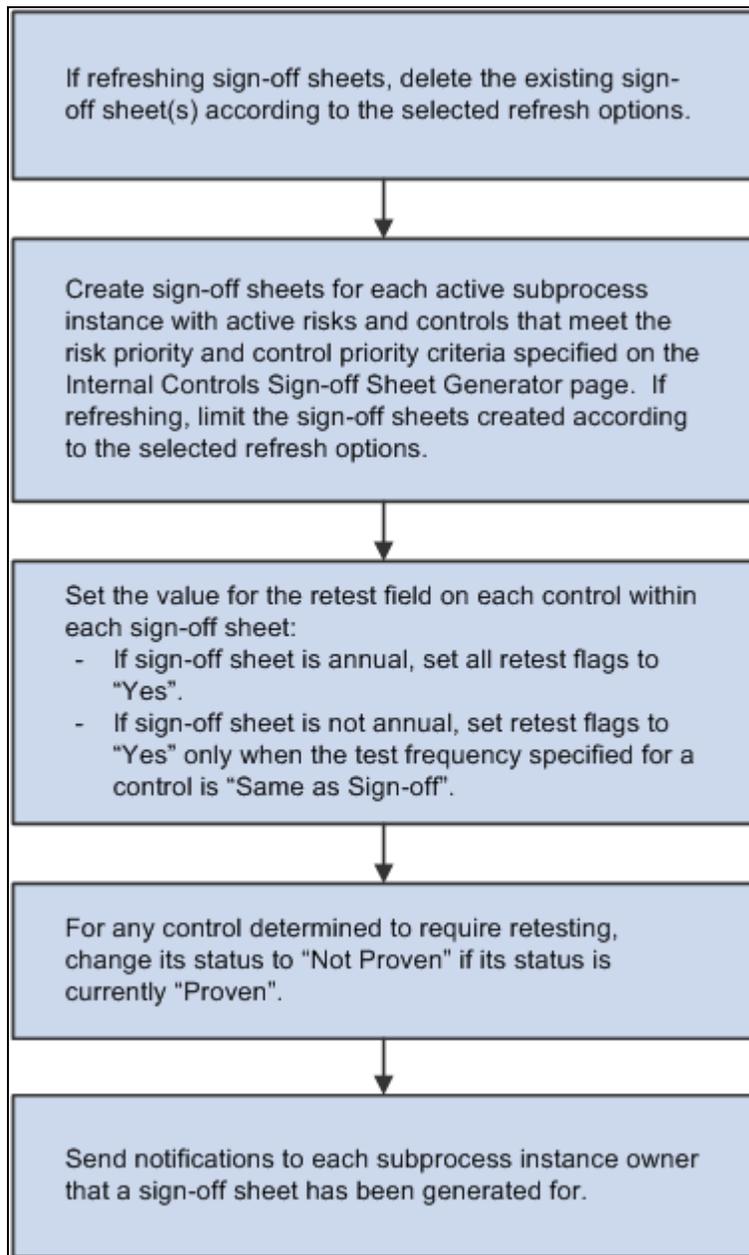
The system sends notifications when several key actions occur during the sign-off procedure:

- When sign-off sheets are generated, subprocess owners are notified.
- When a subprocess is signed off by a subprocess owner, the corresponding business process owner is notified if the system preferences have been set to require business process owners to sign off.
- When a subprocess is denied by the business process owner, subprocess owners are notified.
- When a subprocess is signed off, the system notifies the entity owner.

Sign-Off Sheet Generator Process Flow

This diagram illustrates the process flow for the Sign-Off Sheet Generator Application Engine process (EPQ_SO_GEN), during which:

- Sign-off sheets are created or refreshed.
- The value of the Retest field for each control is updated.
- The status of controls that require retesting is changed to *Not Proven*.
- Notifications that sign-off sheets were generated are sent to subprocess instance owners.



Sign-Off Sheet Generator process flow

Managing the Internal Controls Certification Process

This section discusses how to:

- Create sign-off sheets on demand.
- Define scheduled sign-off sheet generation.
- View sign-off sheet history.

- Refresh sign-off sheets on demand.
- Define scheduled sign-off sheet refreshes.
- Cancel sign-off sheets.

Pages Used to Manage the Internal Controls Certification Process

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Internal Controls Sign-off Sheet Generator	EPQ_SO_GEN	Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-off Sheet Generator	Create the sign-off sheets that are used for certifying internal controls.
Schedule Sign-off Generation	EPQ_SIGN_OFF_RUN	Internal Controls Enforcer, Sign Off, Sign-off Setup, Schedule Sign-off Generation	Define scheduled sign-off sheet generation.
Sign-off Sheet Generation History	EPQ_SO_HIST	<ul style="list-style-type: none"> • Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-Off Sheet History • Click View Sign-off Sheet Generation History on the Internal Controls Sign-off Sheet Generator page. 	Lists the events that have occurred for a sign-off sheet.
Internal Controls Sign-off Sheet Refresh	EPQ_SO_REFRESH	<ul style="list-style-type: none"> • Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-Off Sheet Refresh • Click Refresh Existing Sign-off Sheet on the Internal Controls Sign-Off Sheet Generator page. 	Regenerate existing sign-off sheets. Any existing sign-off sheet activity or sign-off worksheet activity is lost. This enables you to recreate sign-off sheets if you have modified risks and controls after the sign-off sheets were initially created.
Schedule Sign-off Refresh	EPQ_SO_REFRESH_RUN	Internal Controls Enforcer, Sign Off, Sign-off Setup, Schedule Sign-off Refresh	Define scheduled sign-off sheet refreshes.

Creating Sign-Off Sheets on Demand

Access the Internal Controls Sign-off Sheet Generator page (Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-off Sheet Generator).

Internal Controls Sign-off Sheet Generator

Compliance Project: PROJ1 Compliance Project 1

Sign-off ID: 2005Q4SIGNOFFS Status: New

Sign-off Options

* Sign-off Type:

* Sign-off Due Date:

* Risk Priority for Sign Off:

* Control Priority for Sign Off:

Generate Test Plans

Default Plan End Date:

Internal Controls Sign-off Sheet Generator page

Status

Displays the overall status of the current sign off. This status is system maintained. Values are:

New: Indicates that the sign-off sheet generation process has not yet been run for this sign-off sheet.

Generated: Indicates that the sign-off sheet generation process has been run, and sign-off sheets exist. If you access the page under these circumstances, only the Delete Generated Test Plans check box is available; all other fields will be unavailable for entry, and the only actions that you can take are to cancel or refresh the existing sign-off sheets, or view the sign-off sheet history.

Canceled: Indicates that the sign-off sheets were generated but subsequently canceled.

Signed-off: Indicates that all generated sign-off sheets have been signed off.

Sign-off Type

Select the type of sign-off sheet. Options are:

Annual.

Semi-Annual.

Quarterly.

The value that you select, in conjunction with the test frequency value for each control, which is set by using the Control Definition page or the Control Instance Definition page, determines which controls are automatically set to not proven status.

Sign-off Due Date

Enter the date by which the sign-off sheet is due.

Risk Priority for Sign Off and Control Priority for Sign Off	Select the priorities of risks and controls to include in the sign-off process. Options are: <i>All.</i> <i>Primary.</i> <i>Primary and Secondary.</i> These criteria are inclusive. For example, if you specify to include only primary risks but you specify to include both primary and secondary controls, then both primary and secondary priority controls are included in the sign off, but only for primary risks.
Generate Test Plans	Select this check box to have the system generate test plans while generating sign-off sheets. Clear this option if test plans have already been created. <hr/> Note. If there are active test plans that have been generated by other methods and you select this option, the system checks the existing test plans, and only generates a test plan if it does not already exist; no duplicates are created. <hr/>
Delete Generated Test Plans	Select this check box to delete all existing system generated test plans when canceling sign-off sheets. This option is available only when the Status is <i>Generated</i> .
Default Plan End Date	Select the default end date to use for generated test plans. This date must be equal to less than the value of the Sign-off Due Date. You can override this date after test plans are generated, if necessary, by using the Test Plan page to modify it for individual test plans. <u>See Chapter 10, "Monitoring and Managing Controls," Maintaining Test Plans, page 179.</u>
Generate and Distribute Sign-off Sheets	Click to run the Sign-Off Sheet Generator process, which generates sign-off sheets for subprocess instances, based on the specified parameters. This button is available only if the current sign-off status is <i>New</i> .
Cancel Sign-off Sheet	Click to cancel generated sign-off sheets; the system changes the status of all existing sign-off sheets to <i>Canceled</i> . Select the Delete Generated Test Plans check box to also delete generated test plans when canceling the sign-off sheet.
Refresh Existing Sign-off Sheet	Click to access the Internal Controls Sign-off Sheet Refresh page, where you can regenerate sign-off sheets. You can't refresh sign-off sheets if the current date is greater than the sign-off due date.
View Sign-off Sheet Generation History	Click to access the Sign-off Sheet Generation History page, where you can view all activity for generating or refreshing sign-off sheets.

Note. If the Sign Off Auto-Lock check box on the Internal Controls Enforcer General Preferences page is selected, you cannot cancel, regenerate, or refresh sign-off sheets after they are signed off.

See [Chapter 3, "Establishing Preferences," Establishing General Preferences, page 20.](#)

Defining Scheduled Sign-Off Sheet Generation

Access the Schedule Sign-off Generation page (Internal Controls Enforcer, Sign Off, Sign-off Setup, Schedule Sign-off Generation).

Schedule Sign-off Generation page

Compliance Project Specify the compliance project for which to run sign-off sheet generation.

Sign-off ID Enter an identifier for the generated sign-off sheets.

Sign-off Type Select the type of sign-off sheet. Options are:

Annual.

Semi-Annual.

Quarterly.

The value that you select, in conjunction with the test frequency value for each control, which is set by using the Control Definition page or the Control Instance Definition page, determines which controls are automatically set to not proven status.

Sign-off Due Date Enter the date by which the sign-off sheet is due.

Risk Priority for Sign Off and Control Priority for Sign Off Select the priorities of risks and controls to include in the sign-off process. Options are:

All.

Primary.

Primary and Secondary.

These criteria are inclusive. For example, if you specify to include only primary risks but you specify to include both primary and secondary controls, then both primary and secondary priority controls are included in the sign off, but only for primary risks.

Generate Test Plans Select this check box to have the system generate test plans while generating sign-off sheets. Clear this option if test plans have already been created.

Note. If there are active test plans that have been generated by other methods and you select this option, the system checks the existing test plans, and only generates a test plan if it does not already exist; no duplicates are created.

Default Plan End Date Select the default end date to use for generated test plans. This date must be equal to less than the value of the Sign-off Due Date. You can override this date after test plans are generated, if necessary, by using the Test Plan page to modify it for individual test plans.

See [Chapter 10, "Monitoring and Managing Controls," Maintaining Test Plans, page 179.](#)

Run Click to run the Sign-Off Sheet Generator process via process scheduler.

Viewing Sign-Off Sheet History

Access the Sign-off Sheet Generation History page (Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-Off Sheet History).

Sign-off Sheet Generation History						
Compliance Project: PROJ1		Compliance Project 1				
Sign-off ID: 09/30/2004		Sign-off Type: Quarterly				
Sign-off Sheet Generation History						
Date/Time	Last Update User ID	Action	Selected Subprocesses	Selected Entities	Sign-off Sheets Deleted	Sign-off Sheets Generated
05/03/04 4:46:36PM	VP1	Generate			0	25
05/04/04 8:30:24AM	VP1	Refresh			25	45
05/04/04 9:40:01AM	VP1	Refresh			45	45
08/03/04 4:24:58PM	VP1	Refresh	PROCESS_AP		5	5

Sign-off Sheet Generation History page

Note. The fields on this page are display-only.

