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PeopleSoft 9.1: Internal Controls Enforcer

September 2017

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PeopleSoft 9.1: Internal Controls Enforcer

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Preface

Understanding the PeopleSoft Online Help and PeopleBooks

The PeopleSoft Online Help is a website that enables you to view all help content for PeopleSoft Applications and PeopleTools. The help provides standard navigation and full-text searching, as well as context-sensitive online help for PeopleSoft users.

PeopleSoft Hosted Online Help

You access the PeopleSoft Online Help on Oracle's PeopleSoft Hosted Online Help website, which enables you to access the full help website and context-sensitive help directly from an Oracle hosted server. The hosted online help is updated on a regular schedule, ensuring that you have access to the most current documentation. This reduces the need to view separate documentation posts for application maintenance on My Oracle Support, because that documentation is now incorporated into the hosted website content. The Hosted Online Help website is available in English only.

Note: Only the most current release of hosted online help is updated regularly. After a new release is posted, previous releases remain available but are no longer updated.

Locally Installed Help

If your organization has firewall restrictions that prevent you from using the Hosted Online Help website, you can install the PeopleSoft Online Help locally. If you install the help locally, you have more control over which documents users can access and you can include links to your organization's custom documentation on help pages.

In addition, if you locally install the PeopleSoft Online Help, you can use any search engine for full-text searching. Your installation documentation includes instructions about how to set up Elasticsearch for full-text searching. See *PeopleTools Installation* for your database platform, "Installing PeopleSoft Online Help." If you do not use Elasticsearch, see the documentation for your chosen search engine.

Note: See Oracle Support Document 2205540.2 (PeopleTools Elasticsearch Home Page) for more information on using Elasticsearch with PeopleSoft.

Note: Before users can access the search engine on a locally installed help website, you must enable the Search field. For instructions, go to your locally installed PeopleSoft Online Help site and select About This Help, Managing Locally Installed PeopleSoft Online Help, Enabling the Search Button and Field in the Contents sidebar.

Downloadable PeopleBook PDF Files

You can access downloadable PDF versions of the help content in the traditional PeopleBook format. The content in the PeopleBook PDFs is the same as the content in the PeopleSoft Online Help, but it has a different structure and it does not include the interactive navigation features that are available in the online help.

Common Help Documentation

Common help documentation contains information that applies to multiple applications. The two main types of common help are:

- Application Fundamentals
- Using PeopleSoft Applications

Most product families provide a set of application fundamentals help topics that discuss essential information about the setup and design of your system. This information applies to many or all applications in the PeopleSoft product family. Whether you are implementing a single application, some combination of applications within the product family, or the entire product family, you should be familiar with the contents of the appropriate application fundamentals help. They provide the starting points for fundamental implementation tasks.

In addition, the *PeopleTools: Applications User's Guide* introduces you to the various elements of the PeopleSoft Pure Internet Architecture. It also explains how to use the navigational hierarchy, components, and pages to perform basic functions as you navigate through the system. While your application or implementation may differ, the topics in this user's guide provide general information about using PeopleSoft Applications.

Field and Control Definitions

PeopleSoft documentation includes definitions for most fields and controls that appear on application pages. These definitions describe how to use a field or control, where populated values come from, the effects of selecting certain values, and so on. If a field or control is not defined, then it either requires no additional explanation or is documented in a common elements section earlier in the documentation. For example, the Date field rarely requires additional explanation and may not be defined in the documentation for some pages.

Typographical Conventions

The following table describes the typographical conventions that are used in the online help.

Typographical Convention	***Description***
Key+Key	Indicates a key combination action. For example, a plus sign (+) between keys means that you must hold down the first key while you press the second key. For Alt+W, hold down the Alt key while you press the W key.
. . . (ellipses)	Indicate that the preceding item or series can be repeated any number of times in PeopleCode syntax.
{ } (curly braces)	Indicate a choice between two options in PeopleCode syntax. Options are separated by a pipe (|).
[ ] (square brackets)	Indicate optional items in PeopleCode syntax.

Typographical Convention	*Description*
& (ampersand)	When placed before a parameter in PeopleCode syntax, an ampersand indicates that the parameter is an already instantiated object. Ampersands also precede all PeopleCode variables.
⇒	This continuation character has been inserted at the end of a line of code that has been wrapped at the page margin. The code should be viewed or entered as a single, continuous line of code without the continuation character.

ISO Country and Currency Codes

PeopleSoft Online Help topics use International Organization for Standardization (ISO) country and currency codes to identify country-specific information and monetary amounts.

ISO country codes may appear as country identifiers, and ISO currency codes may appear as currency identifiers in your PeopleSoft documentation. Reference to an ISO country code in your documentation does not imply that your application includes every ISO country code. The following example is a country-specific heading: "(FRA) Hiring an Employee."

The PeopleSoft Currency Code table (CURRENCY_CD_TBL) contains sample currency code data. The Currency Code table is based on ISO Standard 4217, "Codes for the representation of currencies," and also relies on ISO country codes in the Country table (COUNTRY_TBL). The navigation to the pages where you maintain currency code and country information depends on which PeopleSoft applications you are using. To access the pages for maintaining the Currency Code and Country tables, consult the online help for your applications for more information.

Region and Industry Identifiers

Information that applies only to a specific region or industry is preceded by a standard identifier in parentheses. This identifier typically appears at the beginning of a section heading, but it may also appear at the beginning of a note or other text.

Example of a region-specific heading: "(Latin America) Setting Up Depreciation"

Region Identifiers

Regions are identified by the region name. The following region identifiers may appear in the PeopleSoft Online Help:

- Asia Pacific
- Europe
- Latin America
- North America

Industry Identifiers

Industries are identified by the industry name or by an abbreviation for that industry. The following industry identifiers may appear in the PeopleSoft Online Help:

- USF (U.S. Federal)
- E&G (Education and Government)

Translations and Embedded Help

PeopleSoft 9.2 software applications include translated embedded help. With the 9.2 release, PeopleSoft aligns with the other Oracle applications by focusing our translation efforts on embedded help. We are not planning to translate our traditional online help and PeopleBooks documentation. Instead we offer very direct translated help at crucial spots within our application through our embedded help widgets. Additionally, we have a one-to-one mapping of application and help translations, meaning that the software and embedded help translation footprint is identical—something we were never able to accomplish in the past.

Using and Managing the PeopleSoft Online Help

Click the Help link in the universal navigation header of any page in the PeopleSoft Online Help to see information on the following topics:

- What's new in the PeopleSoft Online Help.
- PeopleSoft Online Help accessibility.
- Accessing, navigating, and searching the PeopleSoft Online Help.
- Managing a locally installed PeopleSoft Online Help website.

About PeopleSoft Interaction Hub

This section discusses:

- PeopleSoft Portal Solutions product family.
- PeopleSoft Interaction Hub and PeopleTools.

PeopleSoft Portal Solutions Product Family

This section discusses the products that are part of the PeopleSoft Portal Solutions product family:

- PeopleSoft Interaction Hub.
- PeopleSoft Internal Controls Enforcer.

PeopleSoft Interaction Hub

Oracle's PeopleSoft Interaction Hub is a world-class portal solution with many robust content and collaborative features. The PeopleSoft Interaction Hub is ideal for customers wishing to deploy an unlimited number of communities across an enterprise that focusses on PeopleSoft application business processes.

PeopleSoft Interaction Hub 9.1 contains a rich set of Web 2.0 features. For instance, collaborative workspaces and related content services can be keyed to PeopleSoft application transactions providing contextually relevant collaboration.

Two key characteristics distinguish PeopleSoft Interaction Hub as a rich Web 2.0 platform:

- First, PeopleSoft Interaction Hub is a traditional portal framework that can be used for aggregating and managing content from multiple applications and sources. With unified navigation, it is now simple to configure PeopleSoft Interaction Hub to federate multiple PeopleSoft application systems.
- Second, its collaborative capabilities make PeopleSoft Interaction Hub a functional application that complements the features found in PeopleSoft applications.

PeopleSoft Internal Controls Enforcer

Oracle's PeopleSoft Internal Controls Enforcer is designed to automate and enforce internal controls required under Section 404 of the Sarbanes-Oxley Act. Using the product's monitoring and diagnostic capabilities, you can reduce the cost of complying with the new regulations and the risk of unforeseen changes in internal controls. PeopleSoft Internal Controls Enforcer will work in conjunction with other PeopleSoft corporate governance solutions to make the entire compliance process repeatable and auditable, allowing you to focus on running your business.

In addition, the product 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 Sarbanes-Oxley.

See the product documentation for Internal Controls Enforcer.

PeopleSoft Interaction Hub and PeopleTools Portal Technology

To understand the functionality of PeopleSoft Interaction Hub, Oracle recommends that you familiarize yourself with PeopleTools, focusing especially on the subject areas and sections that are devoted to portal functionality. Because PeopleSoft Interaction Hub builds upon the basic internet architecture that is delivered with PeopleTools, this information gives you an excellent foundation of knowledge upon which the PeopleSoft Interaction Hub suite of documentation builds.

PeopleTools portal technology is built on top of PeopleSoft Pure Internet Architecture and enables you to easily access and administer multiple content providers, including PeopleSoft databases such as Oracle's PeopleSoft HRMS or Oracle's PeopleSoft CRM, as well as non-PeopleSoft content. It enables you to combine content from these multiple sources and deliver the result to users in a unified, simple-to-use interface.

The main elements of the PeopleTools portal technology are a portal servlet and an application server. These two elements work together to provide common portal processing features such as page assembly, search, content management, navigation, and homepage personalization.

Product documentation for PeopleTools covers the PeopleSoft Pure Internet Architecture and PeopleTools portal technology in detail.

See *PeopleTools: Portal Technology*.

Related Documentation

This section discusses:

- PeopleSoft Interaction Hub documentation.
- PeopleTools documentation.

PeopleSoft Interaction Hub Documentation

PeopleSoft Interaction Hub documentation includes:

- *PeopleSoft Interaction Hub: Branding*

  This subject covers PeopleSoft Interaction Hub's branding feature, which is built on the PeopleTools branding framework. Branding enables you to create branding definitions and apply branding themes to portals, sites, and workspaces allowing you to create a differentiated appearance for specific user audiences.

- *PeopleSoft Interaction Hub: Collaborative Workspaces*

  This subject covers setup, administration, and use of collaborative workspaces, which are virtual team rooms that facilitate collaboration on a variety collaborative projects and processes.

- *PeopleSoft Interaction Hub: Content Management System*

  This subject describes the content management system, which includes features to help you manage, create, and organize content. The resulting content is ready and available for placement in various portal pagelets and news publications; reuse in workspaces, calendars, and other portal features; or available just for browsing.

- *PeopleSoft Interaction Hub: Portal and Site Administration*

  This subject covers tasks for administering portals and sites including product configuration, system-wide setup and administration, integration with third-party systems, and so on.

- *PeopleSoft Interaction Hub: Resource Finder*

  This subject describes how to setup and use Resource Finder, a highly flexible repository that describes any organizational resource, along with links that relate these resources to each other.

- *PeopleSoft Interaction Hub: Using Portal Features*

  This subject covers setup and usage of items such as blogs, calendars, discussion forums, feeds, tagging, searching, related content services, and other features of PeopleSoft Interaction Hub.

PeopleTools Documentation

PeopleSoft Online Help for PeopleTools contains the complete set of subject areas covering PeopleTools 8.53. In particular, several of these subjects are useful to the setup, administration, and use of PeopleSoft Interaction Hub including:

- *PeopleTools: Feed Publishing Framework*

  The PeopleTools Feed Publishing Framework supports the publication of PeopleSoft Interaction Hub data as feeds. In addition, the framework can be used to develop custom feed types.

- *PeopleTools: Integration Broker*

  PeopleSoft Integration Broker facilitates the exposure of PeopleSoft business logic as services and the consumption of external web services. Integration Broker also supports synchronous and asynchronous messaging between PeopleSoft applications and with third-party systems.

- *PeopleTools: Portal Technology*

  PeopleTools portal technology is the foundation of the PeopleSoft Interaction Hub product. This subject covers critical portal technologies such as portal implementation, PeopleSoft Pure Internet Architecture, Pagelet Wizard, the PeopleSoft Related Content Framework, and others.

- *PeopleTools: Security Administration*

  This subject covers important security-related topics including PeopleTools user profiles, roles, permission lists, single sign-on (SSO), and others.

- *PeopleTools: Applications User's Guide*

  This subject provides general information about PeopleSoft applications useful to all users of PeopleSoft systems. Topics include an introduction to the PeopleSoft Pure Internet Architecture, explanation of how to navigate through the system, how to perform searches, elements of application pages, and so on.

Note: These subjects and others in the PeopleSoft Online Help are referenced as needed.

PeopleSoft Portal Solutions Related Links

PeopleSoft Interaction Hub 9.1 Documentation Home Page [ID 887960.1]

PeopleSoft Information Portal

My Oracle Support

PeopleSoft Training from Oracle University

PeopleSoft Video Feature Overviews on YouTube

Contact Us

Send your suggestions to PSOFT-INFODEV_US@ORACLE.COM. Please include release numbers for the PeopleTools and applications that you are using.

Follow Us

Facebook.

YouTube

Twitter@PeopleSoft_Info.

PeopleSoft Blogs

LinkedIn

Chapter 1

Getting Started with PeopleSoft Internal Controls Enforcer

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 Financial Management; Oracle's PeopleSoft Enterprise Performance Management; and Oracles JD Edwards EnterpriseOne transaction systems and automatically alert process owners to configuration changes.

  For example, the accounting manager can be notified if the PeopleSoft 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 issues 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.

Related Links

Internal Controls Management

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 topics.

Related Links

Internal Controls Management

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 Entity Definition Page.
Element Definition	EPQ_ELEM_DEFN_CI EPQ_ELEM_RANK_CI	See Element Definition Page.
Element Amount	EPQ_ELEM_AMT_CI	See Element Amount Definition Page.
Control Definition	EPQ_CTRL_DEFN_CI	See Control Definition Page.
Business Process Manager	EPQ_BP_DEFN_CI	See Setting Up Business Processes and Subprocesses.
Risk Definition	EPQ_RISK_DEFN_CI	See Risk Definition Page.
Test Plan Template	EPQ_TMPL_DEFN_CI	See Test Plan Template Page.
Checklist Definition	EPQ_CHKLST_DEF_CI	See Checklist Definition Page.

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.

See the product documentation for *PeopleTools: Applications User's Guide*, *PeopleTools: Setup Manager*, and *PeopleTools: Component Interfaces*.

Chapter 2

Understanding PeopleSoft Internal Controls Enforcer

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 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 topics 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.

Related Links

Understanding the Risk Control Repository
Understanding Entities, Elements, and Risk Exposure Rankings
Understanding the Business Process Manager Component
Understanding Diagnostics

Key Features

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

Feature	*Function*	*Main Objects*
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	• Processes diagnostics, retrieving the data and generating the diagnostic reports. • Reviews diagnostic reports and maintains benchmarks.	• 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.
Diagnostic Setup	Maintains definitions for diagnostics.	• 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.	• 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).