Sign-off Sheet Generation History	Displays the history of generating and refreshing sign-off sheets for a single sign-off ID.
Action	<p>Displays the action taken. Values are:</p> <p><i>Generate:</i> Indicates that sign-off sheets were generated.</p> <p><i>Refresh:</i> Indicates that sign-off sheets were refreshed.</p>
Selected Subprocesses	Displays the subprocess for which sign-off sheets were refreshed. This column applies only to refresh activity. If this field is blank, then all subprocesses were refreshed.
Selected Entities	Displays the entities for which sign-off sheets were refreshed. This column applies only to refresh activity. If this field is blank, then all entities were refreshed.
Sign-off Sheets Deleted	Displays the number of sign-off sheets that were deleted. Applicable only to refresh activity; for generate activity this value is always zero.
Sign-off Sheets Generated	Displays the number of sign-off sheets that were created by either the Sign-Off Sheet Generator process (for generate activity) or Sign-Off Sheet Refresh process (for refresh activity).

Refreshing Sign-Off Sheets on Demand

Access the Internal Controls Sign-off Sheet Refresh page (Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-Off Sheet Refresh).

Internal Controls Sign-off Sheet Refresh

Compliance Project: PROJ1 Compliance Project 1

Sign-off ID: 9_30_2005

Sign-off Options

Sign-off Type: Annual

Sign-off Due Date: 09/30/2005

Risk Priority for Sign Off: All

Control Priority for Sign Off: All

Delete Generated Test Plans

Generate Test Plans

Refresh Options

Subprocess Selection

All Subprocesses
 Select Subprocess

Entity Selection

All Entities
 Select Entity

[View Sign-off Sheet Generation History](#)

Internal Controls Sign-off Sheet Refresh page

Sign-off Options

Delete Generated Test Plans

Select this check box to delete existing system generated test plans when refreshing sign-off sheets.

To recreate sign-off sheets without recreating their associated test plans, select this option without selecting the Generate Test Plans check box, then click the Refresh Existing Sign-off Sheet button.

The system automatically selects this check box and the field becomes unavailable for entry when you select the Generate Test Plans check box, because in that case it automatically deletes any existing test plans for the subprocess and entities that are being refreshed.

Generate Test Plans

Select this check box to have the system regenerate test plans while refreshing sign-off sheets.

Note. If you refresh sign-off sheets and do not select Generate Test Plans, then the test plans will not be associated with the new sign-off sheets. Subsequently if you refresh sign-off sheets again and at that time specify to delete the test plans, the test plans will not be deleted.

Refresh Options

- Subprocess Selection** Select **All Subprocesses** to refresh sign-off sheets for all active subprocesses.
Select **Select Subprocess** to refresh sign-off sheets for a single subprocess, then specify the subprocess in the adjacent field.
- Entity Selection** Select **All Entities** to refresh sign-off sheets for all active entities.
Select **Select Entity** to refresh sign-off sheets for a single entity, then specify the entity in the adjacent field.
- Refresh Existing Sign-off Sheet** Click to run the Sign-Off Sheet Refresh Application Engine process (EPQ_SO_REFRESH), which regenerates sign-off sheets based on the specified parameters. The system deletes any existing sign-off sheets for the specified entity and subprocess—even if it has been signed off—then regenerates the sign-off sheets; the existing sign off and worksheet activity is lost.

Defining Scheduled Sign-off Sheet Refreshes

Access the Schedule Sign-off Refresh page (Internal Controls Enforcer, Sign Off, Sign-off Setup, Schedule Sign-off Refresh).

Schedule Sign-off Refresh

Run Control ID: test [Report Manager](#) [Process Monitor](#)

Process Information

*Compliance Project: Compliance Project 1

Sign-off ID:

Sign-off Options

Sign-off Type: Annual

Sign-off Due Date: 09/30/2005

Risk Priority for Sign Off: All

Control Priority for Sign Off: All

Delete Generated Test Plans

Generate Test Plans

Refresh Options

Subprocess Selection

All Subprocesses Select Subprocess

Entity Selection

All Entities Select Entity

Schedule Sign-off Refresh page

Sign-off Options

Delete Generated Test Plans

Select this check box to delete existing system generated test plans when refreshing sign-off sheets.

To recreate sign-off sheets without recreating their associated test plans, select this option without selecting the Generate Test Plans check box, then click the Refresh Existing Sign-off Sheet button.

The system automatically selects this check box and the field becomes unavailable for entry when you select the Generate Test Plans check box, because in that case it automatically deletes any existing test plans for the subprocess and entities that are being refreshed.

Generate Test Plans

Select this check box to have the system regenerate test plans while refreshing sign-off sheets.

Note. If you refresh sign-off sheets and do not select Generate Test Plans, then the test plans will not be associated with the new sign-off sheets. Subsequently if you refresh sign-off sheets again and at that time specify to delete the test plans, the test plans will not be deleted.

Refresh Options

- Subprocess Selection** Select All Subprocesses to refresh sign-off sheets for all active subprocesses.
Select Select Subprocess to refresh sign-off sheets for a single subprocess, then specify the subprocess in the adjacent field.
- Entity Selection** Select All Entities to refresh sign-off sheets for all active entities.
Select Select Entity to refresh sign-off sheets for a single entity, then specify the entity in the adjacent field.

Running the Process

- Run** Click to refresh sign-off sheets via process scheduler.

Canceling Sign-Off Sheets

Access the Internal Controls Sign-off Sheet Generator page (Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-off Sheet Generator), and click Cancel Sign-off Sheet. This cancels *all* sign-off sheets. To delete any generated test plans when you cancel the sign-off sheets you must select the Delete Generated Test Plans check box.

Signing Off Internal Controls

This section discusses how to:

- Certify controls.
- Sign off subprocesses.

Pages Used to Sign Off Internal Controls

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Internal Controls Sign-off Worksheet	EPQ_WORKSHEET	<ul style="list-style-type: none"> Internal Controls Enforcer, Sign Off, Sign-off Worksheet Click the Worksheet link on the Internal Controls Sign Off page. 	View and update the status of subprocess controls. You can change the status of the controls by using this page, but you can't certify that the internal controls for a subprocess are proven; that action is performed by using the Internal Controls Sign Off page.
Internal Controls Sign Off	EPQ_SIGN_OFF	<ul style="list-style-type: none"> Internal Controls Enforcer, Sign Off, Sign-off Sheet Click the Sign-off Sheet link on the Internal Controls Sign Off page. 	Enables subprocess owners and, optionally, business process owners to certify that the internal controls for a subprocess are proven. Only the sign-off status is updated by using this page; the status of the associated controls is maintained by using the Internal Controls Sign-Off Worksheet page and other related pages.
Reviewer Comments	EPQ_ADD_COMMENT	<ul style="list-style-type: none"> Click Add Reviewer Comments on the Internal Controls Sign Off page. Automatically accessed whenever a business process owner denies a sign-off sheet. 	Enter sign off comments.
View Reviewer Comments	EPQ_VIEW_COMMENT	Click View Reviewer Comments on the Internal Controls Sign Off page.	View existing comments.
Control Change Comments	EPQ_CTL_CHG_SEC	Click  on the Internal Controls Sign Off page.	Enter or review control change comments.
Control Retest Comments	EPQ_CTL_RT_SEC	Click  on the Internal Controls Sign Off page.	Enter or review control retest comments.

Certifying Controls

Access the Internal Controls Sign-off Worksheet page (Internal Controls Enforcer, Sign Off, Sign-off Worksheet).

Internal Controls Sign-off Worksheet

Compliance Project: PROJ1 Compliance Project 1
Subprocess: MAINT_CUST_MASTER [Maintain customer master file](#)
Entity: US001 US001 NEW YORK OPS
Sign-off ID: 9_30_2005 **Sign-off Type:** Annual
[Sign-off Sheet](#)

Sign-Off Status

Sign-Off Status: Initiated
Responsible: PAPQ_SUBPROCESSOWNER 3 **Sign-off Due Date:** 09/30/2005

Risks Find First 1-3 of 3 Last

Risk: AR_SP1_R1 **Priority:** Primary
[Unauthorized Chq to Cust Master](#)

Controls Customize | Find | First 1 of 1 Last

Control ID	Description	Type	Priority	*Changed Since Last Sign Off	*Needs Testing	Status	Diagnostics	Test Package ID	Overall Test Result
C2	Roles and Permissions	Automated	Primary	No	Yes	Exception	View		

Risk: AR_SP1_R2 **Priority:** Primary
[Over Extending Credit](#)

Controls Customize | Find | First 1-3 of 3 Last

Control ID	Description	Type	Priority	*Changed Since Last Sign Off	*Needs Testing	Status	Diagnostics	Test Package ID	Overall Test Result
AR_SP1_R2_C1	Credit Limits	Automated	Primary	No	Yes	Exception	View		
AR_SP2_R2_C1	AR Aging	Manual	Primary	No	Yes	Proven			
C2	Roles and Permissions	Automated	Primary	No	Yes	Exception	View		

Risk: AR_SP1_R3 **Priority:** Primary
[No Sales Tax Due is Collected](#)

Controls Customize | Find | First 1 of 1 Last

Control ID	Description	Type	Priority	*Changed Since Last Sign Off	*Needs Testing	Status	Diagnostics	Test Package ID	Overall Test Result
AR_SP1_R3_C1	Signed Tax Exempt Forms	Manual	Primary	No	Yes	Exception			

Last Update Date/Time: 07/20/05 11:46:13AM **Last Update User ID:** VP1

Internal Controls Sign-off Worksheet page

General Information

Subprocess

Click the subprocess description to access the Process Definition page, where you can review the definition for this subprocess.

Sign-off Sheet

Click to access the corresponding sign-off sheet.

Sign-Off Status

Sign-Off Status

Displays the current subprocess sign-off status. Values are:

Initiated: The initial status when sign-off sheets are generated. This is the only state in which you can modify the Changed Since Last Sign Off and Needs Testing fields.

Subprocess Signed Off: Indicates that the subprocess owner has signed off but business process owner sign off is also required and that person has not yet signed off.

Signed Off: Indicates that all required sign-offs are complete.

Canceled: Indicates that the sign-off sheet was canceled.

Responsible

Lists the subprocess owner.

Risks

This group box lists all active subprocess risks and associated controls for which sign-off sheets were generated.

Risk and <Description>	Click the risk description to access the Risk Instance Definition page, where you can view the risk details.
Control ID and <Description>	Click the control description to access the Control Instance Definition page, where you can view the control details.
Changed Since Last Sign Off	<p>If the current sign-off status is <i>Initiated</i>, select <i>Yes</i> to indicate that this control has changed since the last sign off, or <i>No</i> if it has not changed.</p> <p>If the sign-off status is <i>Subprocess Signed Off</i>, <i>Signed Off</i>, or <i>Canceled</i>, this field is display-only.</p>
Needs Testing	<p>If the current sign-off status is <i>Initiated</i>, select <i>Yes</i> to indicate that this control needs to be tested, or <i>No</i> if it does not.</p> <p>If the sign-off status is <i>Subprocess Signed Off</i>, <i>Signed Off</i>, or <i>Canceled</i>, this field is display-only.</p> <p>When the system generates sign-off sheets, it automatically sets this field to <i>yes</i> when the control's test frequency is set to <i>Same as Sign Off</i>.</p> <p>The control frequency is set by using the Control Definition page.</p> <p>See Chapter 6, "Establishing the Risk Control Repository," Defining Controls, page 70.</p>
	Click to access the Control Change Comments or Control Retest Comments page, where you can view or enter comments.

Status	Displays the current control status. Click to access the Control Management component, where you can review the status of the control's test plans and action plans, and maintain the control status.
Diagnostics	If diagnostics are associated with this control, the value for this field is <i>View</i> ; otherwise this field is blank. Click <i>View</i> to access the Diagnostic Reports By Control page, where you can view the diagnostic report.
Test Package ID	Optionally, select a test package to associate with the control. See Chapter 10, "Monitoring and Managing Controls," Test Packages, page 163.
Overall Test Result	Displays the current results overall for the tests that are included in the associated test package. If one of the tests within the test package fails, then the overall test result is set to <i>Failed</i> ; if all of the tests within the test package pass, then the overall test result is set to <i>Passed</i> . Click the result value to access the Test Plan Package page, where you can view the details of the test package results. See Chapter 10, "Monitoring and Managing Controls," Reviewing Test Package Status, page 186.

Signing Off Subprocesses

Access the Internal Controls Sign Off page (Internal Controls Enforcer, Sign Off, Sign-off Sheet).

Internal Controls Sign Off

Compliance Project: PROJ1 Compliance Project 1
 Subprocess: MAINT_CUST_MASTER [Maintain customer master file](#)
 Entity: US001 US001 NEW YORK OPS
 Sign-off ID: 9_30_2005 [Worksheet](#) Sign-off Type: Annual

Sign-Off Status
 Subprocesses cannot be signed off until all control statuses are either proven or exception. By signing off on this page, you are certifying that all of the business process' controls have either been tested and proven effective or that they are exempt from this requirement.

Sign-off Due Date: 09/30/2005
 *PAPO_SUBPROCESSOWNER: Not Signed Off *PAPO_ENTITYOWNER 1: Undetermined

Sign-off Date: Signed Off By:
 Signed Off By: Signed Off By:

[Add Reviewer Comments](#) [View Reviewer Comments](#)

Risks Find First 1-3 of 3 Last

Risk: AR_SP1_R1 Unauthorized Chg to Cust Master Priority: Primary

Controls Customize | Find | First 1 of 1 Last

Control ID	Description	Type	Priority	Changed Since Last Sign Off	Needs Testing	Status	Diagnostics	Test Package ID	Overall Test Result
C2	Roles and Permissions	Automated	Primary	No	Yes	Exception	View		

Risk: AR_SP1_R2 Over Extending Credit Priority: Primary

Controls Customize | Find | First 1-3 of 3 Last

Control ID	Description	Type	Priority	Changed Since Last Sign Off	Needs Testing	Status	Diagnostics	Test Package ID	Overall Test Result
AR_SP1_R2_C1	Credit Limits	Automated	Primary	No	Yes	Exception	View		
AR_SP2_R2_C1	AR Aging	Manual	Primary	No	Yes	Proven			
C2	Roles and Permissions	Automated	Primary	No	Yes	Exception	View		

Risk: AR_SP1_R3 No Sales Tax Due is Collected Priority: Primary

Controls Customize | Find | First 1 of 1 Last

Control ID	Description	Type	Priority	Changed Since Last Sign Off	Needs Testing	Status	Diagnostics	Test Package ID	Overall Test Result
AR_SP1_R3_C1	Signed Tax Exempt Forms	Manual	Primary	No	Yes	Exception			

Last Update Date/Time: 07/20/05 11:46:13AM Last Update User ID: VP1

Internal Controls Sign Off page

General Information

Subprocess

Click the subprocess description to access the Process Definition page, where you can review the definition for this subprocess.

Worksheet

Click to access the corresponding Internal Controls Sign-off Worksheet page, where you can update the status of the subprocess controls.

Add Reviewer Comments

Click to access the Reviewer Comment page, where you can enter new comments about the sign-off sheet.

View Reviewer Comments

Click to access the View Reviewer Comments page, where you can review existing comments.

Sign-Off Status

Use the fields within the Sign-Off Status group box to modify the status of the associated subprocesses.

Sign-off Due Date Displays the sign-off date deadline.

<subprocess owner user ID> or Subprocess Status and <process owner user ID> or Business Process Status Displays the names of the individuals specified as the subprocess owner and associated process owner, and the current sign-off status for each in the adjacent drop-down list box.

The ability to modify the status depends on the current sign-off state and whether or not sign-offs are required by business process owners. If the subprocess is not signed off, you can change the subprocess status by selecting a value from the drop-down list box. However, you can change the status to *Signed Off* only when all controls are tested and proven. After the status is set to *Signed Off*, the field becomes unavailable for entry.

If business process owner sign-off is not required, then the business process status is unavailable for entry. If business process owner sign-offs are required, you can similarly modify the business process status. *Before* the subprocess is signed off, the business process status value is *Undetermined*, and the field is unavailable for entry. *After* the subprocess is signed off, the system automatically updates the business process status from *Undetermined* to *Pending Approval*, and enables access to the field, where you can select one of the following values:

Approved: Select to approve the sign-off. The system automatically updates the sign-off sheet status to *Signed-Off* when you select this option.

Denied: Select to indicate the sign-off is not approved. When you select this option, the system automatically resets the sign-off status to *Initiated* and transfers you to the Reviewer Comments page where you can document the reasons for the denial. The system also notifies the subprocess owner that the sign-off is not complete, and enables the control status to be modified.

Sign-off Date and Signed Off By Displays who signed off the subprocess and business process (if required), and when.

Risks

This group box lists all active subprocess risks and associated controls for which sign-off sheets were generated.

Risk Click the risk description to access the Risk Instance Definition page, where you can view the risk details.

Control Click the control description to access the Control Instance Definition page, where you can view the control details.



Click to access the Control Change Comments or Control Retest Comments page, where you can view or enter comments.

Status	Displays the current control status. Click to access the Control Management component, where you can review the status of the control's test plans and action plans, and maintain the control status.
Diagnostics	If diagnostics are associated with this control, the value for this field is <i>View</i> ; otherwise this field is blank. Click <i>View</i> to access the Diagnostic Reports By Control page, where you can view the diagnostic report.
Test Package ID	Displays the test package that is associated with the control.
Overall Test Result	Displays the current results overall for the tests that are included in the associated test package.

Chapter 12

PeopleSoft Internal Controls Enforcer Pagelets

This section provides an overview of the PeopleSoft Internal Controls Enforcer pagelets and discusses viewing data through these pagelets.

Understanding PeopleSoft Internal Controls Enforcer Pagelets

PeopleSoft Internal Controls Enforcer provides a collection of pagelets that can be individually selected to appear on the PeopleSoft Enterprise Portal homepage. These pagelets provide at-a-glance access to essential data from PeopleSoft Internal Controls Enforcer; they are designed to allow users who have overall responsibility for corporate compliance to quickly see, at a corporate-wide level, areas where there are issues with the internal control certification process.

Users can personalize their portal homepages by adding the pagelets that they need. Standard PeopleSoft role-based security ensures that users can access only the pagelets appropriate to their roles.

Before using the pagelets, users should establish the default data that appears by using the pagelet user preferences pages.

Note. When you specify pagelet preferences, if you select more objects than the pagelet is able to display due to size limitations, the system may hide some of the labels on the chart. However, you can still click a bar to view the details.

See [Chapter 3, "Establishing Preferences," Setting Up Preferences, page 19.](#)

Viewing Data Through the PeopleSoft Internal Controls Enforcer Pagelets

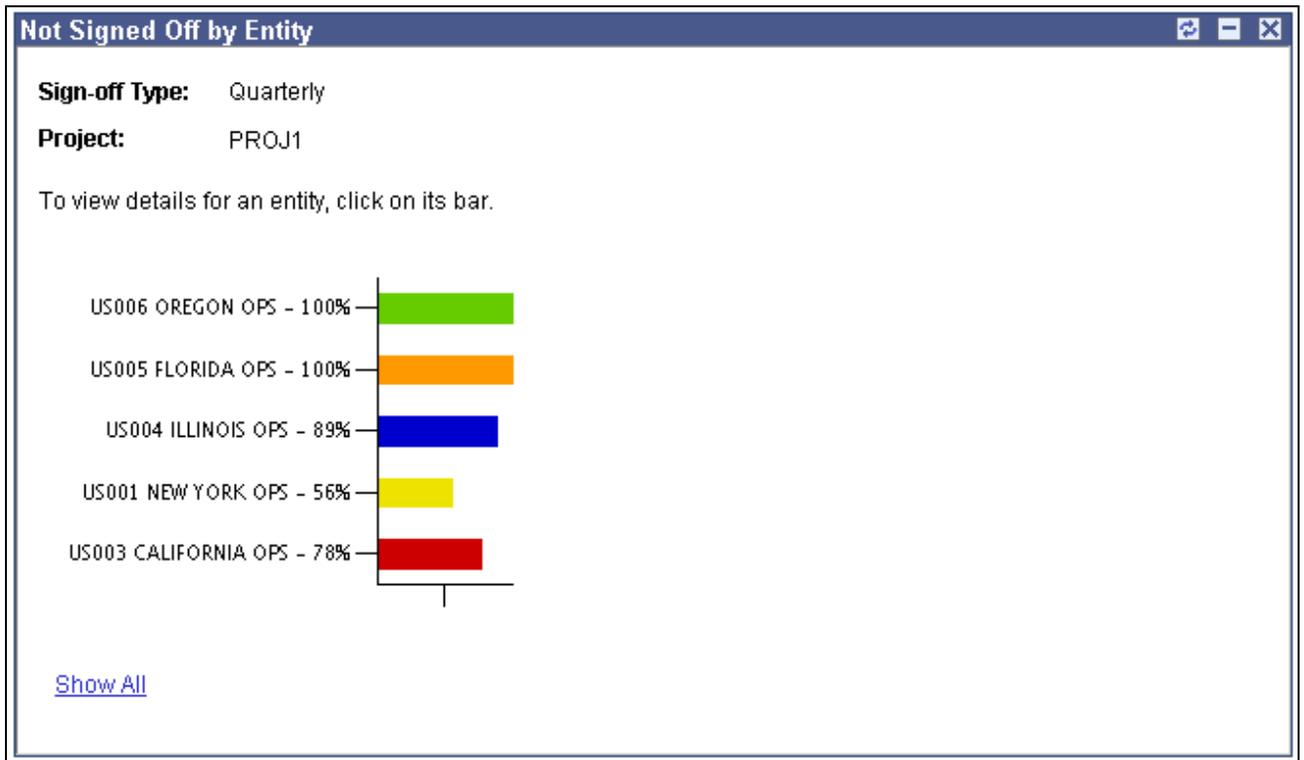
This section discusses:

- Not Signed Off by Entity pagelet.
- Not Signed Off - Process pagelet.
- Unmitigated Risks by Entity pagelet.
- Ineffective Controls by Entity pagelet.
- Internal Controls by Entity page.

- Unmitigated Risks - Process pagelet.
- Ineffective Controls - Process pagelet.
- Internal Controls by Business Process page.
- Business Process Status pagelet.
- Report Business Conduct pagelet.

Not Signed Off by Entity Pagelet

Enables users who have overall responsibility for corporate compliance to review, by entity, the percentage of sign-off sheets that are not signed off.



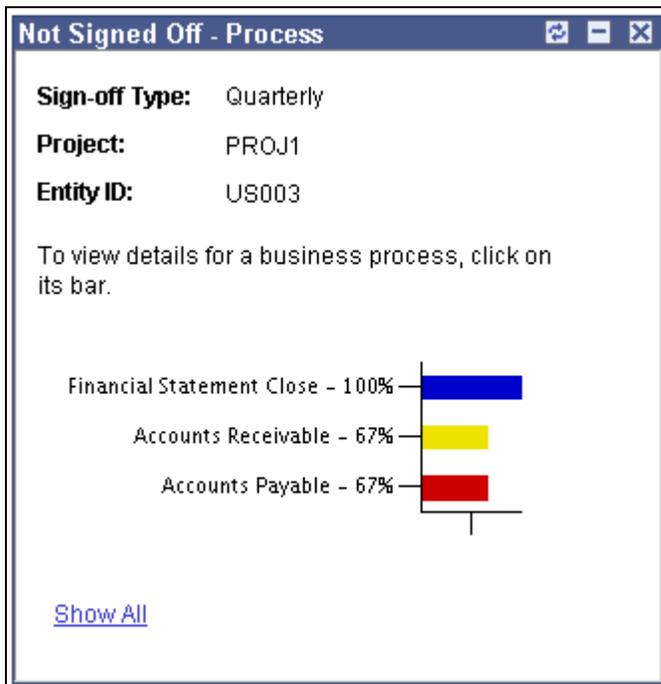
Not Signed Off by Entity pagelet

The entities that appear are established by using the Pagelet User Preferences - Entities page. By clicking any of the bars you can access the Internal Controls by Entity page, which displays details for the business processes associated with that entity.