Feature	*Function*	*Main Objects*
Process Instance Manager	Maintains the entity-level definitions for processes and their associated risks, controls, and test plan templates.	• 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.	• Risk Definition page. • Control Definition page. • Test Plan Template page. • Define Diagnostics page.
Sign-Off Manager	Creates and distributes worksheets and sign-off sheets for the internal control certification process.	• 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.

Feature	*Function*	*Main Objects*
Subprocess Manager	Enables process owners to: • 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.	• 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.
Pagelets	Dashboards that enable users to view the status of their business processes and controls.	• 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.

Feature	*Function*	*Main Objects*
Tone at the Top Survey **Note:** This feature is provided with the Interaction Hub application. See Using Portal Features	Creates and distributes questionnaires, and enables you to review the responses.	• Distribution List page. • Response Type page. • Survey Setup page. • Survey page. • Survey Summary page. • Survey Summary - Recipients page. • Response Detail page. • User Response page.

Image: Relationship among setup features

The following diagram depicts the interdependencies among the main setup features.

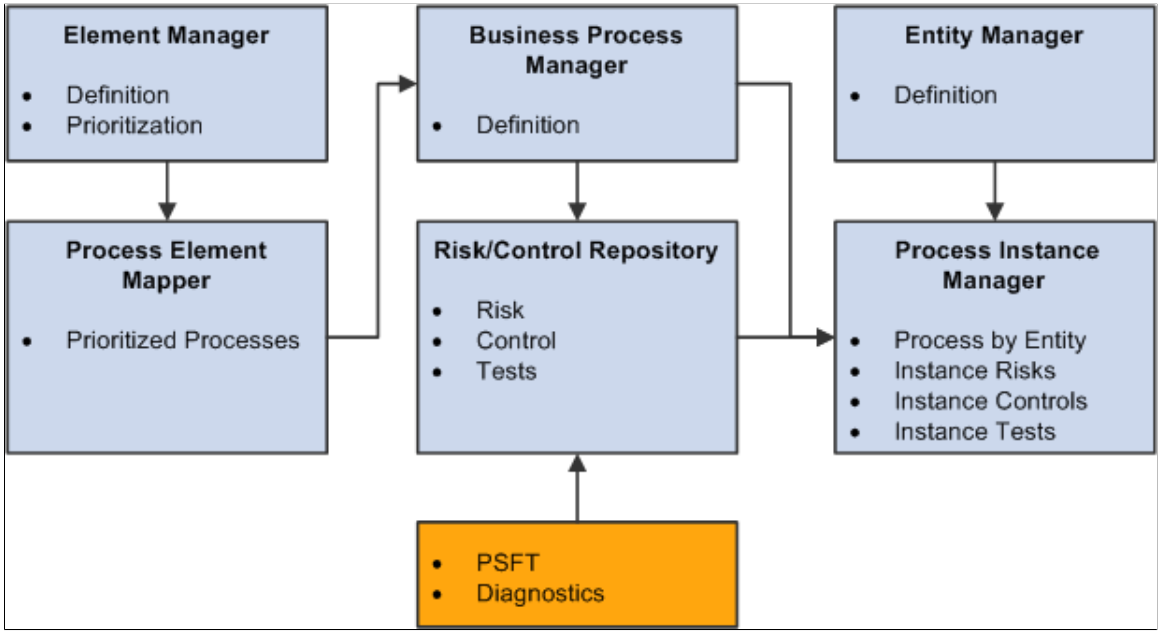
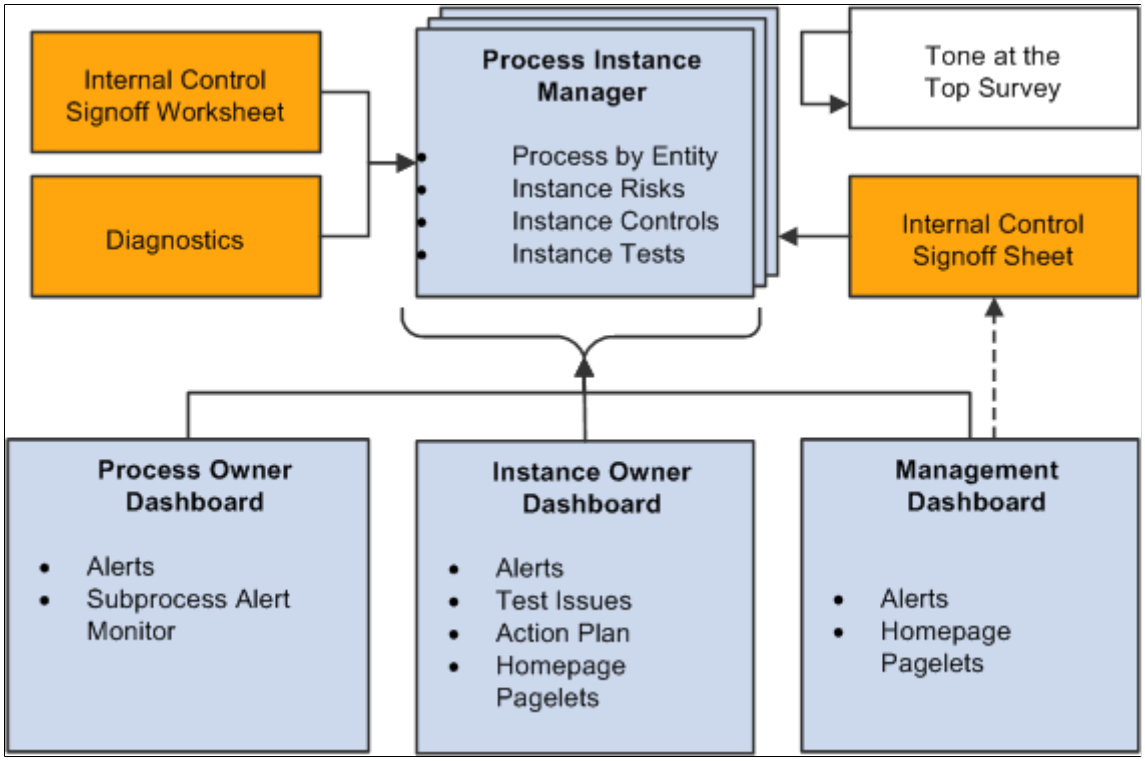


Image: Relationship among other features

The following diagram depicts the interdependencies among other features.



Security

This section discusses:

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

Related Links

Compliance Project Security Page
Defining Role Security for Instances

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 Internal Controls Enforcer General Preferences Page.

- After you establish compliance projects.

  This establishes which compliance projects a role can access.

  See Compliance Project Security Page.

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

  This establishes which process instances a role can access.

  See Defining Role Security for Instances.

  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.

User	*User Description*	*Role*	*Role Description*	*Permissions*
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.
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.

See the product documentation for *PeopleTools: Security Administration*.

Related Links

Using Portal Features
Portal and Site Administration

Chapter 3

Establishing Preferences

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
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

Role Name	*Privileges*
PAPQ_SUBPROCESS_USER	ADMINISTRATOR, AUTHOR
PAPQ_SYSTEM_ADMIN	ADMINISTRATOR, AUTHOR, EXPERT
PAPQ_TEST_PLAN_USER	VIEWER

Related Links

Content Management System

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.

Related Links

Understanding PeopleSoft Internal Controls Enforcer Pagelets

Setting Up Preferences

This topic discusses setting up preferences.

Pages Used to Set Up Preferences

Page Name	*Definition Name*	*Usage*
Internal Controls Enforcer General Preferences Page	EPQ_GEN_PREFS	Set system-wide preferences.
Default Settings Page	EPQ_DFLT_SETTING	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 Page	EPQ_PGLT_PREF_ENT	Establish the entities that appear in pagelets for the current user.
Pagelet User Preference - Business Process Page	EPQ_PGLT_PREF_BP	Establish the business processes that appear in pagelets for the current user.
Pagelet User Preference - Business Process Status Page	EPQ_PGLT_PREF_SNGL	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.
View My Access - Project Page	EPQ_VW_ACCESS_PROJ	View the compliance projects that you have security to access. See Default Settings Page
View My Access - Instance Page	EPQ_VW_ACCESS_INST	View the process instances that you have security to access. See Default Settings Page

Internal Controls Enforcer General Preferences Page

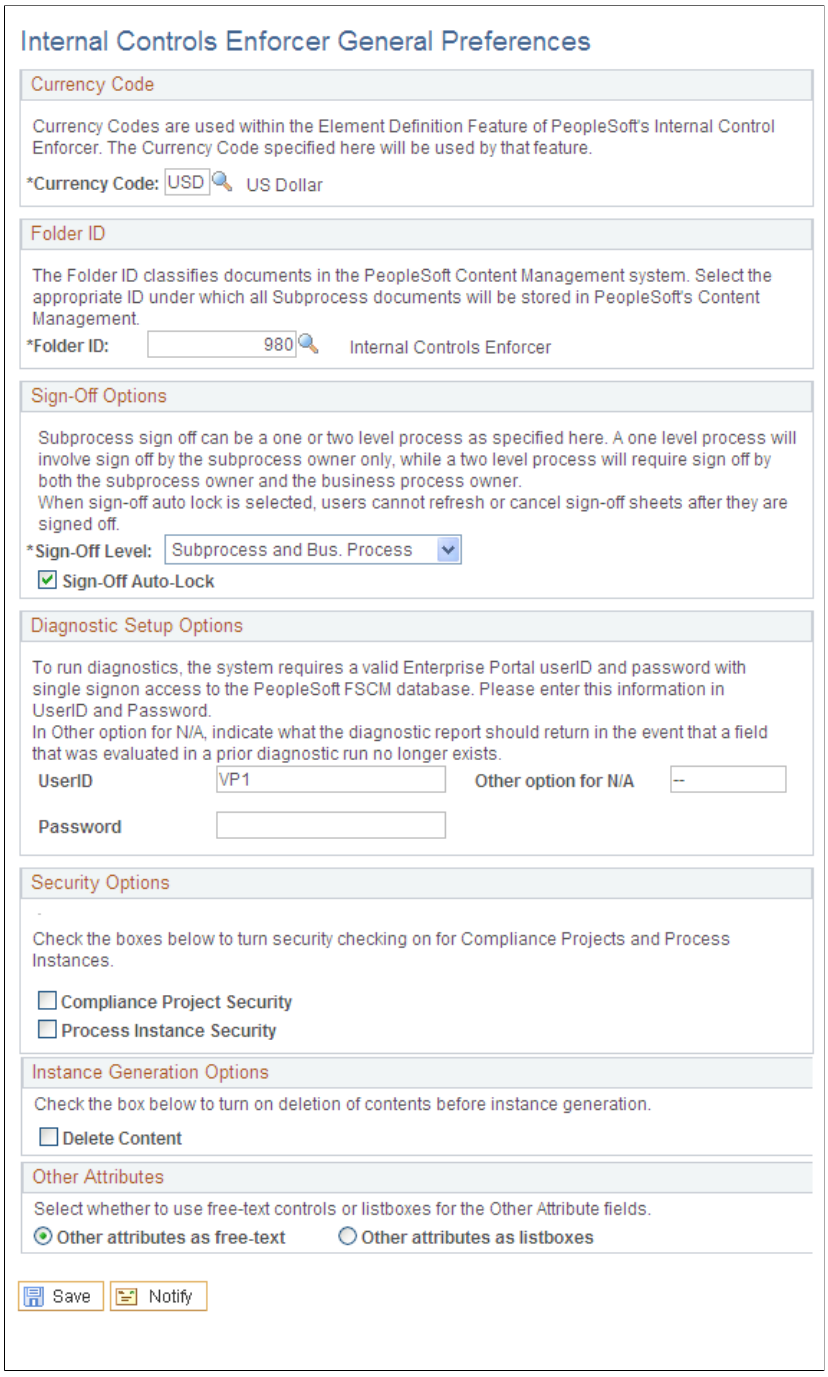
Use the Internal Controls Enforcer General Preferences page (EPQ_GEN_PREFS) to set system-wide preferences.

Navigation

Internal Controls Enforcer, General Preferences

Image: Internal Controls Enforcer General Preferences page

This example illustrates the fields and controls on the Internal Controls Enforcer General Preferences page. You can find definitions for the fields and controls later on this 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 Financial Management databases.

UserID and **Password** Enter a user ID and associated password that has single signon access to the PeopleSoft Financial Management 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 Configuring the Other Attribute Fields.

Related Links

Security
Understanding the Internal Controls Certification Procedure
Process Instance Definition - Process Definition Page

Default Settings Page

Use the Default Settings page (EPQ_DFLT_SETTING) to specify the compliance project, process instance, trees, and setID that the system automatically uses on most pages.

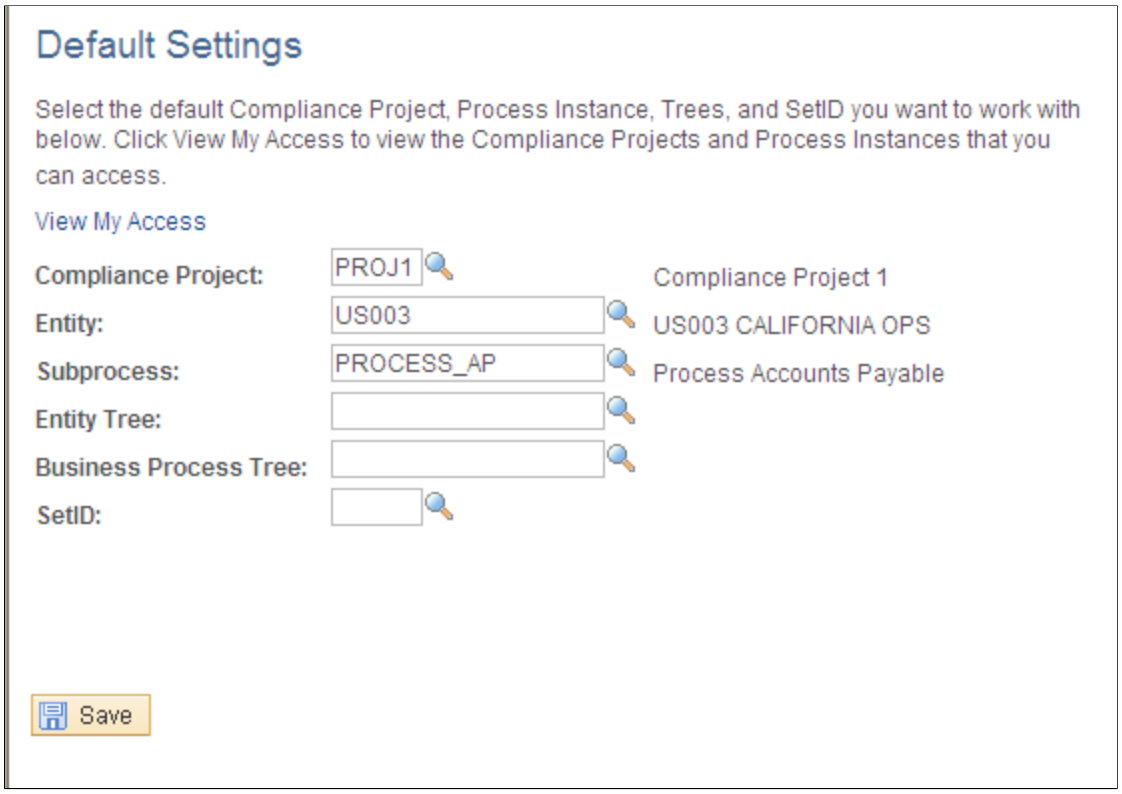
These are stored independently by each user.