By clicking the Show All link, you can access a page that shows this information for all entities.

Not Signed Off - Process Pagelet

Enables users who have overall responsibility for corporate compliance to review, by business process, the percentage of sign-off sheets that are not signed off.



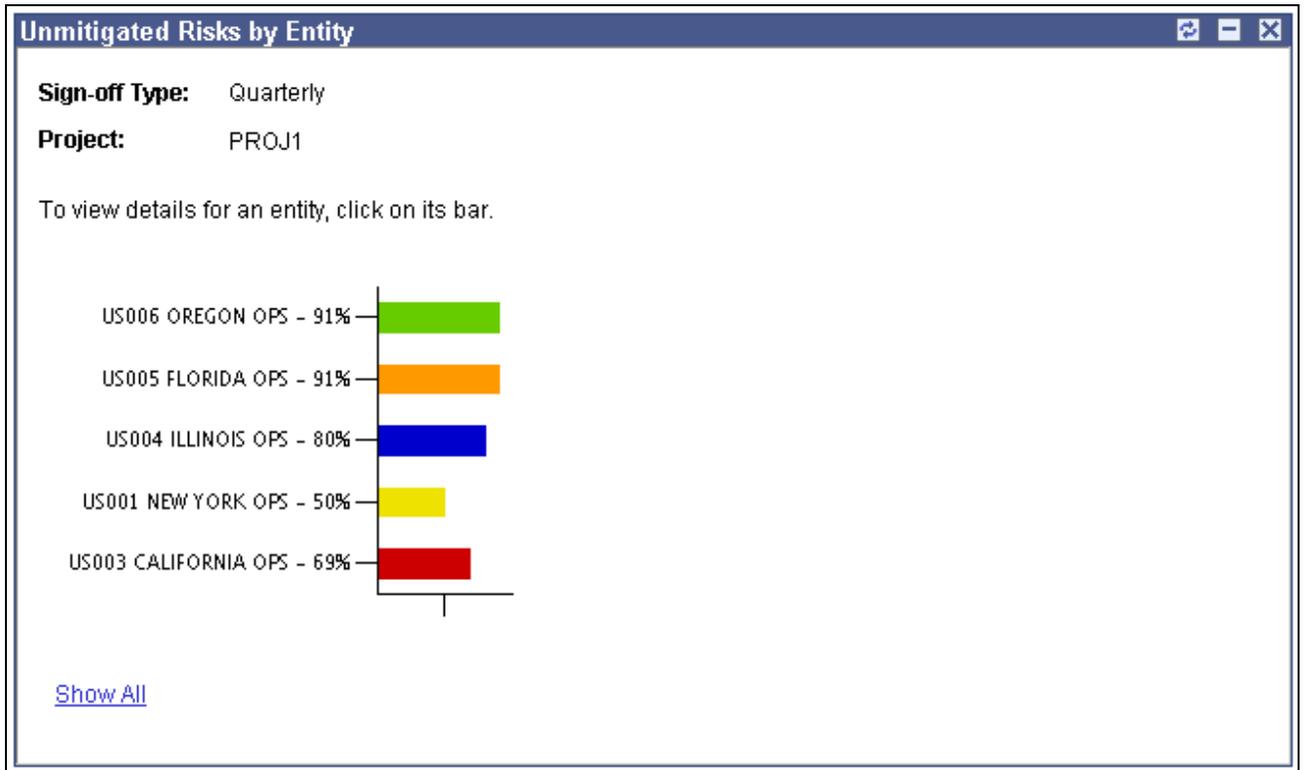
Not Signed Off - Process pagelet

The business processes that appear are established by using the Pagelet User Preferences - Business Processes page. By clicking any of the bars you can access the Internal Controls by Business Process page, which displays details for the subprocesses associated with that business process.

By clicking the Show All link, you can access a page that shows this information for all business processes.

Unmitigated Risks by Entity Pagelet

Enables users who have overall responsibility for corporate compliance to review the percentage of unmitigated risks by entity for the active sign-off sheet.



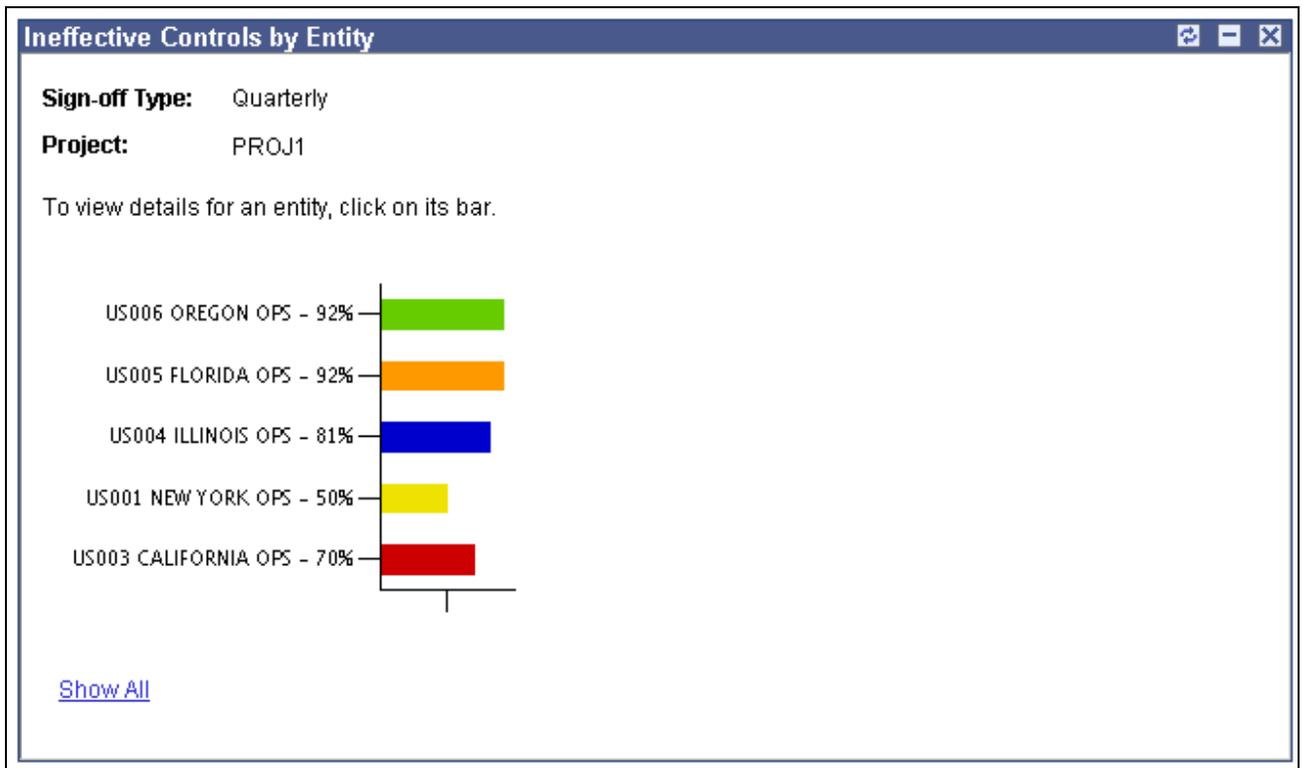
Unmitigated Risks by Entity pagelet

The entities that appear are established by using the Pagelet User Preferences - Entities page. By clicking any of the bars you can access the Internal Controls by Entity page, which displays details for the business processes associated with that entity.

By clicking the Show All link, you can access a page that shows this information for all entities.

Ineffective Controls by Entity Pagelet

Enables users with overall responsibility for corporate compliance to view the percentage of ineffective controls by entity for the active sign-off sheet.



Ineffective Controls by Entity pagelet

The entities that appear are established by using the Pagelet User Preferences - Entities page. By clicking any of the bars you can access the Internal Controls by Entity page, which displays details for the business processes associated with that entity.

By clicking the Show All link, you can access a page that shows this information for all entities.

Internal Controls by Entity Page

Enables users with overall responsibility for corporate compliance to view metrics on the state of internal controls certification for an entity by business process.

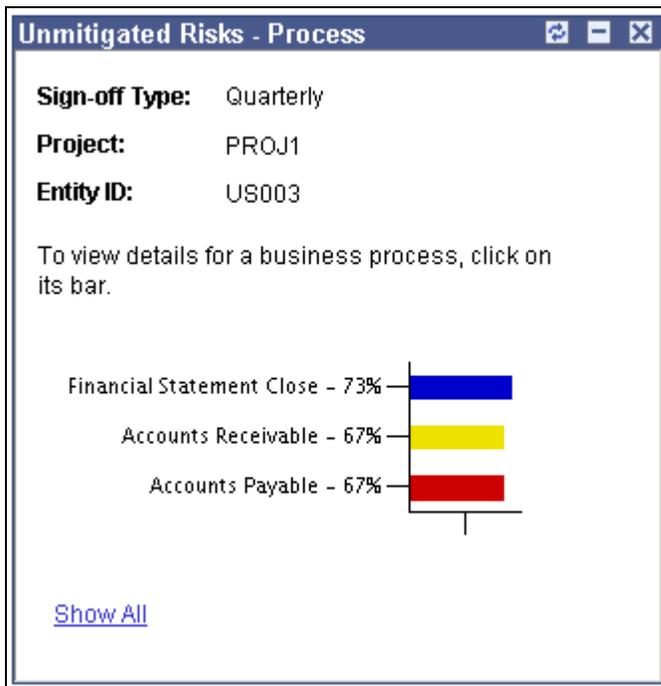
Internal Control State		
Business Process	Owner	% Subprocesses Not Signed Off
Accounts Payable	BP.AP/US001	67%
Accounts Receivable	PAPQ_ENTITYOWNER.1	67%
No sign-off sheet for Business Process: E1DIAG	PAPQ_ENTITYOWNER.1	
Financial Statement Close	PAPQ_ENTITYOWNER.1	33%

Internal Controls by Entity page

- Entity Owner and Owner** Click on the name of any of the various owners (entity owner, business process owner, or subprocess owner) to access the Send Notification page, where you can send a notification to that individual.
- Sign Offs** Click this link to view the percentages of subprocesses not signed off for each business process associated with this entity.
- Risks** Click this link to view metrics about the unmitigated risks for each business process associated with this entity, analyzed by primary, secondary, and tertiary risks.
- Controls** Click this link to view metrics about ineffective controls for each business process associated with this entity, classified by primary, secondary, and tertiary controls.
- Action Plans** Click this link to view metrics about the action plans for each business process associated with this entity.
- Business Process** Click on the business process description to access the Internal Controls by Business Process page, where you can view details for the subprocesses within that business process.

Unmitigated Risks - Process Pagelet

Enables business process owners to view the percentage of unmitigated risks by business process for the active sign-off sheet.



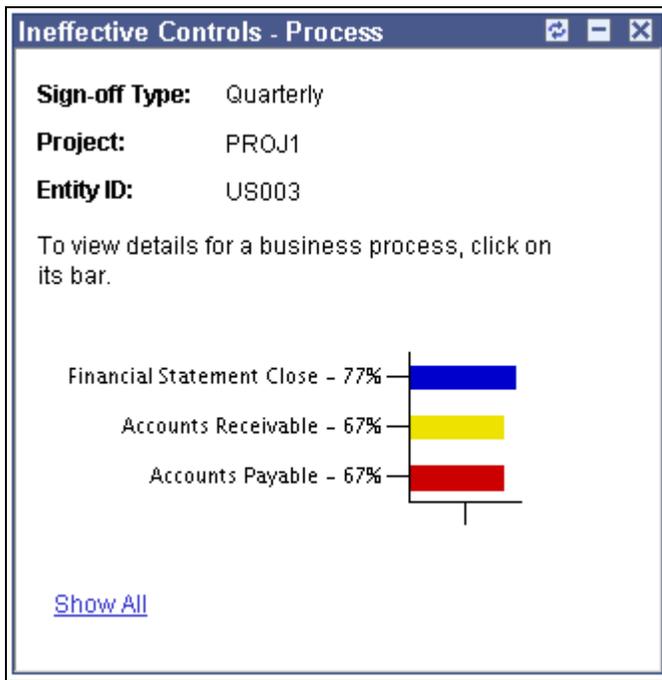
Unmitigated Risks - Process pagelet

The business processes that appear are established by using the Pagelet User Preferences - Business Processes page. By clicking any of the bars you can access the Internal Controls by Business Process page, which displays details for the subprocesses associated with that business process.

By clicking the Show All link, you can access a page that shows this information for all business processes.

Ineffective Controls - Process Pagelet

Enables business process owners to view the percentage of ineffective controls by business process for the active sign-off sheet.



Ineffective Controls - Process pagelet

The business processes that appear are established by using the Pagelet User Preferences - Business Processes page. By clicking on any of the bars you can access the Internal Controls by Business Process page, which displays details for the subprocesses associated with that business process.

By clicking the Show All link, you can access a page that shows this information for all business processes.

Internal Controls by Business Process Page

Enables entity owners and business process owners to view metrics on the state of internal controls for the subprocesses within a single business process.

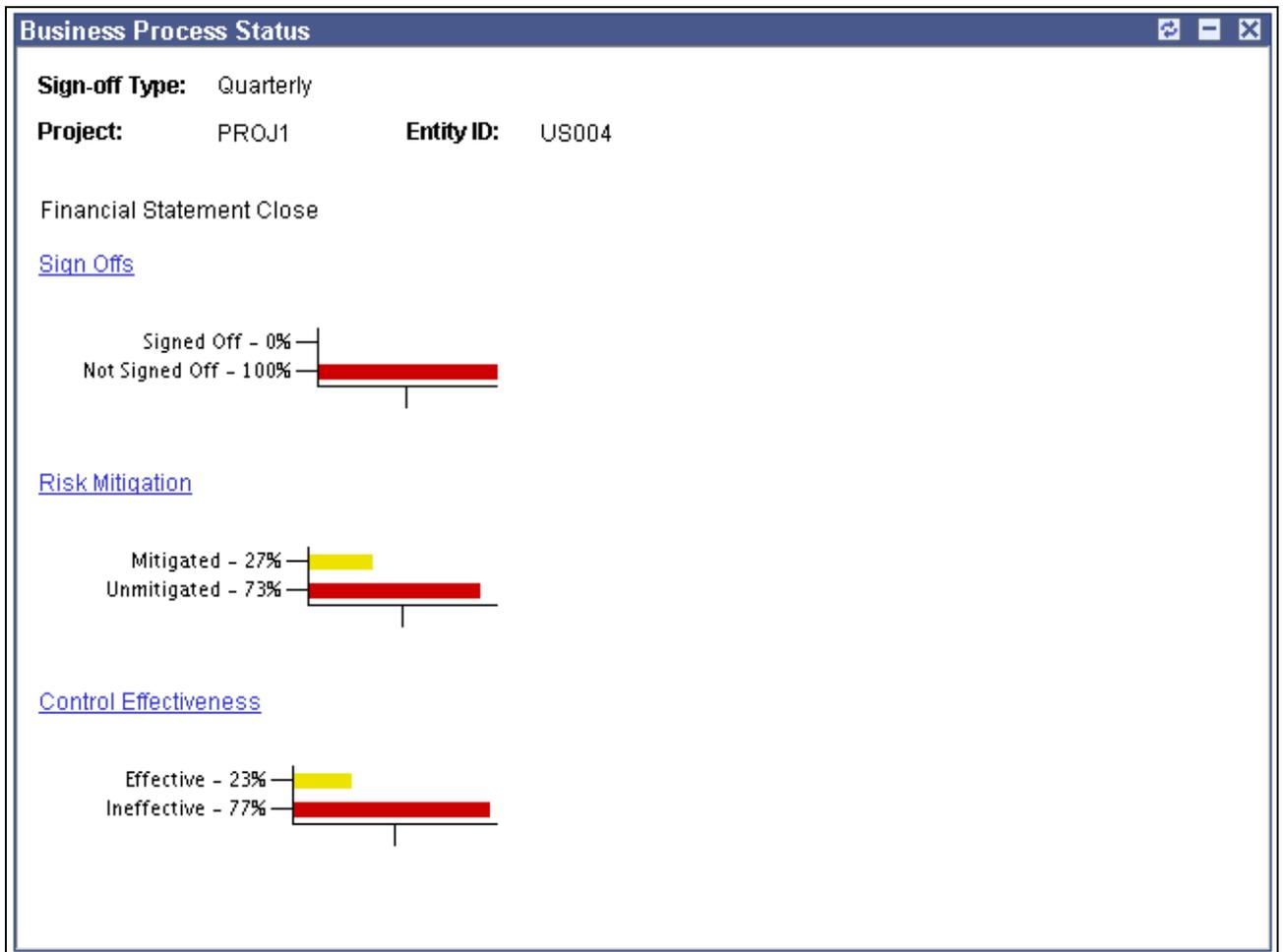
Internal Control State			
Subprocess	Owner	Process Priority	Signed Off
Cash applications	Apply Cash/US0013	Medium	Yes
Maintain customer master file	PAPQ_SUBPROCESSOWNER 3	Medium	No
Manage collections & write-off	PAPQ_SUBPROCESSOWNER 5	Medium	No

Internal Controls by Business Process page

- Process Owner and Owner** Click on the name of any of the various owners (business process owner, or subprocess owner) to access the Send Notification page, where you can send a notification to that individual.
- Subprocess** Click on a subprocess description to access the Process Definition page, where you can view the details for the subprocess definition.
- Sign Offs** Click this link to view the process priority and sign of status for each subprocess associated with this business process.
- Risks** Click this link to view metrics about the unmitigated risks for each subprocess associated with this business process, classified by primary, secondary, and tertiary risks.
- Controls** Click this link to view metrics about ineffective controls for each subprocess associated with this business process, classified by primary, secondary, and tertiary controls.
- Action Plans** Click this link to view metrics about the action plans for each subprocess associated with this business process.

Business Process Status Pagelet

Enables business process owners to view sign off percentages, risk mitigation percentages, and control effectiveness percentages, for a single business process.



Business Process Status pagelet

The business process for which these percentages appear is established by using the Pagelet User Preferences - Business Processes Status page.

Sign Offs Click this link to access the Internal Controls by Business Process page, where you can view sign off details for the subprocesses within this business process.

Risk Mitigation Click this link to access the Internal Controls by Business Process page, where you can view metrics about the unmitigated risks for each subprocess associated with this business process, classified by primary, secondary, and tertiary risks.

Control Effectiveness Click this link to access the Internal Controls by Business Process page, where you can view metrics about ineffective controls for each subprocess associated with this business process, classified by primary, secondary, and tertiary controls.

Report Business Conduct Pagelet

Enables users to anonymously report violations of business conduct policies, or other wrongdoing.



Report Business Conduct

Explain incident(s) in the following text field.
All reports will remain anonymous.

***Explain Incident:**

Submit

Report Business Conduct pagelet

Explain Incident Enter a description of the incident.

Submit Click to report the incident.

You can view reported incidents by using the Reported Business Conduct page.

See [Chapter 13, "Reporting Business Conduct Violations," Viewing Reported Incidents, page 238.](#)

Chapter 13

Reporting Business Conduct Violations

This chapter provides an overview of the Business Conduct Alert feature and discusses how to :

- Submit an incident report.
- Review submitted incidents.

Understanding the Business Conduct Alert Feature

The Business Conduct Alert feature enables individuals to report violations of appropriate business conduct. This feature includes a pagelet for reporting violations, and pages for reviewing submitted incidents. All reports are completely anonymous; the system does not track the IDs of individuals that report an incident.

Submitting an Incident Report

Use the Report Business Conduct pagelet to report an incident.

See [Chapter 12, "PeopleSoft Internal Controls Enforcer Pagelets," Report Business Conduct Pagelet, page 234.](#)

Reviewing Submitted Incidents

This section discusses how to:

- View reported incidents.
- Update an incident.

Pages Used to Review Submitted Incidents

<i>Page Name</i>	<i>Definition Name</i>	<i>Navigation</i>	<i>Usage</i>
Reported Business Conduct	EPQ_VW_RPT_INCID	Internal Controls Enforcer, Business Conduct Alert, Reported Business Conduct	View submitted business conduct incidents.

Page Name	Definition Name	Navigation	Usage
Incident Details	EPQ_INCIDENT_DTL	Click the text for an incident in the incident column on the Reported Business Conduct page.	Review the history of an incident, update its status, and indicate any action taken.

Viewing Reported Incidents

Access the Reported Business Conduct page (Internal Controls Enforcer, Business Conduct Alert, Reported Business Conduct).

The screenshot shows the 'Reported Business Conduct' interface. At the top, there is a 'Search Criteria' section with a dropdown menu for 'Incident Status' set to 'Closed', a 'Refresh' button, and date pickers for 'Submit From Date' (05/01/2004) and 'To Date' (06/30/2009). Below this is a table titled 'Reported Incidents' with columns for 'Submitted', 'Incident', 'Status', and 'Action Taken'. The table contains one entry: an incident submitted on 06/12/2006 at 11:47:38AM with the description 'There appears to be exceptions to the control..', a status of 'Closed', and the action 'The assistant controller has been fired and l..'. Navigation controls like 'First', '1 of 1', and 'Last' are visible above the table.

Reported Business Conduct page

Search Criteria

Specify the criteria for which incidents to review.

- Status** Specify the status of incidents to review. Options are:
- New:* Select to view new incidents. This is the default value for this field.
 - Closed:* Select to view closed incidents.
 - Under Review:* Select to view incidents that are being reviewed.

Submit From Date and To Date Enter the date range for which to view incidents. Leave blank to view all incidents with the specified status.

Refresh Click to populate the Reported Incidents grid with the incidents that meet the specified search criteria.

Reported Incidents

This grid contains the list of incidents that meet the specified criteria. Click the incident description to access the Incident Details page, where you can review the incident history, update the incident status, and record any action taken.

Updating an Incident

Access the Incident Details page (click the text for an incident in the incident column on the Reported Business Conduct page).

Incident Details

Incident

Submitted On: 06/12/2006 11:47:38AM

Details: There appears to be exceptions to the control on duplicate signatures for AP checks over \$10,000. Please have someone review the check register and copies of the checks.

History Find | View 1 First 1-4 of 4 Last

Last Update Date/Time: 06/12/2006 1:27:29PM **Last Update User ID:** VP1

Incident Status: Closed

Action Taken: The assistant controller has been fired and legal action has been taken up by the legal department.

Last Update Date/Time: 06/12/2006 1:26:30PM **Last Update User ID:** VP1

Incident Status: Under Review

Action Taken: After review of check register and copies of checks, reviewed the vendors in which the checks were written. It appears that the assistant controller was writing checks over 10K to a vendor where the assistant controller's spouse was the owner.