Navigation

Internal Controls Enforcer, User Preferences, Default Settings

Image: Default Settings page

This example illustrates the fields and controls on the Default Settings page. You can find definitions for the fields and controls later on this 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.

Pagelet User Preference - Entity Page

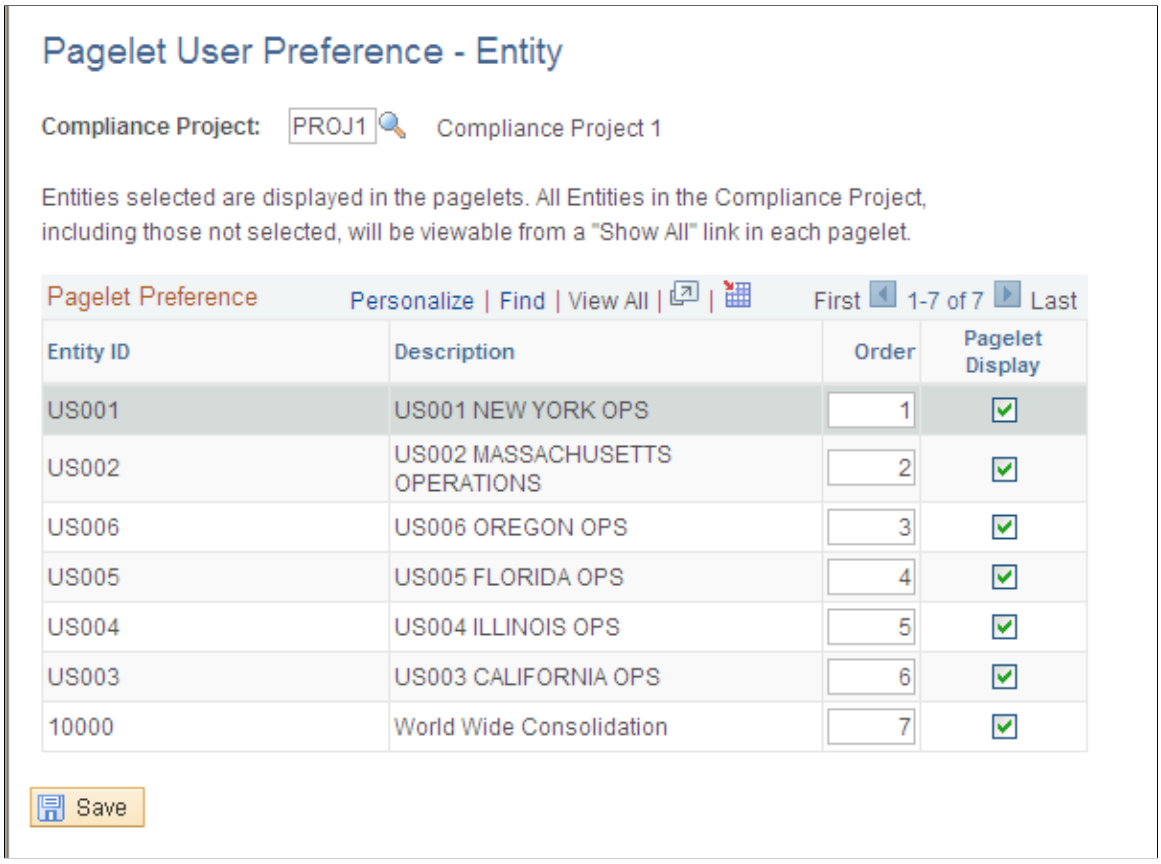
Use the Pagelet User Preference - Entity page (EPQ_PGLT_PREF_ENT) to establish the entities that appear in pagelets for the current user.

Navigation

Internal Controls Enforcer, User Preferences, Pagelet User Preference, Entity

Image: Pagelet User Preference - Entity page

This example illustrates the fields and controls on the Pagelet User Preference - Entity page. You can find definitions for the fields and controls later on this 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.

Pagelet User Preference - Business Process Page

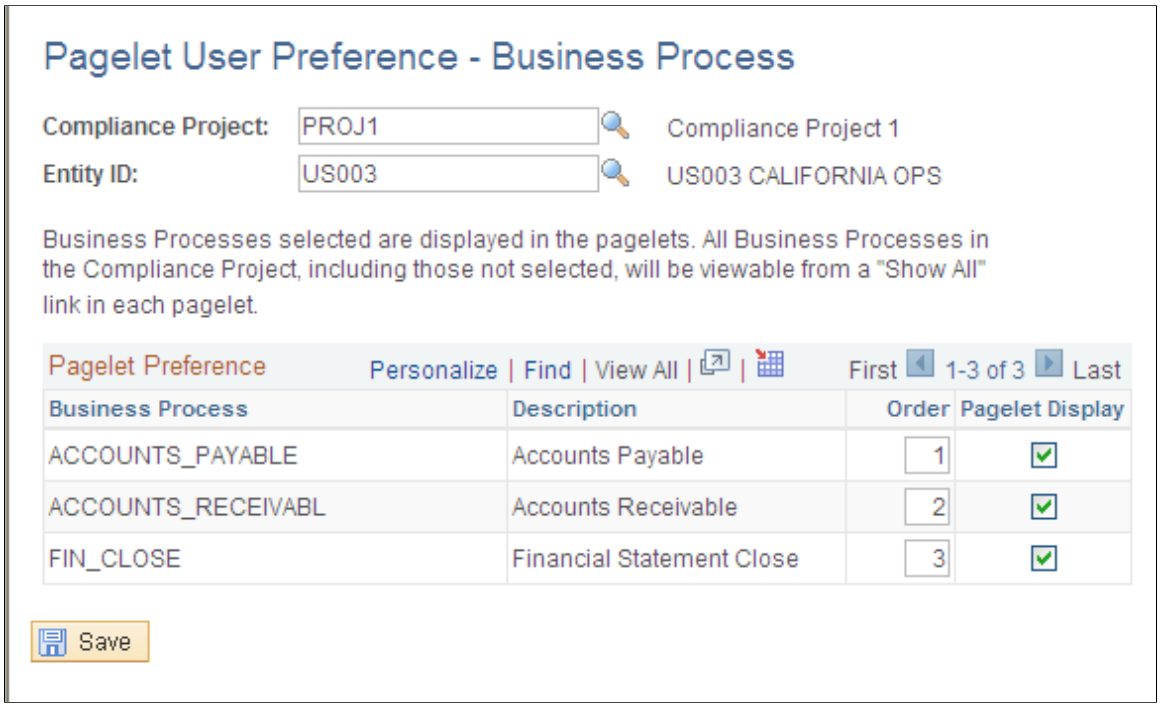
Use the Pagelet User Preference - Business Process page (EPQ_PGLT_PREF_BP) to establish the business processes that appear in pagelets for the current user.

Navigation

Internal Controls Enforcer, User Preferences, Pagelet User Preference, Business Process

Image: Pagelet User Preference - Business Process page

This example illustrates the fields and controls on the Pagelet User Preference - Business Process page. You can find definitions for the fields and controls later on this 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.

Pagelet User Preference - Business Process Status Page

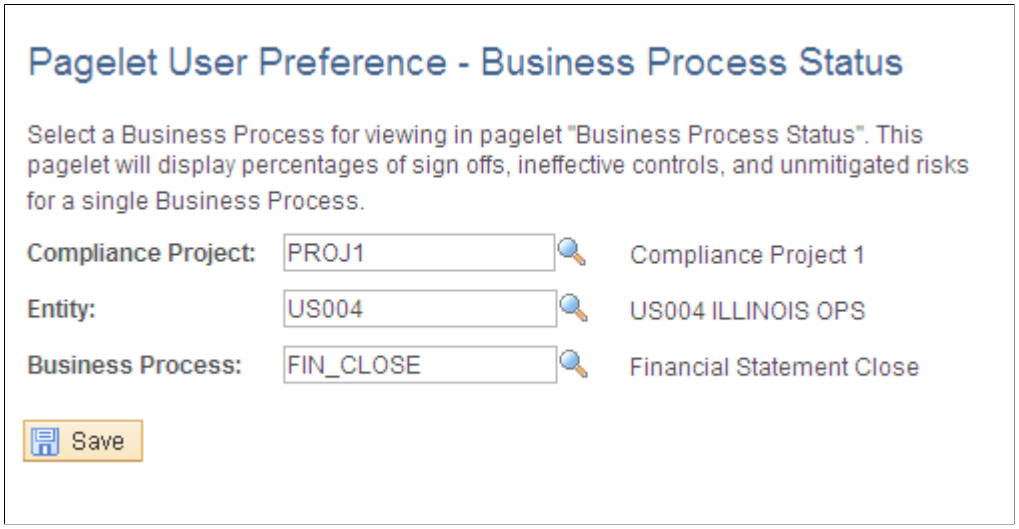
Use the Pagelet User Preference - Business Process Status page (EPQ_PGLT_PREF_SNGL) to specify the entity and business process to view in the Business Process Status pagelet, which shows the percentage of subprocesses within a business process that are not signed off, the percentage of ineffective controls, and the percentage of unmitigated risk for a single business process.

Navigation

Internal Controls Enforcer, User Preferences, Pagelet User Preference, Business Process Status

Image: Pagelet User Preference - Business Process Status page

This example illustrates the fields and controls on the Pagelet User Preference - Business Process Status page. You can find definitions for the fields and controls later on this 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.

Page Used to Configure the Other Attribute Fields

Page Name	*Definition Name*	*Usage*
Other Attribute Setup Page	EPQ_ATTR_SETUP	Define the list box values for 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

Attribute Group	*Associated Objects*	*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
Test Plan	1319 – 1324
Action Plan	1325 – 1330

See the product documentation for *PeopleTools: Application Designer Developer's Guide*.

Other Attribute Setup Page

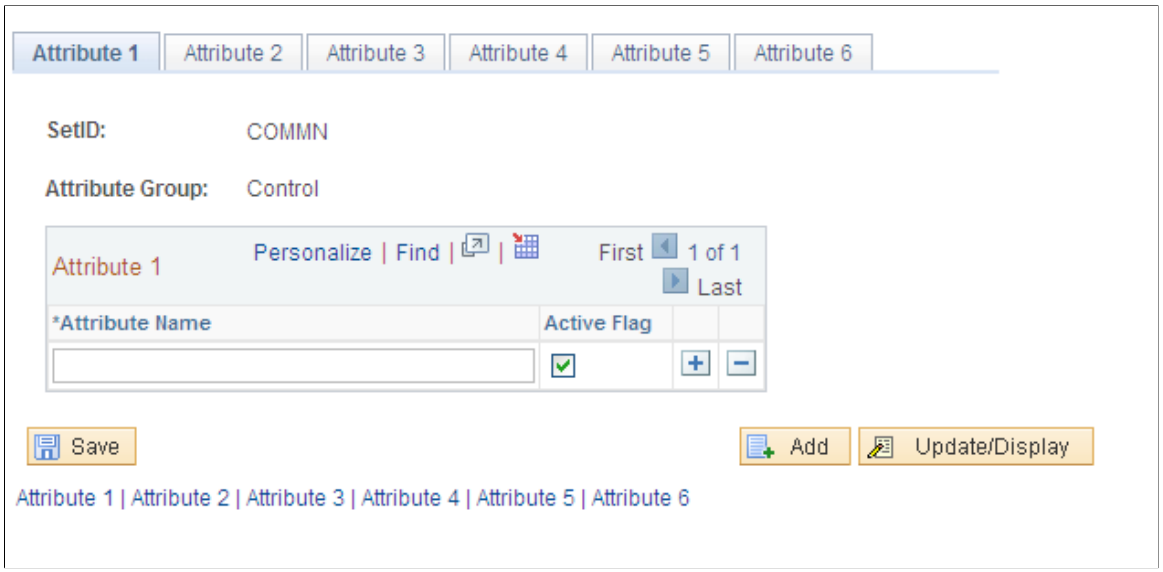
Use the Other Attributes Setup page (EPQ_ATTR_SETUP) to define the list box values for the Other Attributes fields.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Other Attributes

Image: Other Attribute Setup page

This example illustrates the fields and controls on the Other Attribute Setup page. You can find definitions for the fields and controls later on this 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

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.

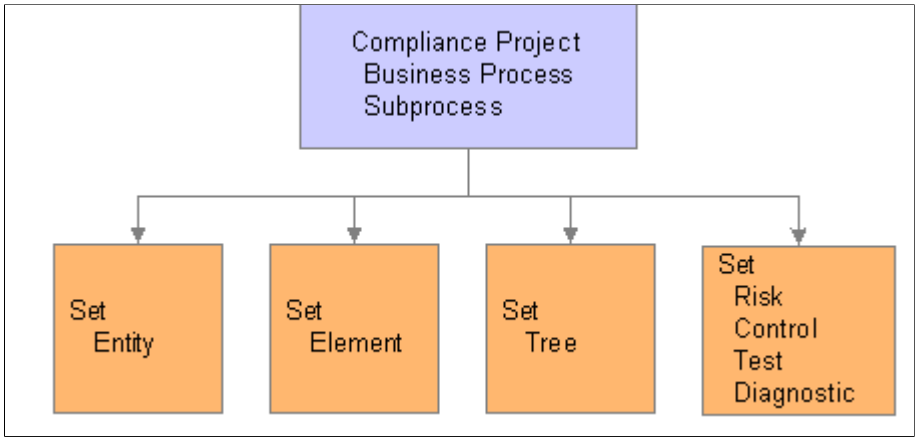
Every compliance project has its own set of business processes and subprocesses. However, the data for entities, elements, trees, and the risk control repository can be shared. During implementation, you control whether to share data among compliance projects by using tableset sharing.

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.

Image: Set relationships

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.



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
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.

See the product documentation for *PeopleTools: Application Designer Developer's Guide*, “Planning Records, Control Tables, and TableSets.”

Implementing Tableset Sharing

This topic discusses tableset sharing implementation.

Pages Used to Implement Tableset Sharing

Page Name	*Definition Name*	*Usage*
TableSet ID Page	SETID_TABLE	Create SetIDs.

Page Name	Definition Name	Usage
Record Group Page	REC_GROUP_TABLE	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. Select PeopleTools, Utilities, Administration, Record Group. See Record Groups
TableSet Control - Record Group Page	SET_CNTRL_TABLE1	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.