Last Update Date/Time: 06/12/2006 11:49:21AM **Last Update User ID:** VP1

Incident Status: Under Review

Action Taken: Assigned to internal audit and special fraud team

Last Update Date/Time: 06/12/2006 11:48:48AM **Last Update User ID:** VP1

Incident Status: New

Action Taken: Noted item of duplicate signature non-compliance.

Incident Details page

Updating an Incident

Use the fields within the Follow-up group box to record activity related to the incident.

Status Select a value to change the incident status. Options are: *New, Closed, or Under Review*.

Action Taken Enter a description of the action taken.

Reviewing Incident History

Use the History group box to review all entries that have been recorded for an incident.

Appendix A

Delivered Workflows for PeopleSoft Internal Controls Enforcer

This appendix discusses delivered workflows for PeopleSoft Internal Controls Enforcer.

General Workflow Information

The delivered workflows for PeopleSoft Internal Controls Enforcer are either email, or worklist notifications. Some notifications are sent automatically when running a process, others are sent adhoc by using the Send Notification page. For automatic notifications, the notification format is determined by the current workflow attribute settings that are established for each userID. For adhoc notifications, the notification format is determined by the delivery options specified on the Send Notification page.

Delivered Workflows for PeopleSoft Internal Controls Enforcer

This section discusses PeopleSoft Internal Controls Enforcer workflows. The workflows are listed alphabetically by workflow name.

Adhoc Notification to Business Process Owner from Internal Controls By Entity Page

This section discusses the adhoc notification to business process owner from Internal Controls By Entity page workflow.

Description

Event Description	A user clicks the name of a business process owner on the Internal Controls By Entity page to access the Send Notification page, where they enter the notification text, then click OK.
Action Description	The system sends the person in the selected Owner field a notification.
Notification Type	Email or worklist, depending on the delivery options specified on the Send Notification page.

Adhoc Notification to Business Process Owner from Internal Controls By Business Process Page

This section discusses the adhoc notification to business process owner from Internal Controls By Business Process page workflow.

Description

Event Description	A user clicks the name of a business process owner on the Internal Controls By Business Process page to access the Send Notification page, where they enter the notification text, then click OK.
Action Description	The system sends the person in the selected Owner field a notification.
Notification Type	Email or worklist, depending on the delivery options specified on the Send Notification page.

Adhoc Notification to Entity Owner from Business Process Manager Component

This section discusses the adhoc notification to entity owner from Business Process Manager component workflow.

Description

Event Description	A user clicks the name of an entity owner on the Entities page of the Business Process Manager component to access the Send Notification page, where they enter the notification text, then click OK.
Action Description	The system sends the person in the selected Owner field a notification.
Notification Type	Email or worklist, depending on the delivery options specified on the Send Notification page.

Adhoc Notification to Entity Owner from Internal Controls By Entity Page

This section discusses the adhoc notification to entity owner from Internal Controls By Entity Page workflow.

Description

Event Description	A user clicks the name of an entity owner on the Internal Controls by Entity page to access the Send Notification page, where they enter the notification text, then click OK.
Action Description	The system sends the person in the selected Owner field a notification.

Notification Type	Email or worklist, depending on the delivery options specified on the Send Notification page.
--------------------------	---

Adhoc Notification to Subprocess Owner from Internal Controls By Business Process Page

This section discusses the adhoc notification to subprocess owner from Internal Controls By Business Process page workflow.

Description

Event Description	A user clicks the name of an entity owner on the Internal Controls by Business Process page to access the Send Notification page, where they enter the notification text, then click OK.
Action Description	The system sends the person in the selected Owner field a notification.
Notification Type	Email or worklist, depending on the delivery options specified on the Send Notification page.

Automatic Notification to Action Plan Owner Upon Change in Action Plan Ownership

This section discusses the automatic notification to action plan owner upon change in action plan ownership workflow.

Description

Event Description	A user changes the Assigned To field on the Action Plan page and saves the change.
Action Description	The system sends the person identified in the Assigned To field a notification.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_ACTPLN_ROUTING
Event	For worklist: Change Owner WL For email: Change Owner Email

Workflow Action	For worklist: Change Owner WL For email: Change Owner Email
Role	New action plan owner (roleuser by operator ID query).

Automatic Notification to Business Process or Subprocess Owner Upon Change in Business Process or Subprocess Instance Ownership

This section discusses the automatic notification to business process or subprocess owner upon change in business process or subprocess instance ownership workflow.

Description

Event Description	A user changes the business process or subprocess instance owner within the Process Instance Definition component, and saves the changes.
Action Description	The system sends the person identified in the owner field a notification.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_BPI_ROUTING
Event	For worklist: Change Owner WL For email: Change Owner Email
Workflow Action	For worklist: Change Owner WL For email: Change Owner Email
Role	New business process instance owner (roleuser by operator ID query).

Automatic Notification to Entity Owner Upon Generation of Subprocess Instance

This section discusses the automatic notification to entity owner upon generation of subprocess instance workflow.

Description

Event Description	A user clicks Create/Update Instances from the Business Process Manager - Entities page of the Business Process Manager component.
Action Description	The system sends a notification to the person identified as the entity owner for each generated business process instance. Also, for each subprocess instance the system sends a notification to the person identified as the subprocess instance owner, if known; otherwise it sends the notification to the entity owner.
Notification Type	Email or worklist.

Workflow Objects

Activity	EPQ_BPI_ROUTING
Event	For worklist only: Change Owner WL
Workflow Action	For worklist only: Change Owner WL
Calling Application	EPQ_INST_GEN Application Engine Program, Step = NOTIFY
Role	Entity owner, subprocess owner (roleuser by operator ID query).

Automatic Notification to Entity Owner When Business Process Owner Signs off on a Sign Off Sheet

This section discusses the automatic notification to entity owner when business process owner signs off on a sign off sheet workflow.

Description

Event Description	User clicks Submit button on the Internal Control Sign Off Sheet page.
Action Description	The system sends a notification to the entity owner of the entity that is associated with the subprocess instance being signed off.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
-------------------------	-----------------

Activity	EPQ_SIGNOFF_ROUTING
Event	For worklist: Subprocess signed off For email: Notify by Email
Workflow Action	For worklist: Subprocess signed off For email: Notify by Email
Role	Entity owner (roleuser by operator ID query).

Automatic Notification to Entity Owner When Owner Changes on Entity Manager Page

This section discusses the automatic notification to entity owner when owner changes on Entity Manager page workflow.

Description

Event Description	User changes the Owner field on the Entity Definition page.
Action Description	The system sends a notification to the new entity owner.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_ENTITY_ROUTING
Event	For worklist: Change Owner WL For email: Change Owner Email
Workflow Action	For worklist: Change Owner WL For email: Change Owner Email
Role	New entity owner (roleuser by operator ID query).

Automatic Notification to Process Owner or Entity Owner When Subprocess Owner Signs Off on a Sign Off Sheet

This section discusses the automatic notification to process owner or entity owner when subprocess owner signs off on a sign off sheet workflow.

Description

Event Description	User clicks Submit on the Internal Control Sign Off page.
Action Description	If business process owner sign off is required, the system sends a notification to the business process owner of the business process instance that is associated with the subprocess instance being signed off. If business process owner sign off is not required, the system sends a notification to the entity owner of the entity that is associated with the subprocess instance being signed off.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_SIGNOFF_ROUTING
Event	For worklist: Subprocess owner signed off For email: Notify by Email
Workflow Action	For worklist: Subprocess owner signed off For email: Notify by Email
Role	Process owner or entity owner (roleuser by operator ID query).

Automatic Notification to Subprocess Owner if Sign Off Denied by Business Process Owner

This section discusses the automatic notification to subprocess owner or entity owner when business process owner denies sign off workflow.

Description

Event Description	Business process owner selects <i>Denied</i> on the Internal Control Sign Off page.
Action Description	The system sends a notification to the subprocess owner of the business process instance that is associated with the subprocess instance being denied sign off.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
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Activity	EPQ_SIGNOFF_ROUTING
Event	For worklist: Subprocesss sign off denied For email: Notify by Email
Workflow Action	For worklist: Subprocesss sign off denied For email: Notify by Email
Role	Subprocess owner (roleuser by operator ID query).

Automatic Notification to Subprocess Instance Owner When Diagnostic Report Compare Process Detects a Change in a Diagnostic

This section discusses the automatic notification to subprocess instance owner when diagnostic report compare process detects a change in a diagnostic workflow.

Description

Event Description	Diagnostic reports are generated on an as-needed basis. Users mark a particular version of a Diagnostic as a benchmark. When a subsequent report is created, it is compared first to the benchmark to see if there is a change. If there is a change, then the report is compared to the next most recent report (if not the benchmark) to see if there was a change since then. This is done to prevent sending repeated emails if a report is run repeatedly after it has changed without subsequent changes.
Action Description	If a change is detected as compared to the benchmark and to the most recent report, a notification is sent to the subprocess instance owners who employ the control that is impacted by the diagnostic.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_CTLSTAT_ROUTING
Event	Diagnostic Change
Workflow Action	Diagnostic Change
Calling Application	EPQ_DIAG_FCH Application Engine Program, Step = DO-PROC
PeopleCode	Class = EPQ_CONTROL_PKG:Control, Method = notifySubProcessOwner
Role	Subprocess owner (roleuser by operator ID)

Automatic Notification to Subprocess Owner When Sign-Off Sheets are Created or Refreshed

This section discusses the automatic notification to subprocess owner when a sign-off sheet is created or refreshed workflow.

Description

Event Description	User clicks Generate and Distribute Sign-off Sheets or Refresh Existing Sign-off Sheet on the Internal Control Sign Off Sheet Generator page.
Action Description	The system sends a notification to each subprocess instance owner for which a sign-off sheet is generated or refreshed.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_SIGNOFF_ROUTING
Event	Signoff Sheet Generated
Workflow Action	Signoff Sheet Generated
Calling Application	EPQ_SO_GEN Application Engine Program, Step = NOTIFY
PeopleCode	Class = EPQ_BP_PKG:Signoff, Method = notifySubProcessOwner
Role	Subprocess owner (roleuser by operator ID)

Automatic Notification to Test Plan Owner Upon Change in Test Plan Ownership

This section discusses the automatic notification to test plan owner upon change in test plan ownership workflow.

Description

Event Description	A user changes the person in the Assigned To field on the Test Plan page and saves the changes.
Action Description	The system sends the newly identified test plan owner an email.

Notification Type	Email or worklist.
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Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_TSTPLN_ROUTING
Event	For worklist: Change Owner WL For email: Change Owner Email
Workflow Action	For worklist: Change Owner WL For email: Change Owner Email
Role	New test plan owner (roleuser by operator ID query).

Automatic Notification to Test Plan Owner When Test Plan is Generated

This section discusses the automatic notification to test plan owner when test plan is generated workflow.

Description

Event Description	A user generates test plans.
Action Description	The system sends the test plan owner a notification.
Notification Type	Email or worklist.

Workflow Objects

Business Process	EPQ_USER_NOTIFY
Activity	EPQ_TSTPLN_ROUTING
Event	Test Plan Generated
Workflow Action	Test Plan Generated
Calling Application	EPQ_TP_INSRT Application Engine Program
PeopleCode	EPQ_TP_INSRT.Notify.Step02
Role	Test plan owner (roleuser by operator ID query).

Automatic Email to Test Plan Owner When Test Plan and Action Plan Alert is Executed

This section discusses the automatic email to test plan owner when test plan or action plan alert is generated and notify plan owner is selected.

Description

Event Description	A user runs the Test/Action Plan Alert engine, with the Plan Owner check box selected in the Notify group box.
Action Description	The system sends the test plan owner an email.
Notification Type	Email.