TableSet ID Page

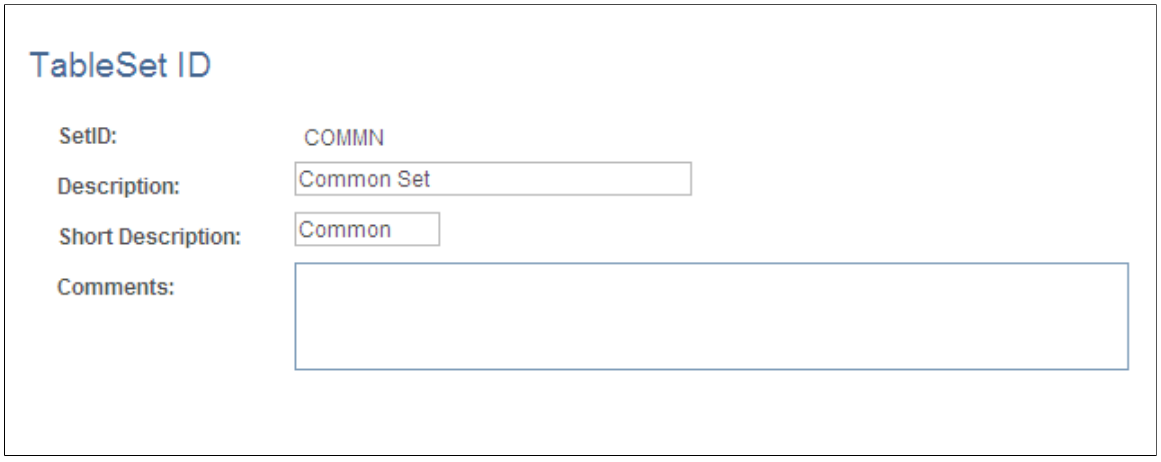
Use the TableSet ID page (SETID_TABLE) to create SetIDs.

Navigation

PeopleTools, Utilities, Administration, TableSet IDs

Image: TableSet ID page

This example illustrates the fields and controls on the TableSet ID page. You can find definitions for the fields and controls later on this 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.

TableSet Control - Record Group Page

Use the TableSet Control - Record Group page (SET_CNTRL_TABLE1) to adjust tableset sharing for record groups.

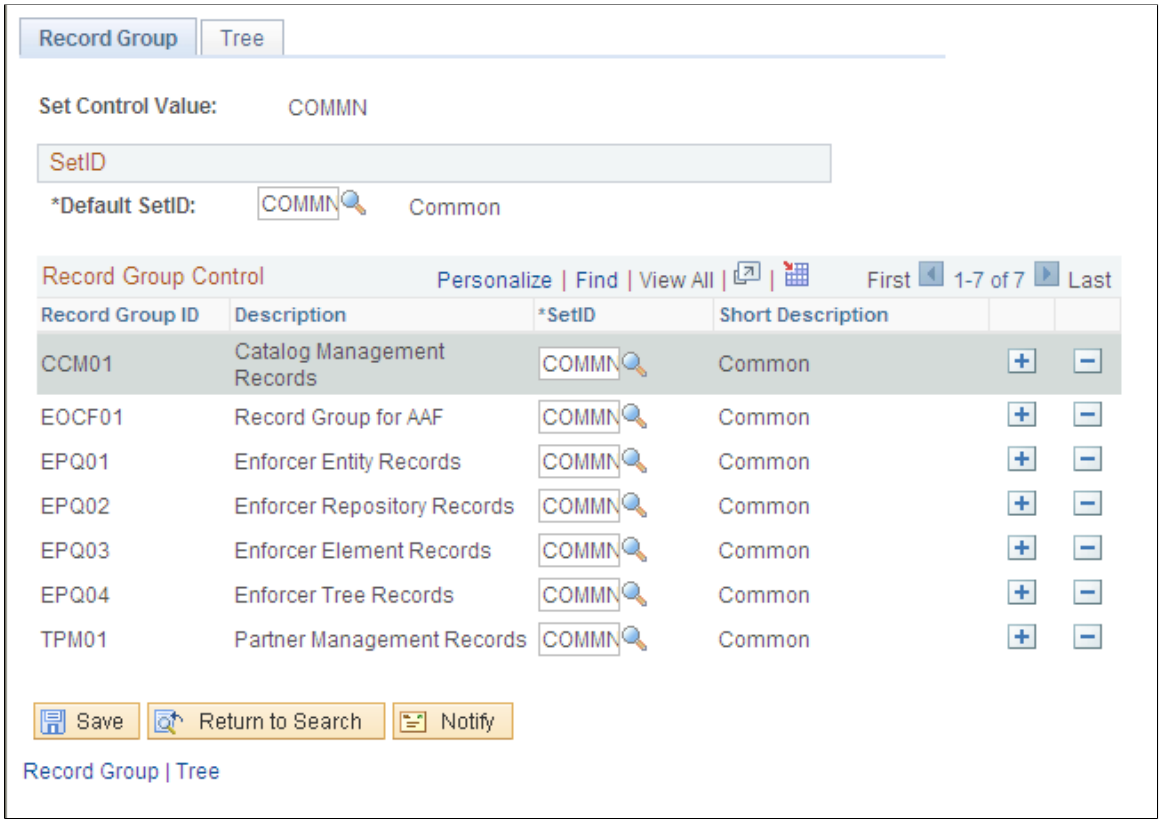
Tableset sharing is active as soon as you create compliance projects; however, you adjust tableset sharing by changing the tableset IDs that are assigned to individual record groups.

Navigation

PeopleTools, Utilities, Administration, TableSet Control, Record Group

Image: TableSet Control - Record Group page

This example illustrates the fields and controls on the TableSet Control - Record Group page. You can find definitions for the fields and controls later on this 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 topic discusses methods of defining and copying compliance projects and configuring security for these projects.

Pages Used to Establish Compliance Projects

Page Name	*Definition Name*	*Usage*
Compliance Project Definition Page	EPQ_COMPLPROJ_DEFN	Define compliance projects and associate with a setID.
Copy Compliance Project Page	EPQ_COPY_RUN	Create a new compliance project by copying an existing compliance project.
Compliance Project Security Page	EPQ_COMPLPRJ_SEC	Define which compliance projects a user can access, based on the role they are associated with.

Related Links

Security

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.

Compliance Project Definition Page

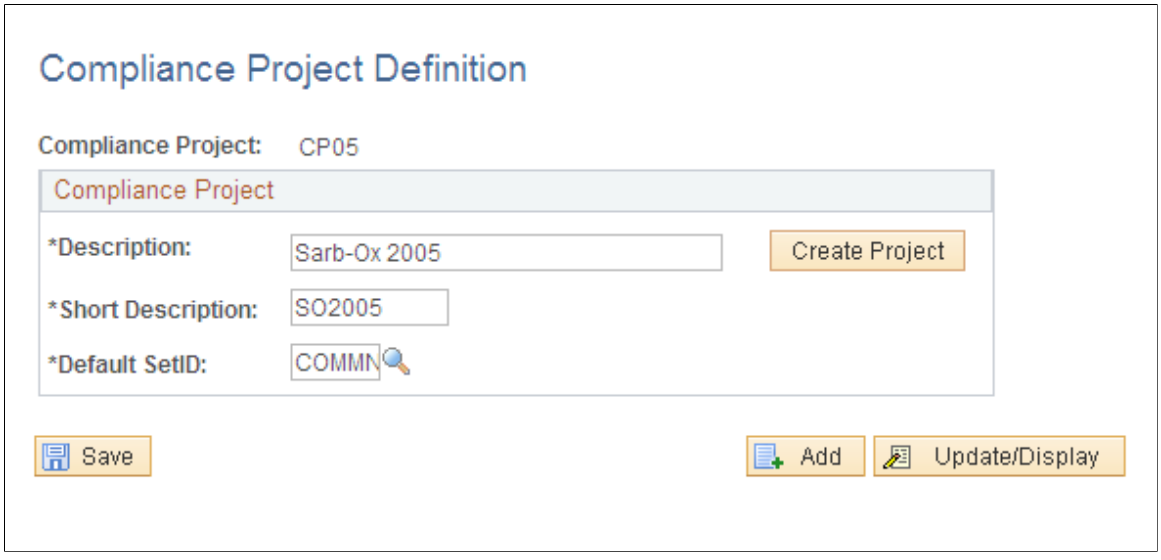
Use the Compliance Project Definition page (EPQ_COMPLPROJ_DEFN) to define compliance projects and associate with a setID.

Navigation

Internal Controls Enforcer, Master Setup, Compliance Project Definition

Image: Compliance Project Definition page

This example illustrates the fields and controls on the Compliance Project Definition page. You can find definitions for the fields and controls later on this 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.

Copy Compliance Project Page

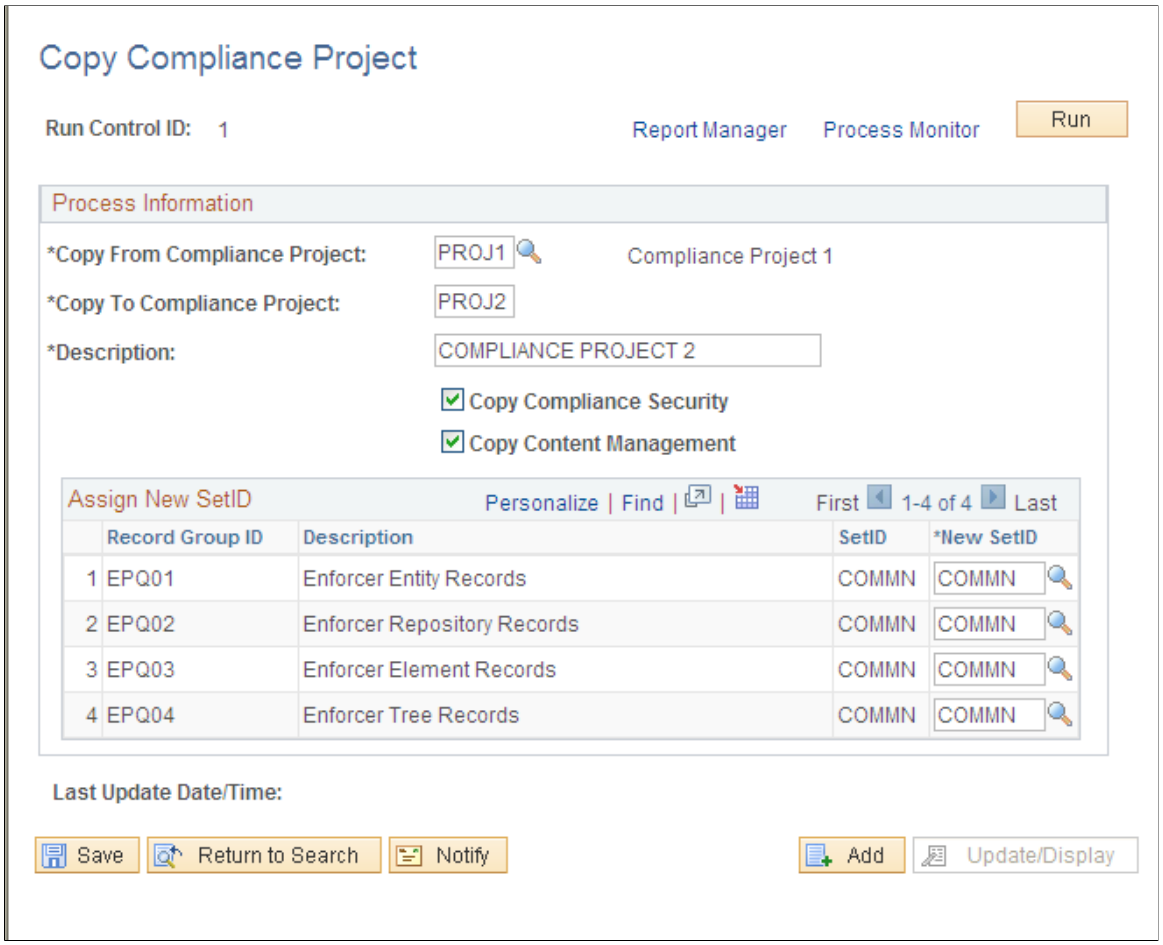
Use the Copy Compliance Project page (EPQ_COPY_RUN) to create a new compliance project by copying an existing compliance project.

Navigation

Internal Controls Enforcer, Master Setup, Copy Compliance Project

Image: Copy Compliance Project page

This example illustrates the fields and controls on the Copy Compliance Project page. You can find definitions for the fields and controls later on this 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

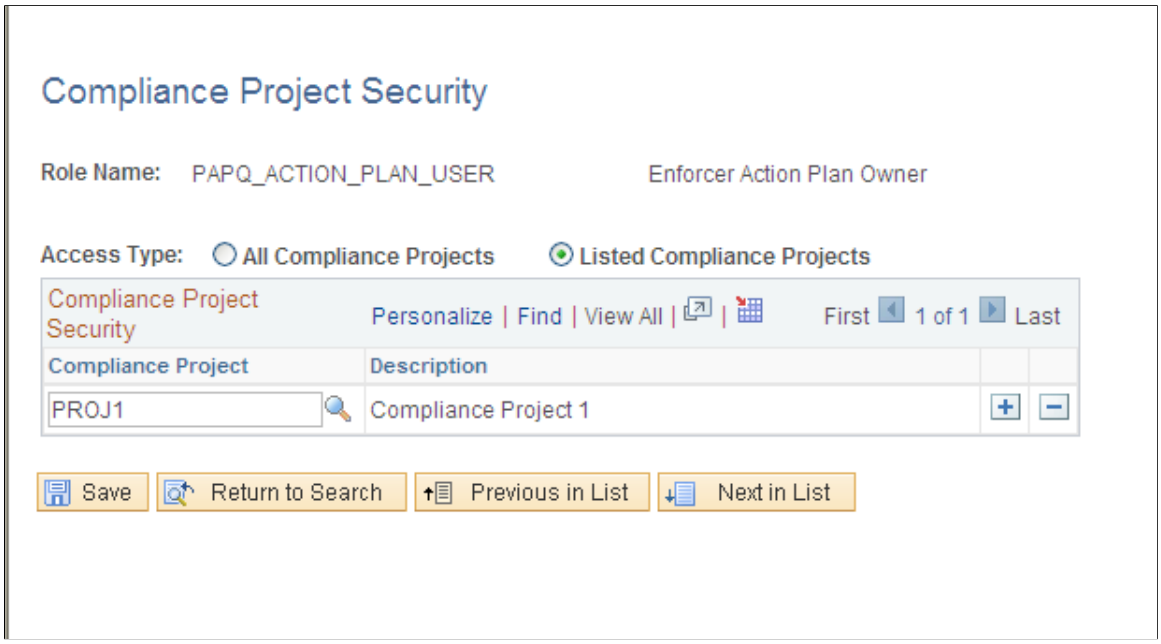
existing setID, or enter the new project ID as the value for the setID. If you enter the new project ID as the setID, the system automatically creates the setID if it does not already exist.

Compliance Project Security Page

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

Image: Compliance Project Security page

This example illustrates the fields and controls on the Compliance Project Security page. You can find definitions for the fields and controls later on this 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

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

Category ID	Description	Importance
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:

Overall Score = ∑ [(Element Risk Category Ranking numeric equivalent) × (Importance Ranking numeric equivalent)] ÷ ∑ (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	*Low*
≥ 1.5 and < 2.5	*Medium*
≥ 2.5	*High*

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	*Low* (1)	*Low* (1)	1 × 1	1
Account balance subjectivity	*Low* (1)	*Medium* (2)	1 × 2	2
Loss or fraud susceptibility	*Low* (1)	*High* (3)	1 × 3	3
Complexity of calculation	*Low* (1)	*Low* (1)	1 × 1	1
Volatility	*Low* (1)	*High* (3)	1 × 3	3
Totals	5			10
Calculation	10 ÷ 5			
Resulting score	2			
Assigned ranking	*Medium*			

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 topic discusses methods to define entities and element risk categories.

Pages Used to Establish Entities and Elements

Page Name	*Definition Name*	*Usage*
Entity Definition Page	EPQ_ENTITY_DEFN	Establish entities.

Page Name	Definition Name	Usage
Element Risk Category Definition Page	EPQ_ELEM_RSKCAT	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 Page	EPQ_ELEM_DEFN	Establish financial elements.
Risk Ranking Page	EPQ_ELEM_RSKRANK	Rank an element's exposure level for each risk category and establish its overall risk ranking.
Element Amount Definition Page	EPQ_ELEM_AMOUNT	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 Page	EPQ_ELEM_RANKMATRX	Review element risk rankings.

Entity Definition Page

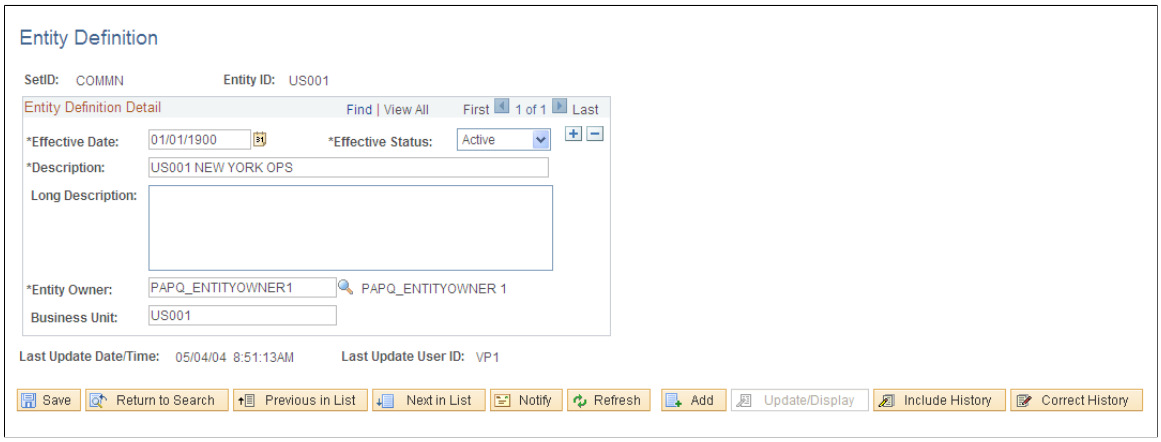
Use the Entity Definition page (EPQ_ENTITY_DEFN) to establish entities.

Navigation

Internal Controls Enforcer, Master Setup, Entity Definition

Image: Entity Definition page

This example illustrates the fields and controls on the Entity Definition page. You can find definitions for the fields and controls later on this 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 Interaction Hub 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.

Element Risk Category Definition Page

Use the Element Risk Category Definition page (EPQ_ELEM_RSKCAT) to review or modify risk categories for financial elements.

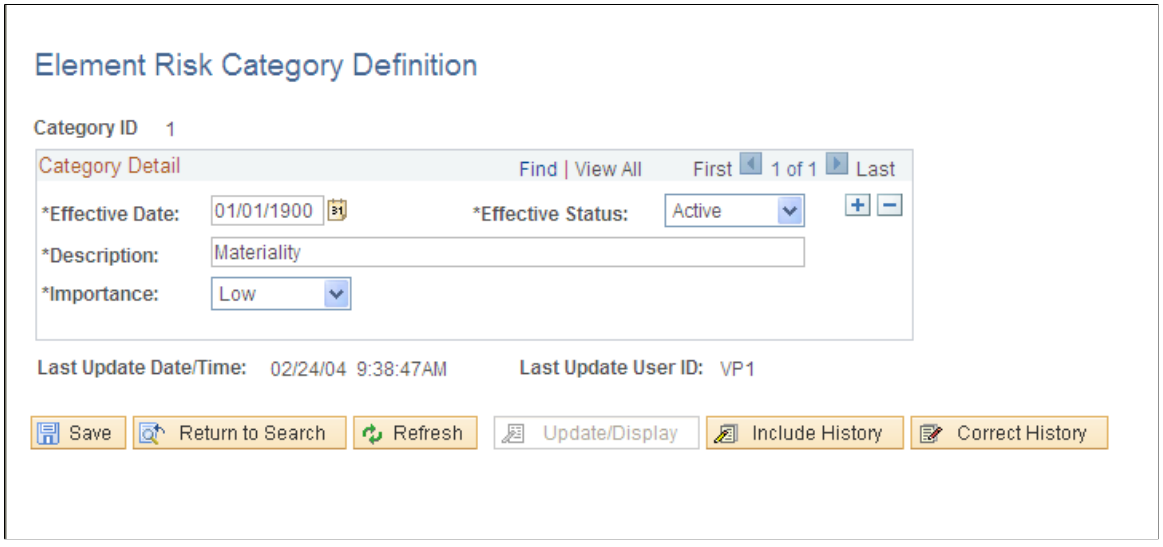
These categories are delivered as system data. You can modify the Description field or delete an entire element risk category, but you can't add additional categories.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Element Risk Categories

Image: Element Risk Category Definition page

This example illustrates the fields and controls on the Element Risk Category Definition page. You can find definitions for the fields and controls later on this 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.

Element Definition Page

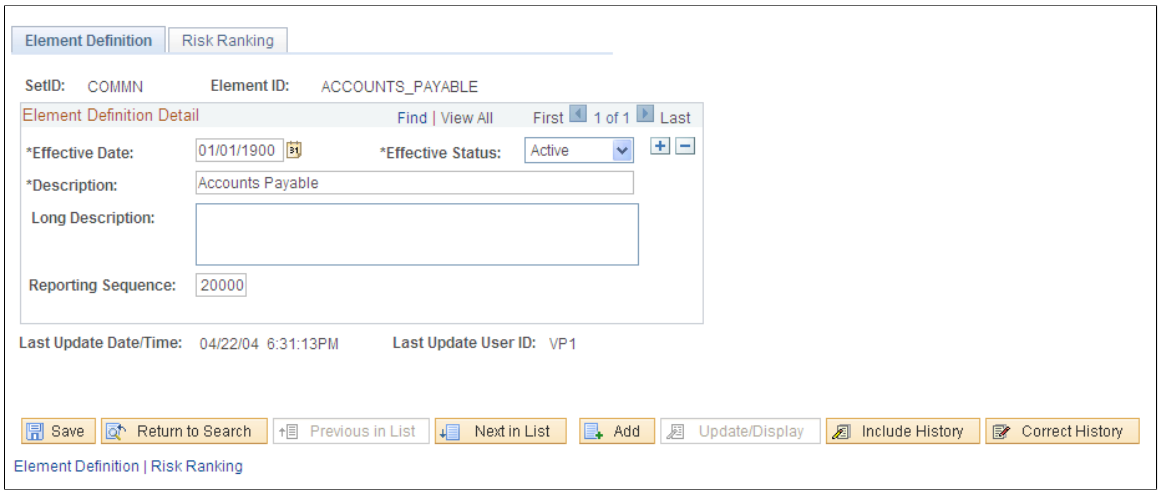
Use the Element Definition page (EPQ_ELEM_DEFN) to establish financial elements.

Navigation

Internal Controls Enforcer, Master Setup, Element Manager, Element Definition, Element Definition

Image: Element Definition page

This example illustrates the fields and controls on the Element Definition page. You can find definitions for the fields and controls later on this 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.

Risk Ranking Page

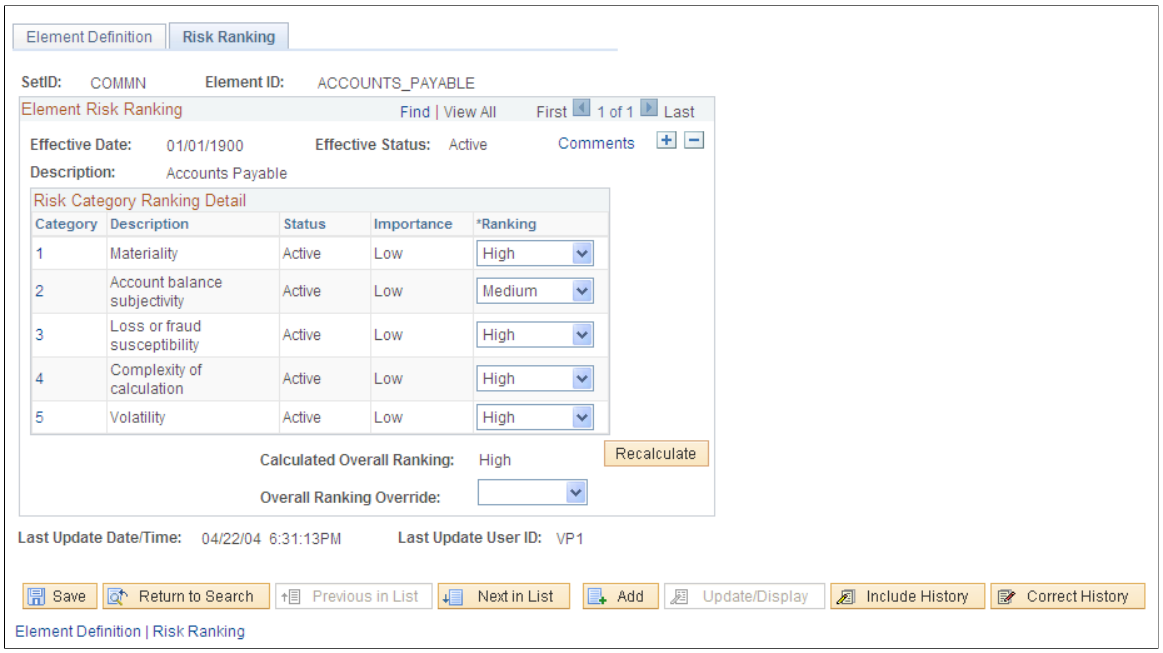
Use the Risk Ranking page (EPQ_ELEM_RSKRANK) to rank an element's exposure level for each risk category and establish its overall risk ranking.

Navigation

Internal Controls Enforcer, Master Setup, Element Manager, Element Definition, Risk Ranking

Image: Risk Ranking page

This example illustrates the fields and controls on the Risk Ranking page. You can find definitions for the fields and controls later on this 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: *Low, Medium,* and *High.* 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	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: *Low, Medium,* and *High.* To use the system-calculated ranking, leave this field blank; this is the default value for this field.

Element Amount Definition Page

Use the Element Amount Definition page (EPQ_ELEM_AMOUNT) to enter monetary amounts for financial elements as of a specific date.

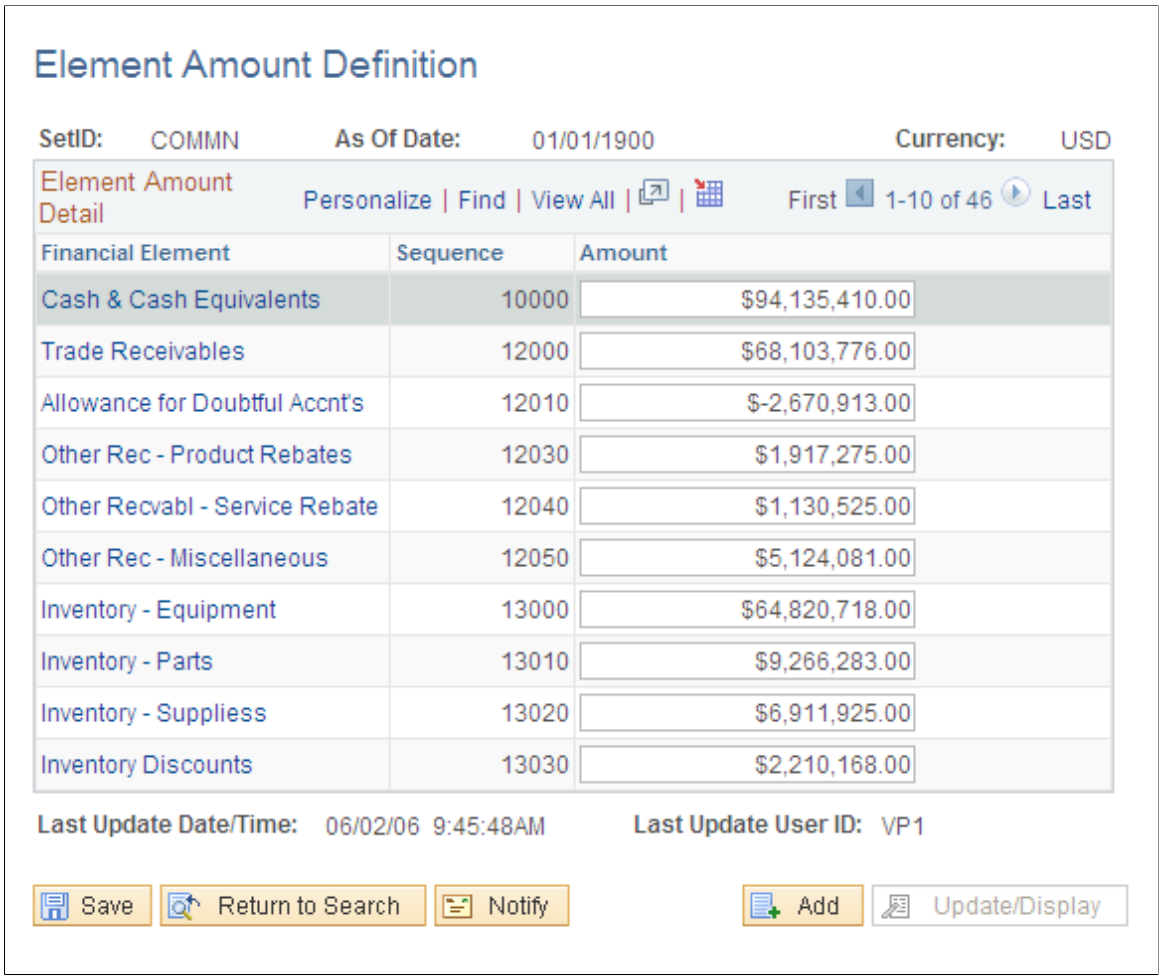
These amounts are manually maintained and are not system-derived.