Workflow Objects

Calling Application	EPQ_PLN_ALRT Application Engine Program
PeopleCode	EPQ_PLN_ALRT.Notify.Step03
Role	Email address associated with user profile of test plan owner.

Automatic Email to Subprocess Instance Owner When Test Plan and Action Plan Alert is Executed

This section discusses the automatic email to subprocess instance owner when test plan or action plan alert is generated and notify subprocess owner is selected.

Description

Event Description	A user runs the Test/Action Plan Alert engine, with the Subprocess Owner check box selected in the Notify group box.
Action Description	The system sends the subprocess instance owner an email.
Notification Type	Email.

Workflow Objects

Calling Application	EPQ_PLN_ALRT Application Engine Program
PeopleCode	EPQ_PLN_ALRT.Notify.Step03

Role	Email address associated with user profile of subprocess instance owner.
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Automatic Email to Business Process Instance Owner When Test Plan and Action Plan Alert is Executed

This section discusses the automatic email to business process instance owner when test plan or action plan alert is generated and notify business process owner is selected.

Description

Event Description	A user runs the Test/Action Plan Alert engine, with the Business Process Owner check box selected in the Notify group box.
Action Description	The system sends the business process instance owner an email.
Notification Type	Email.

Workflow Objects

Calling Application	EPQ_PLN_ALERT Application Engine Program
PeopleCode	EPQ_PLN_ALERT.Notify.Step03
Role	Email address associated with user profile of business process instance owner.

Appendix B

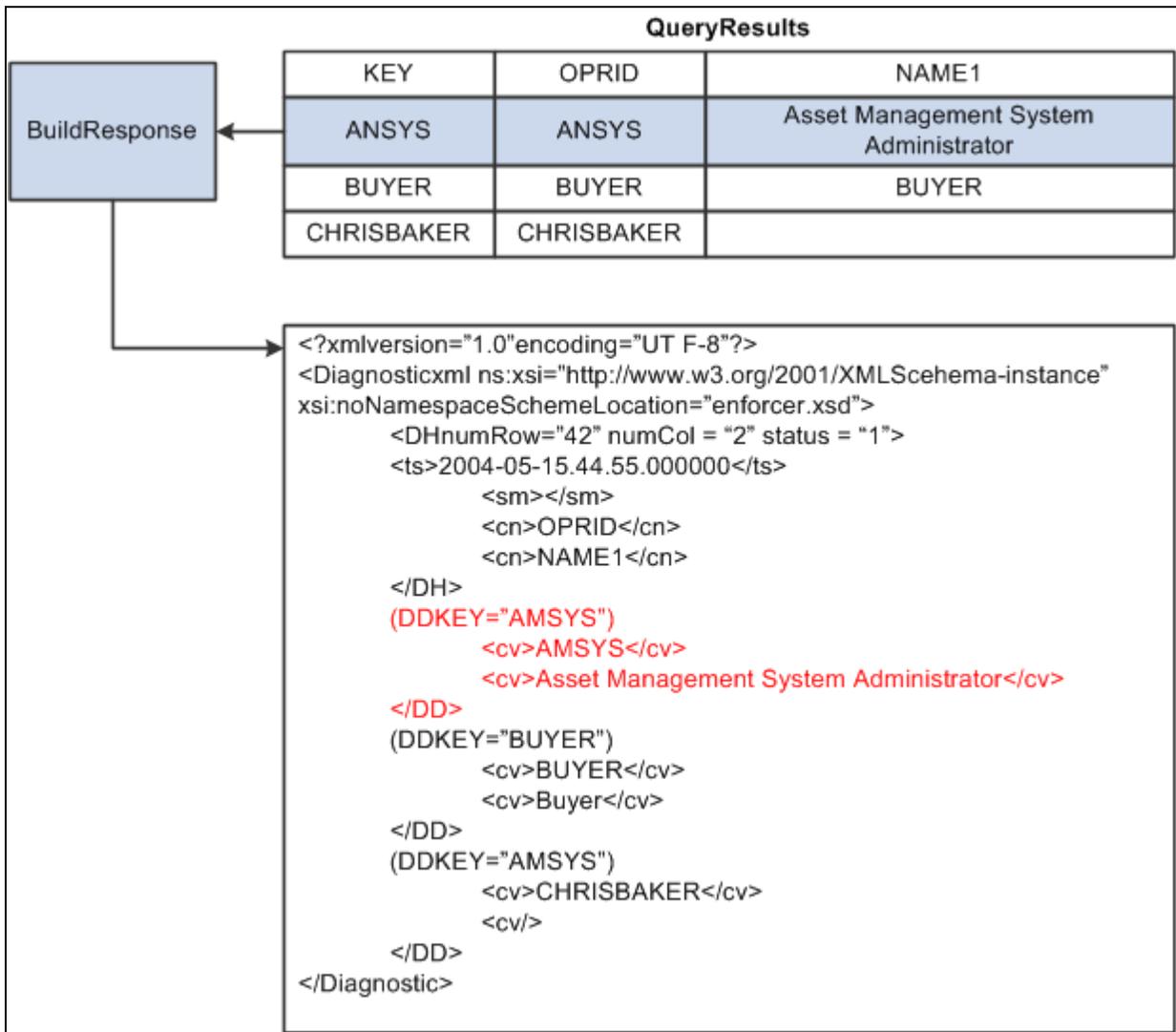
Adding Diagnostics

This appendix discusses how to create and use new query, function, and SQL-based diagnostics for the delivered diagnostic source types.

Note. A red paper is available on My Oracle Support that provides guidelines about how to define *new* diagnostic source types.

Key Column Requirement

The PeopleSoft Internal Controls Enforcer server diagnostic module uses a function called `BuildResponse` to create the resulting XML file. This function expects that the result contains the key as its first column. This key will not be part of the diagnostic report that is displayed in PeopleSoft Internal Controls Enforcer. This key may be a concatenation of several fields, and it must uniquely identify each row. This key is crucial to the diagnostic portal module for comparing a newly retrieved diagnostic report against the previous diagnostic report. The following diagram shows an example of how the system uses the key column.



Key column use in BuildResponse function

Creating Query-Based Diagnostics

Complete the following steps to implement new queries for use with diagnostics:

1. Create the query on the remote system. Remember to add the key as the first column of the result.

2. Add a query reference definition in PeopleSoft Internal Controls Enforcer to reference that query. Make sure to give the query ID the same name as that of the query that you created in the remote system.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Query Definition.
 - b. Click Add a New Value and enter the name of the query you created in the remote system as the query ID.
 - c. Enter a description.
 - d. Select Business Unit Required if you need to query control data in a PeopleSoft database so that setID redirection can retrieve the appropriate set of records. If this is selected, the system automatically inserts the entity business unit as the first parameter of the query that it sends to the external source system.
 - e. If needed, specify additional parameters to pass to your query. The order is important; it must match the prompt properties you defined for the query.
 - f. Save.
3. Add a new diagnostic definition in PeopleSoft Internal Controls Enforcer to point to the new query.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Define Diagnostic.
 - b. Click Add a New Value and enter an ID for the diagnostic.
 - c. Select the ID of the external source system.
 - d. Select Query
 - e. Specify the query reference (created previously in step 2) to use for this diagnostic.
 - f. Save.

Creating SQL-Based Diagnostics

Complete the following steps to create and implement new SQL-based diagnostics:

1. In the PeopleSoft Internal Controls Enforcer application, add a SQL reference using the Define SQL Reference page.

See [Chapter 9, "Establishing and Maintaining Diagnostics," Defining SQL References, page 135.](#)

2. Add a new diagnostic definition in PeopleSoft Internal Controls Enforcer that points to the new SQL reference.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Define Diagnostic.
 - b. Click on Add a New Value and enter an identifier for the diagnostic.
 - c. Select the ID of the external source system.
 - d. Select SQL.
 - e. Specify the SQL reference (created previously in step 2) to use for this diagnostic.
 - f. Save.

Creating Function-Based Diagnostics for PeopleSoft Enterprise Applications

Complete the following steps to create and implement new function-based diagnostics for PeopleSoft Enterprise Applications:

1. On the remote PeopleSoft system, write a new function.

Note. The functions that are packaged in PeopleSoft Internal Controls Enforcer are found in FUNCLIB_EPQ.EPQ_PUB_FUNCTIONS.FieldFormula. You should save any functions that you create into a different record definition to ensure that future upgrades do not overwrite your function definitions.

PeopleSoft Internal Controls Enforcer provides a function called BuildResponse that you can use to create the resulting XML file.

```
Function BuildResponse(&numrow As number, &numcol As number, &sc As number,
    &colarr As array of string, &rowarr As array of array of string) Returns
    string;
```

2. On the remote system, add an extra WHEN clause into AnalyzeFunction in FUNCLIB_EPQ.EPQ_PUB_FUNCTIONS.FieldFormula for the new function.

3. Add a function definition in PeopleSoft Internal Controls Enforcer that references the new function. Make sure to give the function ID the same name as the function that you created in the remote system.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Function Definition.
 - b. Click Add a New Value and enter the name of the function you created in the external source system as the function ID.
 - c. Enter a description.
 - d. Select Business Unit Required if you need to query control data in a PeopleSoft database so that setID redirection can retrieve the appropriate set of records. If this is selected, the system automatically inserts the entity business unit as the first parameter of the function that it sends to the external source system.
 - e. If needed, add additional parameters to pass to your function. The order is important; it must match the parameter list you defined for the function.
 - f. Save.
4. Add a new diagnostic definition in PeopleSoft Internal Controls Enforcer to point to the new function.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Define Diagnostic.
 - b. Click on Add a New Value and enter an identifier for the diagnostic.
 - c. Select the ID of the external source system.
 - d. Select Function.
 - e. Specify the function reference (created previously in step 3) to use for this diagnostic.
 - f. Save.

Creating Function-Based Diagnostics for JD Edwards EnterpriseOne Applications

Complete the following steps to create and implement new function-based diagnostics for Oracle's JD Edwards EnterpriseOne applications:

1. On the remote JD Edwards EnterpriseOne system, write a new function, using either of the following methods:
 - In WebMethods Developer, create a new adapter service using the Select template and the EnterpriseOne Adapter as the adapter type. The purpose of this adapter is to query data from the JD Edwards EnterpriseOne database tables.
 - Create an EnterpriseOne business function to collect the desired data
2. In WebMethods Developer, create a new adapter service using the Business Function template and the EnterpriseOne Adapter as the adapter type. The purpose of this adapter is to facilitate calling the business function from a flow service.

3. In WebMethods Developer, create a new flow service using the adapter service created in the previous step. The purpose of this flow is to respond, with an XML document, to requests from PeopleSoft Internal Controls Enforcer.
 - a. Be sure to use the E1 Date Pattern integration option to obtain the date pattern to pass into the adapter.
 - b. Use the documentToXMLString service in conjunction with the XMLOutputdoc document to create an XML document. The XMLOutputdoc document is located in the PSFT_EnterpriseOne_ICE package under the docs folder.
 - c. Use the setResponse service to return the XML document to the calling process.
4. Add a function definition in PeopleSoft Internal Controls Enforcer that references the new flow service. Make sure to give the function ID the same name as the flow service that you created in step 3.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Function Definition.
 - b. Click Add a New Value and enter the name of the flow service you created as the function ID.
 - c. Enter a description.
 - d. Do *not* select Business Unit Required.
 - e. If needed, add additional parameters to pass to your flow service. The format will be *parametername=value*.
 - f. Save.
5. Add a new diagnostic definition in PeopleSoft Internal Controls Enforcer to point to the new function.
 - a. In the portal system, navigate to Internal Controls Enforcer, Master Setup, Diagnostic Setup, Define Diagnostic.
 - b. Click on Add a New Value and enter an identifier for the diagnostic.
 - c. Select the ID of the external source system.
 - d. Select Function.
 - e. Specify the function reference (created previously in step 3) to use for this diagnostic.
 - f. Save.

Appendix C

PeopleSoft Internal Controls Enforcer Reports

This appendix provides a summary table of the PeopleSoft Internal Controls Enforcer reports and discusses how to specify report parameters.

Note. For samples of these reports, see the PDF files that are published on CD-ROM with your documentation

PeopleSoft Internal Controls Enforcer Reports: A to Z

The tables in this section list the PeopleSoft Internal Controls Enforcer reports, sorted alphanumerically by report ID. These reports are Oracle XML Publisher reports.

The reports are presented in the following categories:

- Master setup reports.
- Instance setup reports.
- Status reports.
- Sign-off reports.
- Business Conduct Alert report.

Master Setup Reports

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX1001 Process Organization	Provides a list of a compliance project's master-level business processes, associated subprocesses, and assigned entities.	Internal Controls Enforcer, Reports, Master Setup Reports, Process Organization	EPQ_RPT_RUN

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX1002 Process Elements	Provides a list of a compliance project's master-level subprocesses and elements.	Internal Controls Enforcer, Reports, Master Setup Reports, Process Elements	EPQ_RPT_RUN
EPQX1003 Elements without Subprocesses	Provides a list of a compliance project's master-level elements that are not associated with a subprocess.	Internal Controls Enforcer, Reports, Master Setup Reports, Elements without Subprocesses	EPQ_RPT_RUN
EPQX1004 Subprocess by Element	Provides a list of a compliance project's master-level elements, associated subprocesses, and entities.	Internal Controls Enforcer, Reports, Master Setup Reports, Subprocess by Element	EPQ_RPT_RUN
EPQX1005 Subprocesses without Elements	Provides a list of a compliance project's master-level subprocesses and their related parent business processes that lack corresponding elements.	Internal Controls Enforcer, Reports, Master Setup Reports, Subprocesses without Elements	EPQ_RPT_RUN
EPQX1006 Subprocesses without Instances	Provides a list of a compliance project's master-level subprocesses and parent business processes for which there are no corresponding instance-level definitions.	Internal Controls Enforcer, Reports, Master Setup Reports, Subprocesses without Instances	EPQ_RPT_RUN
EPQX1007 Risks	Provides a list of a compliance project's master-level risks.	Internal Controls Enforcer, Reports, Master Setup Reports, Risks	EPQ_RPT_RUN
EPQX1008 Risks without Controls	Provides a list of a compliance project's master-level risks that lack associated controls.	Internal Controls Enforcer, Reports, Master Setup Reports, Risks without Controls	EPQ_RPT_RUN
EPQX1009 Controls	Provides a list of a compliance project's master-level controls.	Internal Controls Enforcer, Reports, Master Setup Reports, Controls	EPQ_RPT_RUN
EPQX1010 Controls without Risks	Provides a list of a compliance project's master-level controls that lack associated risks.	Internal Controls Enforcer, Reports, Master Setup Reports, Controls without Risks	EPQ_RPT_RUN

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX1011 Risk/Control Matrix	Provides a list of a compliance project's master-level subprocesses with their associated risks, controls and test plans.	Internal Controls Enforcer, Reports, Master Setup Reports, Risk/Control Matrix	EPQ_RPT_RUN

Instance Setup Reports

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX2001 Process Organization	Provides a list of a compliance project's business process instances, associated subprocess instances, and assigned entities, as well as current and last sign off information.	Internal Controls Enforcer, Reports, Instance Setup Reports, Process Organization	EPQ_RPT_RUN
EPQX2002 Process by Owner	Provides a list of a compliance project's business process instances with their associated subprocess instances and assigned entities grouped by subprocess owners.	Internal Controls Enforcer, Reports, Instance Setup Reports, Process by Owner	EPQ_RPT_RUN
EPQX2003 Elements without Subprocesses	Provides a list of a compliance project's elements that are currently not associated with a subprocess instance.	Internal Controls Enforcer, Reports, Instance Setup Reports, Elements without Subprocesses	EPQ_RPT_RUN
EPQX2004 Subprocess by Element	Provides a list of a compliance project's elements and associated subprocess instances and entities.	Internal Controls Enforcer, Reports, Instance Setup Reports, Subprocess by Element	EPQ_RPT_RUN
EPQX2005 Risks	Provides a list of a compliance project's subprocess instances and their associated entities, risks, risk categories, and risk priorities.	Internal Controls Enforcer, Reports, Instance Setup Reports, Risks	EPQ_RPT_RUN
EPQX2006 Risks without Controls	Provides a list of a compliance project's instance-level risks that lack associated controls.	Internal Controls Enforcer, Reports, Instance Setup Reports, Risks without Controls	EPQ_RPT_RUN

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX2007 Controls	Provides a list of a compliance project's subprocess instances with their associated entities, controls, control categories, and control types.	Internal Controls Enforcer, Reports, Instance Setup Reports, Controls	EPQ_RPT_RUN
EPQX2008 Controls without Risks	Provides a list of a compliance project's instance-level controls that lack associated risks.	Internal Controls Enforcer, Reports, Instance Setup Reports, Controls without Risks	EPQ_RPT_RUN
EPQX2009 Risk/Control Matrix	Provides a list of a compliance project's subprocess instances with their associated risks, controls and test plans.	Internal Controls Enforcer, Reports, Instance Setup Reports, Risk/Control Matrix	EPQ_RPT_RUN

Status Reports

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX3001 Control Status by Element	Provides a list of a compliance project's financial elements with details of their current balances, and the overall control status for each financial assertion category.	Internal Controls Enforcer, Reports, Status Reports, Control Status by Element	EPQ_RPT_RUN
EPQX3002 Elements by Risk and Control	Provides a list of a compliance project's financial elements with details of their current balances, their risk ranking, and their overall control status.	Internal Controls Enforcer, Reports, Status Reports, Element by Risk/Control Status	EPQ_RPT_RUN
EPQX3003 Controls in Exception Status	Provides a list of a compliance project's controls that are in exception status, with details for the associated test plans and action plans.	Internal Controls Enforcer, Reports, Status Reports, Controls in Exception Status	EPQ_RPT_RUN
EPQX3004 Test Complete but not Proven	Provides a list of the unproven controls within a compliance project that have their test status set to completed.	Internal Controls Enforcer, Reports, Status Reports, Test Complete but not Proven	EPQ_RPT_RUN

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX3005 Test Plan Status	Provides a list of a compliance project's test templates, and their associated test plans, status, dates, and results. Test plans are grouped by subprocess, entity, and control.	Internal Controls Enforcer, Reports, Status Reports, Test Plan Status	EPQ_RPT_RUN
EPQX3006 Action Plan Status	Provides a list of compliance project's action plans, and their associated status, dates, and owners. The action plans are grouped by subprocess, entity, and control.	Internal Controls Enforcer, Reports, Status Reports, Action Plan Status	EPQ_RPT_RUN
EPQX3007 Diagnostic History	Provides a list of a compliance project's diagnostics, grouped by subprocess, entity, and control. Includes details of the last diagnostic run date and benchmark.	Internal Controls Enforcer, Reports, Status Reports, Diagnostic History	EPQ_RPT_RUN
EPQX3008 Attachment Report	Provides a list of a compliance project's attachments grouped by subprocess, entity, and control. Includes details of when and by who the attachment was last updated.	Internal Controls Enforcer, Reports, Status Reports, Attachment Report	EPQ_RPT_RUN

Sign-Off Reports

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX4001 Sign-off Sheet	Provides a list of sign-offs, sign-off dates, statuses, and approvals for a compliance project, as of date, and sign-off ID. Sign-off information is grouped by subprocess and entity.	Internal Controls Enforcer, Reports, Sign-off Reports, Sign-off Sheet	EPQ_RPT_RUN

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX4002 SBP Instances not in Sign off	Provides a list of subprocess and associated entities that are not included in a sign-off for a compliance project, as of date, and sign-off ID.	Internal Controls Enforcer, Reports, Sign-off Reports, SBP Instances not in Sign off	EPQ_RPT_RUN

Business Conduct Alert Report

Report ID and Report Name	Description	Navigation	Run Control Page
EPQX5001 Business Conduct Alert Report	Provides a list of incidents and associated actions submitted through the business conduct alert component.	Internal Controls Enforcer, Reports, Business Conduct Alert Report, Business Conduct Alert Report	EPQ_RPT_RUN

Specifying Report Parameters

This section discusses how to define report parameters.

Defining Report Parameters

To specify the parameters for a report, access the run control page for the report and complete the report parameter fields. The following table lists all of the report parameter fields; the fields that appear on the run control pages differ for each report.

- Compliance Project** Specify the compliance project for which to generate the report.
- As of Date** Enter the last date for which to include data in the report.
- Business Process Option** Specify the business processes to include in the report. The options that are available vary by report. Options are:
 - All Values:* Select to include all business processes.
 - Selected Business Processes:* Select to limit the report to specific business processes. When you select this option, specify the business processes to include by adding rows and specifying the business processes within the Details grid that appears.
 - Selected Subprocesses:* Select to limit the report to specific subprocesses. When you select this option, specify the subprocesses to include by adding rows and specifying the subprocesses within the Details grid that appears.

Entity Option	<p>Specify the entities to include in the report. Options are:</p> <p><i>All Values:</i> Select to include all entities.</p> <p><i>Selected Values:</i> Select to limit the report to specific entities. When you select this option, specify the entities to include by adding rows and specifying the entities within the Details grid that appears</p>
Element Option	<p>Specify the elements to include in the report. Options are:</p> <p><i>All Values:</i> Select to include all elements.</p> <p><i>Selected Values:</i> Select to limit the report to specific elements. When you select this option, specify the elements to include by adding rows and specifying the elements within the Details grid that appears</p>
Process Owner Option	<p>Specify which business process owners to include in the report. Options are:</p> <p><i>All Values:</i> Select to include all business process owners.</p> <p><i>Selected Values:</i> Select to limit the report to specific business process owners. When you select this option, specify the business process owners to include by adding rows and specifying the business process owners within the Details grid that appears</p>
Risk Option	<p>Specify the risks to include in the report. Options are:</p> <p><i>All Values:</i> Select to include all risks.</p> <p><i>Begins With:</i> Select to limit the report to risks that begin with the specified characters. When you select this option, enter the character string in the Details grid that appears.</p> <p><i>Selected Values:</i> Select to limit the report to specific risks. When you select this option, specify the risks to include by adding rows and specifying the risks within the Details grid that appears.</p>
Control Option	<p>Specify the controls to include in the report. Options are:</p> <p><i>All Values:</i> Select to include all controls.</p> <p><i>Begins With:</i> Select to limit the report to controls that begin with the specified characters. When you select this option, enter the character string in the Details grid that appears.</p> <p><i>Selected Values:</i> Select to limit the report to specific controls. When you select this option, specify the controls to include by adding rows and specifying the controls within the Details grid that appears.</p>
Test Status Option	<p>Specify the test plans to include in the report, based on their current status. Options are: <i>Cancelled, Completed, Not Started, and Started.</i></p>
Action Plan Status	<p>Specify the action plans to include in the report, based on their current status. Options are: <i>Cancelled, Completed, Not Started, and Started.</i></p>

- Incident Status Option** Select the reported business conduct incidents to include in the report, based on their current status. Options are:
- All Values:* Select to include all reported incidents.
- Selected Values:* Select to limit the report to incidents with a specific status value. When you select this option, specify the status values to include by adding rows and specifying the status values within the Details grid that appears. You can report on incidents that are either closed, new, or under review.
- Submit Date Option** Optionally, specify a range of dates to limit the report to incidents that were reported during a specific time period.
- Specify the date range by entering dates in the From Date and To Date fields.
- Include History** Select to include the descriptions of incident activity in the report.

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