Navigation

Internal Controls Enforcer, Master Setup, Element Manager, Element Amounts

Image: Element Amount Definition page

This example illustrates the fields and controls on the Element Amount Definition page. You can find definitions for the fields and controls later on this 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 Internal Controls Enforcer General Preferences Page.

Related Links

Element Definition Page

Element Risk Ranking Matrix Page

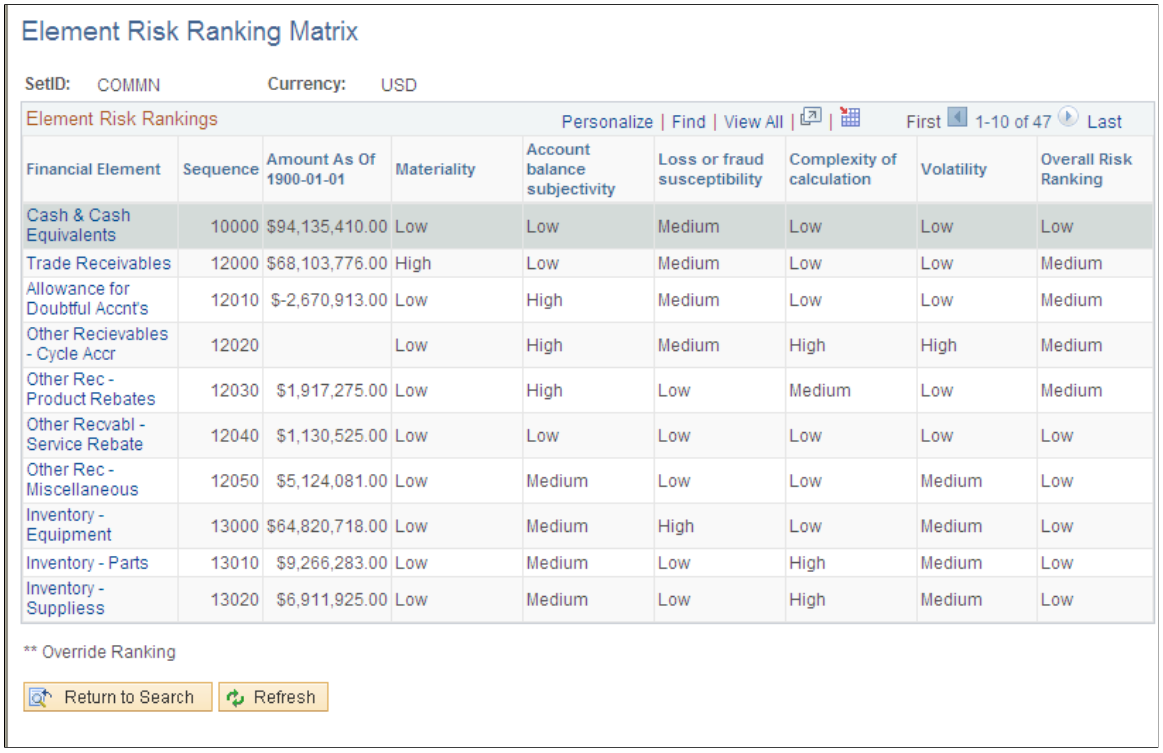
Use the Element Risk Ranking Matrix page (EPQ_ELEM_RANKMATRX) to review element risk rankings.

Navigation

Internal Controls Enforcer, Master Setup, Element Manager, Element Risk Ranking Matrix

Image: Element Risk Ranking Matrix page

This example illustrates the fields and controls on the Element Risk Ranking Matrix page. You can find definitions for the fields and controls later on this page.



Element Risk Ranking Matrix

SetID: COMMN Currency: USD

Element Risk Rankings — Personalize | Find | View All | First 1-10 of 47 Last

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	$94,135,410.00	Low	Low	Medium	Low	Low	Low
Trade Receivables	12000	$68,103,776.00	High	Low	Medium	Low	Low	Medium
Allowance for Doubtful Accnt'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 - Suppliess	13020	$6,911,925.00	Low	Medium	Low	High	Medium	Low

** Override Ranking

Return to Search Refresh

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.

Related Links

Element Definition Page

Chapter 6

Establishing the Risk Control Repository

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.

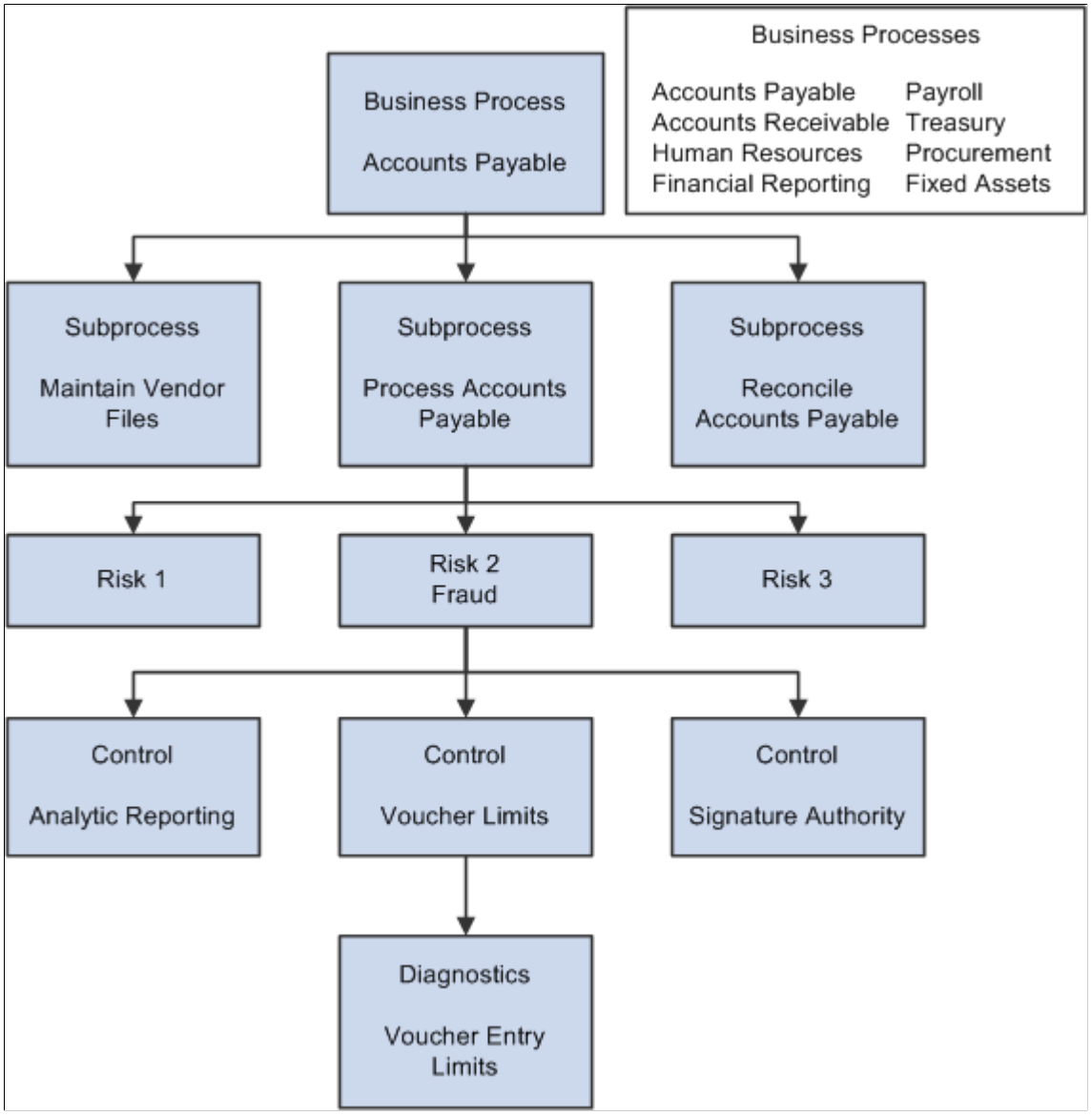
Relationships Between Risks, Controls, and Diagnostics

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.

Image: Relationships between risks, controls, and diagnostics

This diagram illustrates the relationships among 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.

Related Links

Understanding Process Instance Generation

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 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 Financial Management 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.

Related Links

Managing the Internal Controls Certification Process

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	Categorizes risks by identifying a type of risk. It is generally accepted that the main risk categories are:

- Operational.
- Financial.
- Regulatory (also referred to as compliance).

  Examples of regulatory risks are the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and Basel II requirements for credit risk.

Financial assertion

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.

Control category

Categorizes controls by identifying whether controls are preventative or detective.

Framework

Categorizes controls by identifying the type of framework under which effective controls are classified.

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.

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.

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.

Common Elements Used for Risk Control Repository

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 Configuring the Other Attribute Fields.

Establishing Various Risk and Control Categories

This topic discusses defining financial assertions, risk categories, control categories and control frameworks.

Pages Used to Establish Various Risk and Control Categories

Page Name	*Definition Name*	*Usage*
Financial Assertion Definition Page	EPQ_FIN_ASSERT	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 Page	EPQ_RISK_CATEG	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 Page	EPQ_CTRL_CATEG	Establish control categories. The information that you enter on this page populates a prompt table that is used when you define controls.
Framework Definition Page	EPQ_FRMWORK_SEL	Establish control framework categories. The information that you enter on this page populates a prompt table that is used when you define controls.

Financial Assertion Definition Page

Use the Financial Assertion Definition page (EPQ_FIN_ASSERT) to establish financial assertions.

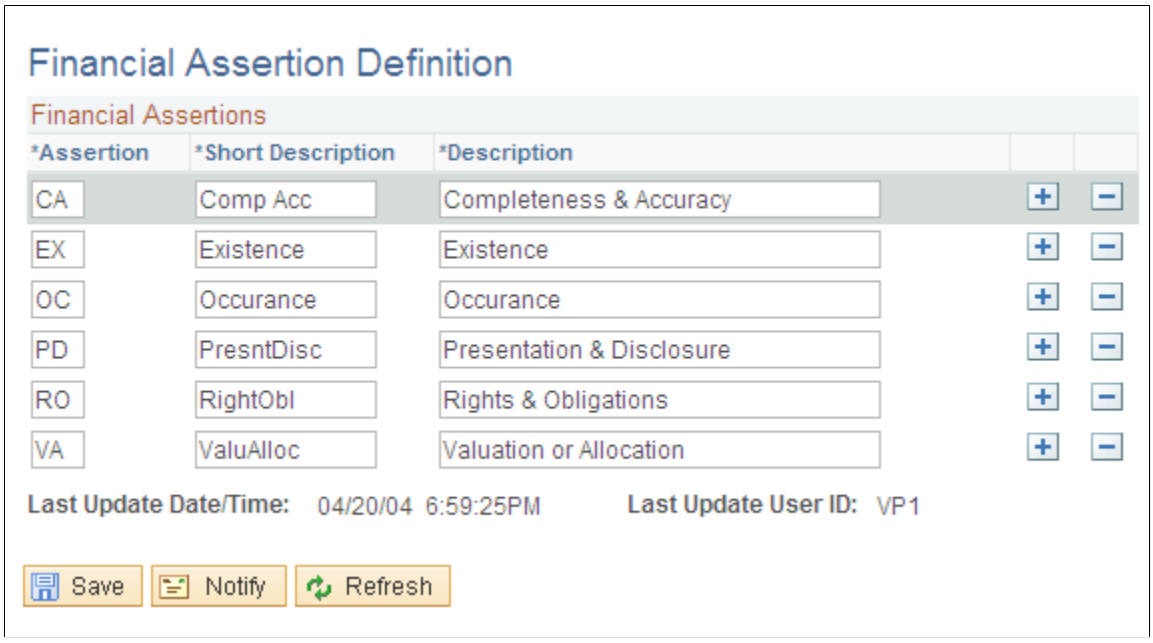
The information that you enter on this page populates a prompt table that is used when you define risks and controls.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Financial Assertions

Image: Financial Assertion Definition page

This example illustrates the fields and controls on the Financial Assertion Definition page. You can find definitions for the fields and controls later on this 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.

Related Links

Establishing Risks and Controls

Risk Category Definition Page

Use the Risk Category Definition page (EPQ_RISK_CATEG) to establish risk categories.

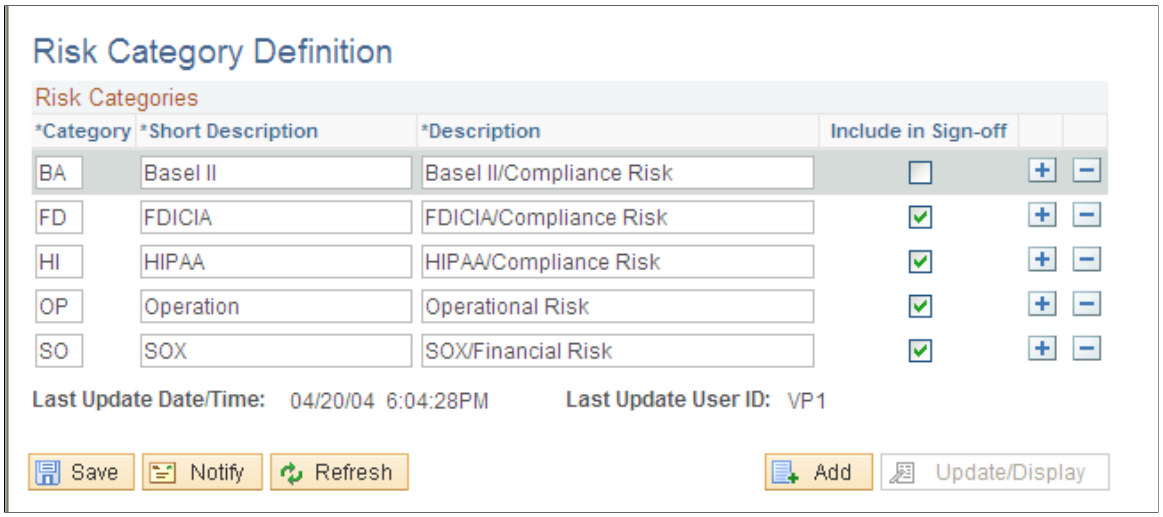
The information that you enter on this page populates a prompt table that is used when you define risks.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Risk Categories

Image: Risk Category Definition page

This example illustrates the fields and controls on the Risk Category Definition page. You can find definitions for the fields and controls later on this 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.

Related Links

Risk Definition Page

Control Category Definition Page

Use the Control Category Definition page (EPQ_CTRL_CATEG) to establish control categories.

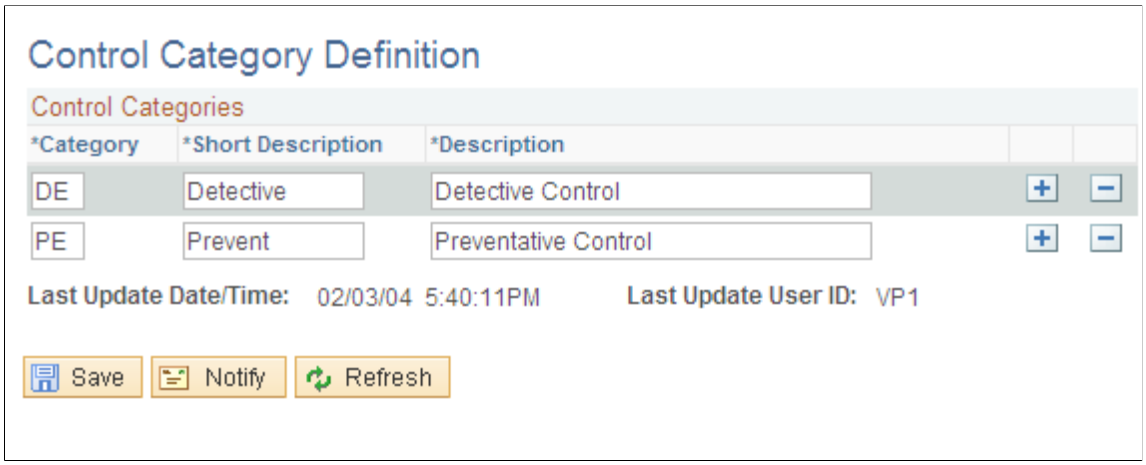
The information that you enter on this page populates a prompt table that is used when you define controls.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Control Categories

Image: Control Category Definition page

This example illustrates the fields and controls on the Control Category Definition page. You can find definitions for the fields and controls later on this 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.

Related Links

Control Definition Page

Framework Definition Page

Use the Framework Definition page (EPQ_FRMWORK_SEL) to establish control framework categories.

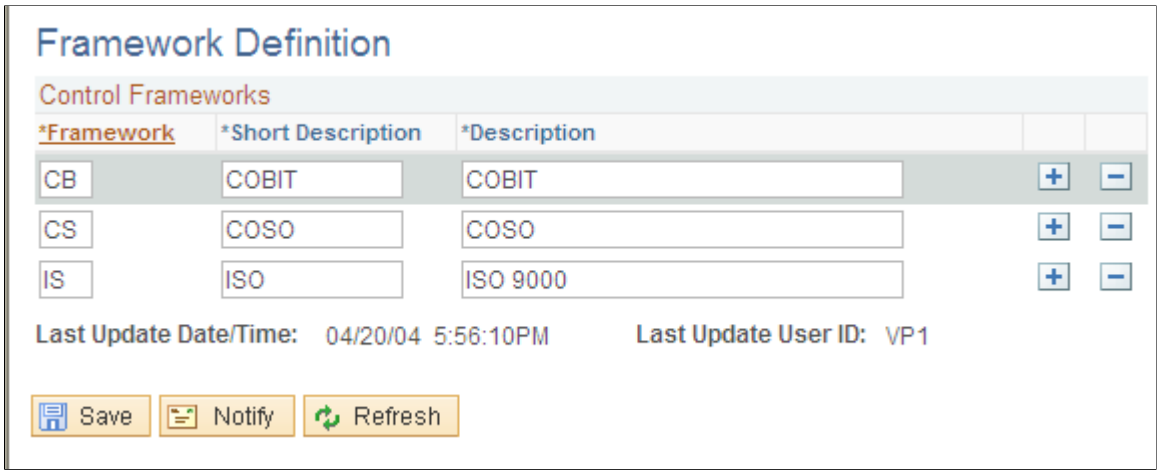
The information that you enter on this page populates a prompt table that is used when you define controls.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Frameworks

Image: Framework Definition page

This example illustrates the fields and controls on the Framework Definition page. You can find definitions for the fields and controls later on this 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.

Related Links

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_CHKLST_DEF), Template Attribute Definition (EPQ_TMPL_ATTR), and Test Plan Template (EPQ_TMPL_DEFN) components. Use the EPQ_CHKLST_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 topic discusses methods to establish checklists, template attributes and test plan templates.

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

Page Name	*Definition Name*	*Usage*
Checklist Definition Page	EPQ_CHKLST_DEF	Establish a checklist of items to complete when testing an internal control. Checklists are associated with test plan templates.

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

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 topic of this documentation.

See Understanding Subprocess Management.

Checklist Definition Page

Use the Checklist Definition page (EPQ_CHKLST_DEF) to establish a checklist of items to complete when testing an internal control.

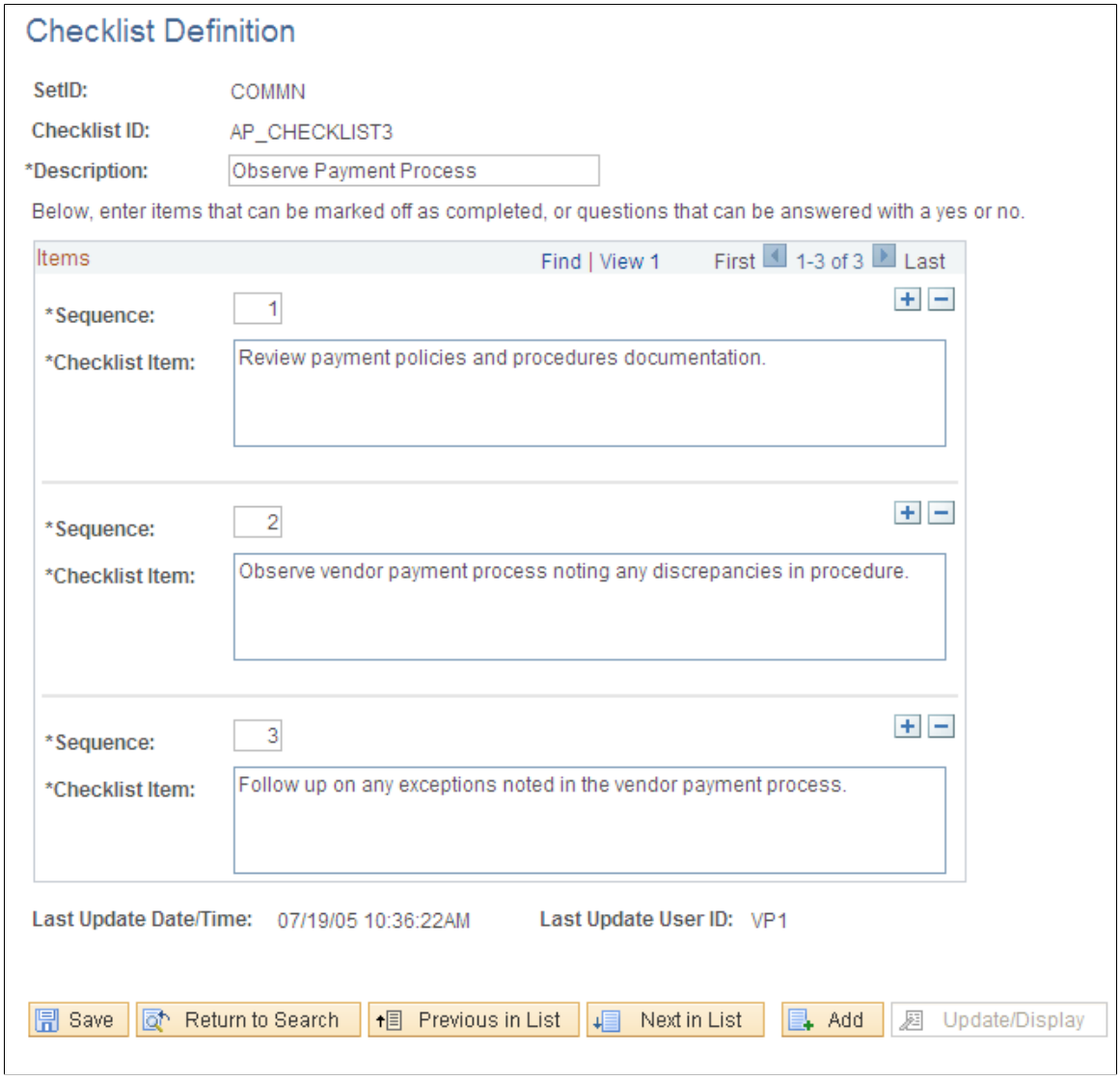
Checklists are associated with test plan templates.

Navigation

Internal Controls Enforcer, Master Setup, Checklist Definition

Image: Checklist Definition page

This example illustrates the fields and controls on the Checklist Definition page. You can find definitions for the fields and controls later on this 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.

Template Attribute Definition Page

Use the Template Attribute Definition page (EPQ_TMPL_ATTR) to define attributes to associate with test plan templates.

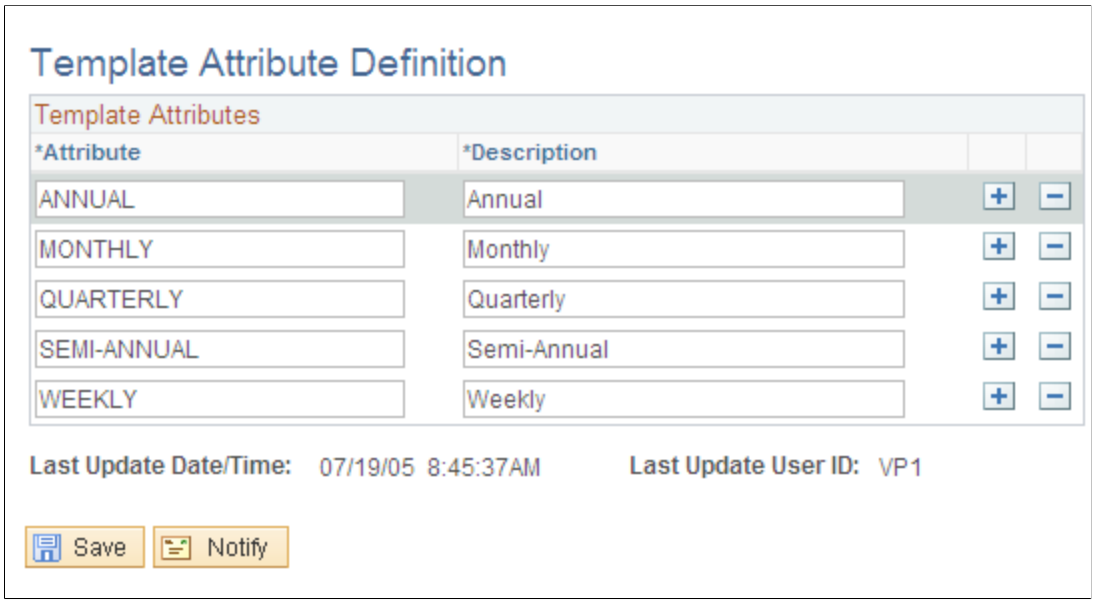
Attributes enable you to categorize test plan templates for the purpose of specifying which test plans to generate when you run the Test Plan Generation (EPQ_TP_GEN) Application Engine process.

Navigation

Internal Controls Enforcer, Master Setup, General Setup, Template Attributes

Image: Template Attribute Definition page

This example illustrates the fields and controls on the Template Attribute Definition page. You can find definitions for the fields and controls later on this 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.

Test Plan Template Page

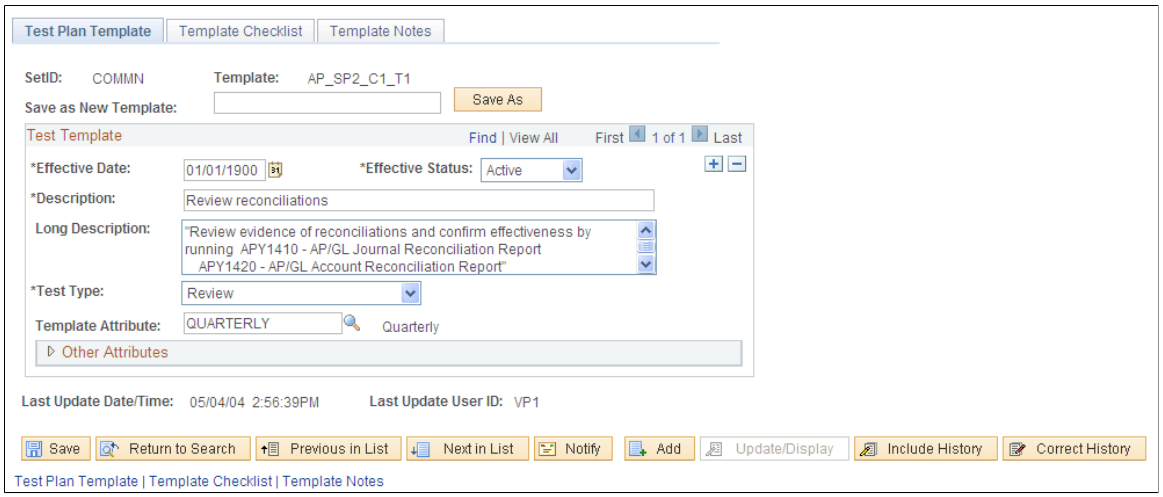
Use the Test Plan Template page (EPQ_TMPL_DEFN) to establish templates for test plans.

Navigation

Internal Controls Enforcer, Master Setup, Test Plan Template

Image: Test Plan Template page

This example illustrates the fields and controls on the Test Plan Template page. You can find definitions for the fields and controls later on this 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 Template Attribute Definition Page.

Test Plan Template - Template Checklist Page

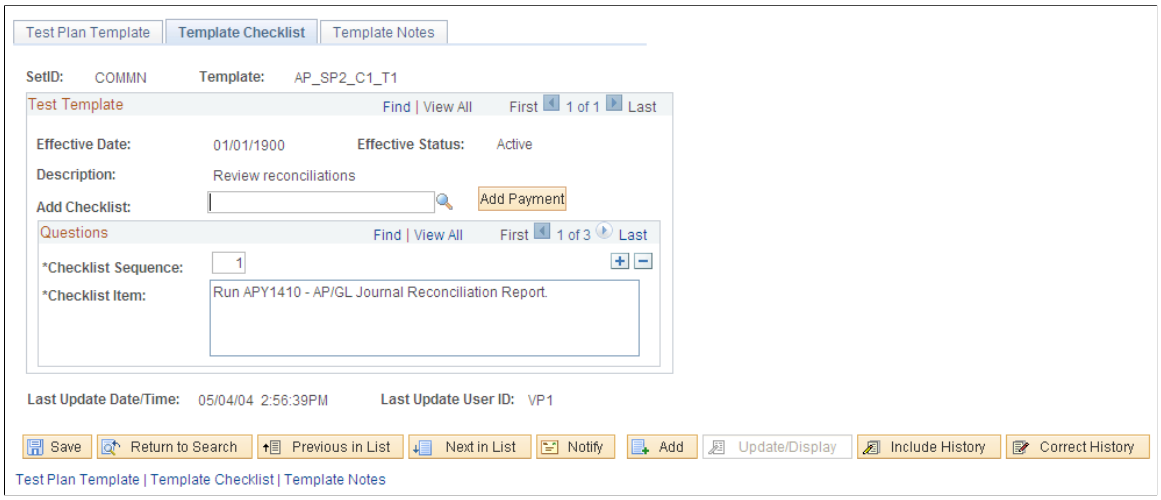
Use the Test Plan Template - Template Checklist page (EPQ_TMPL_CHKLST) to associate checklists with a test plan template.

Navigation

Internal Controls Enforcer, Master Setup, Test Plan Template, Template Checklist

Image: Test Plan Template - Template Checklist page

This example illustrates the fields and controls on the Test Plan Template - Template Checklist page. You can find definitions for the fields and controls later on this 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 topic discusses methods to define risks and controls and associate financial assertions with them.

Pages Used to Establish Risks and Controls

Page Name	*Definition Name*	*Usage*
Risk Definition Page	EPQ_RISK_DEFN	Define risks and specify the controls with which they are associated.
Risk Definition - Financial Assertions Page	EPQ_RISK_FIN	Associate financial assertions with a risk.
Risk Definition - Notes Page	EPQ_RISK_NOTES	Enter detailed notes about a risk. Select Internal Controls Enforcer, Master Setup, Risk Definition, Notes.
Control Definition Page	EPQ_CTRL_DEFN	Define controls and specify the test plan templates and diagnostics with which they are associated.
Control Definition - Financial Assertions Page	EPQ_CONTROL_FIN	Associate financial assertions with a control.
Control Definition - Test Template Page	EPQ_CTRL_TMPL	Associate test templates with a control.
Control Definition - Notes Page	EPQ_CTRL_NOTES	Enter detailed notes about a control. Select Internal Controls Enforcer, Master Setup, Control Definition, Notes.

Risk Definition Page

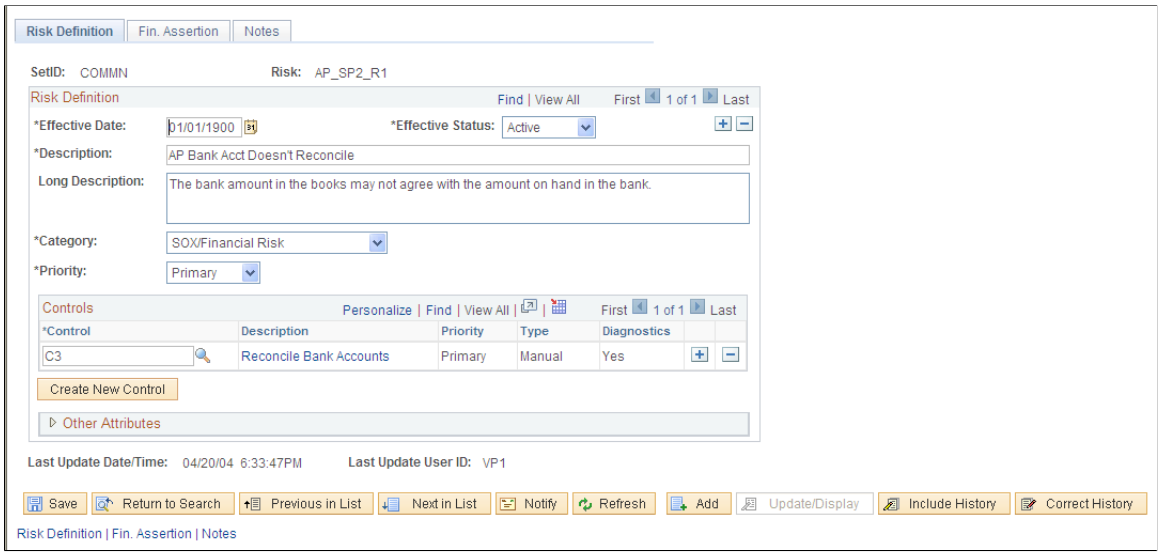
Use the Risk Definition page (EPQ_RISK_DEFN) to define risks and specify the controls with which they are associated.

Navigation

Internal Controls Enforcer, Master Setup, Risk Definition, Risk Definition

Image: Risk Definition page

This example illustrates the fields and controls on the Risk Definition page. You can find definitions for the fields and controls later on this page.



Risk Definition

Category — Select the category that applies to the risk.

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

See Risk Category Definition Page.

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*.

Risk Definition - Financial Assertions Page

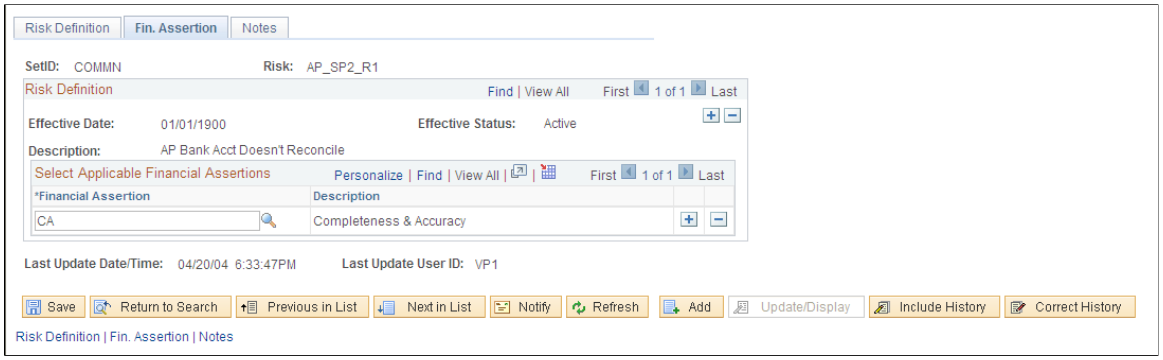
Use the Risk Definition - Financial Assertions page (EPQ_RISK_FIN) to associate financial assertions with a risk.

Navigation

Internal Controls Enforcer, Master Setup, Risk Definition, Fin. Assertion

Image: Risk Definition - Financial Assertions page

This example illustrates the fields and controls on the Risk Definition - Fin. Assertion page. You can find definitions for the fields and controls later on this 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 .

Control Definition Page

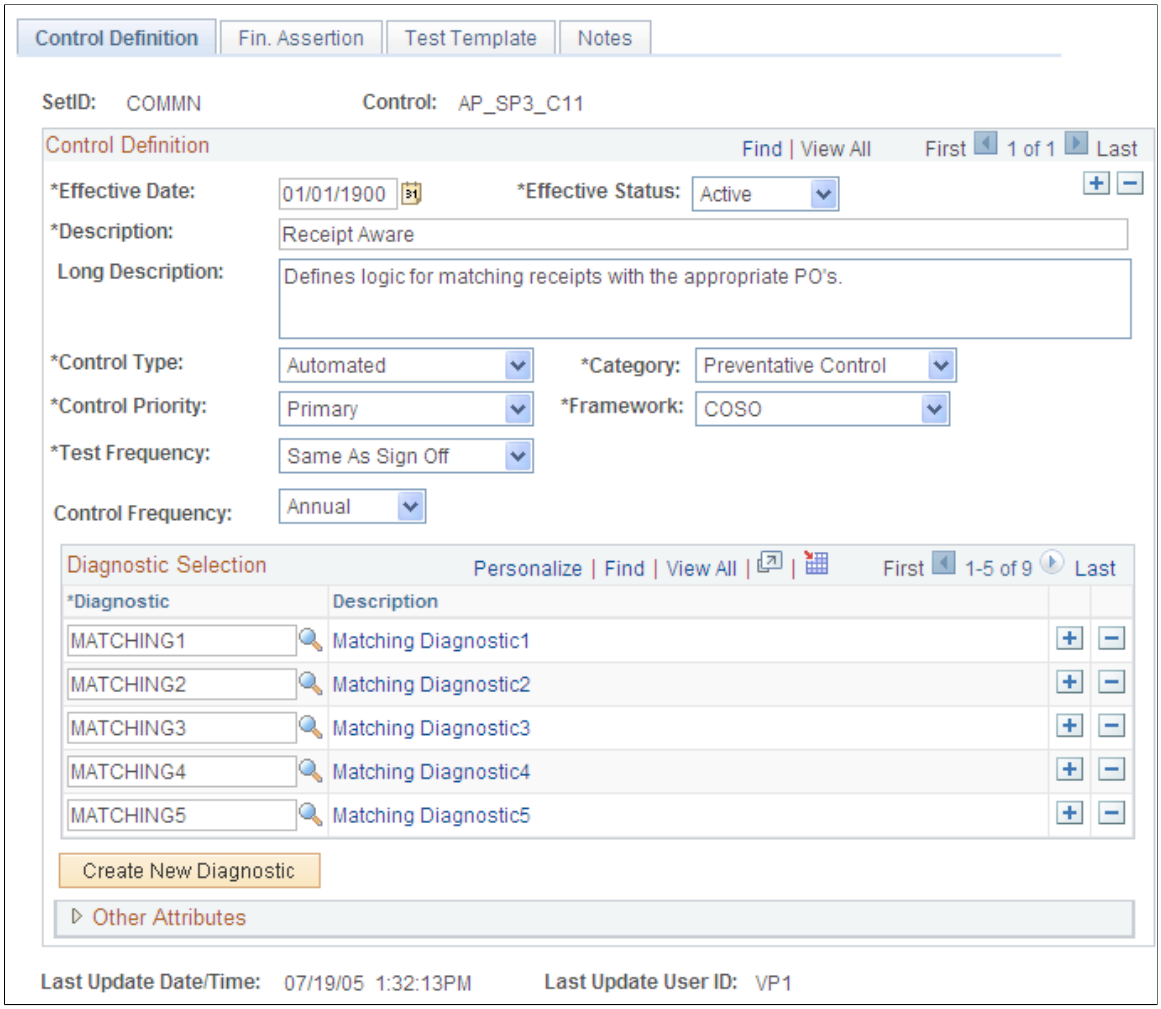
Use the Control Definition page (EPQ_CTRL_DEFN) to define controls and specify the test plan templates and diagnostics with which they are associated.

Navigation

- Internal Controls Enforcer, Master Setup, Control Definition
- Click Create New Control on the Risk Definition page.

Image: Control Definition page

This example illustrates the fields and controls on the Control Definition page. You can find definitions for the fields and controls later on this 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 Control Category Definition Page.

Control Priority Select the priority of the control. Options are *Primary, Secondary,* and *Tertiary.* 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 Framework Definition Page.

Test Frequency

Specify how often this control should be tested. Options are:

Annual: Select to indicate that this control needs to be retested annually.

Same as Sign Off: 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 *yes* when the test frequency is set to *Same as Sign Off*. 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 *quarterly,* or *semi-annual,* then the Needs Testing field is set to *no.*

Control Frequency

Select the frequency with which the control operates. Options are: *Annual, Biweekly, Daily, Monthly, Quarterly, Semiannual, Weekly.* 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.

Related Links

Understanding Diagnostics

Control Definition - Financial Assertions Page

Use the Control Definition - Financial Assertions page (EPQ_CONTROL_FIN) to associate financial assertions with a control.

Navigation

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 Financial Assertion Definition Page.

Control Definition - Test Template Page

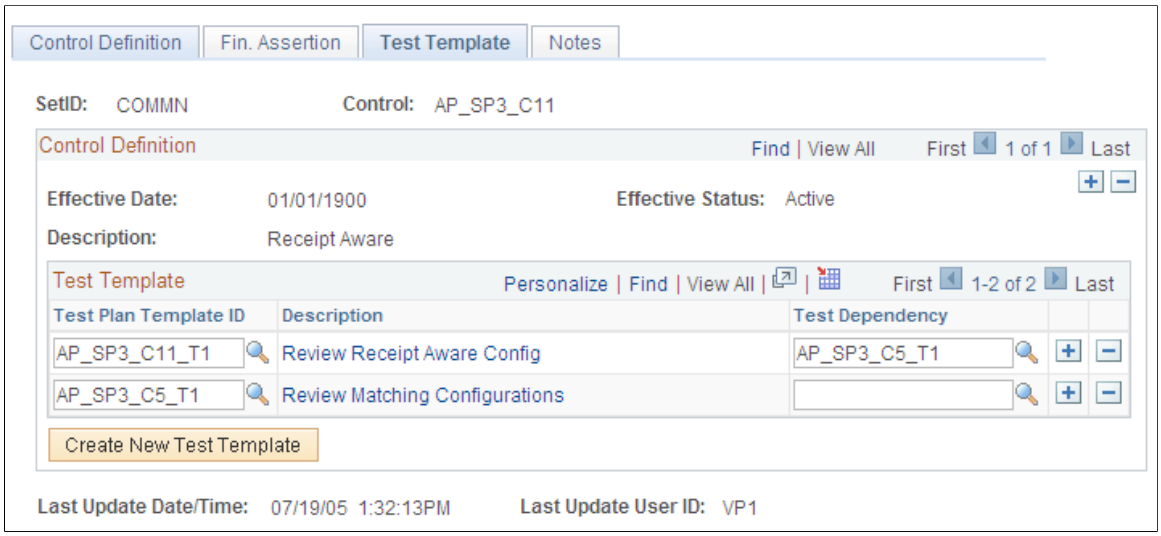
Use the Control Definition - Test Template page (EPQ_CTRL_TMPL) to associate test templates with a control.

Navigation

Internal Controls Enforcer, Master Setup, Control Definition, Test Template

Image: Control Definition - Test Template page

This example illustrates the fields and controls on the Control Definition - Test Template page. You can find definitions for the fields and controls later on this 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

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 Copy Compliance Project Page.

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 the 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 Interaction Hub 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.

Related Links

Understanding Process Instance Generation

Common Elements Used in This Topic

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: *Business Process:* Select this option if you are defining a business process. *Subprocess:* 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 Configuring the Other Attribute Fields.

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 topic discusses setting up business processes and subprocesses.

Pages Used to Set Up Business Processes and Subprocesses

Page Name	*Definition Name*	*Usage*
Business Process Manager - Process Definition Page	EPQ_BP_DEFN	Define a business process or subprocess.
Business Process Manager - Subprocesses Page	EPQ_BP_SBP_XREF	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 Page	EPQ_BP_RISK_XRF	Associate risks and controls with a subprocess. You can access this page only if the current record is a subprocess.
Business Process Manager - Elements Page	EPQ_BP_ELEM_XRF	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 Page	EPQ_BP_CM_LINK	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 Page	EPQ_BP_ENT_XRF	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 Page	EPQ_BP_NOTES	This page contains a free-form text field that you can use to store important information about a business process or subprocess. Select Internal Controls Enforcer, Master Setup, Business Process Manager, Notes.

Business Process Manager - Process Definition Page

Use the Business Process Manager - Process Definition page (EPQ_BP_DEFN) to define a business process or subprocess.

Navigation

Internal Controls Enforcer, Master Setup, Business Process Manager, Process Definition

Image: Business Process Manager - Process Definition page

The Business Process Manager - Process Definition page for defining a process.

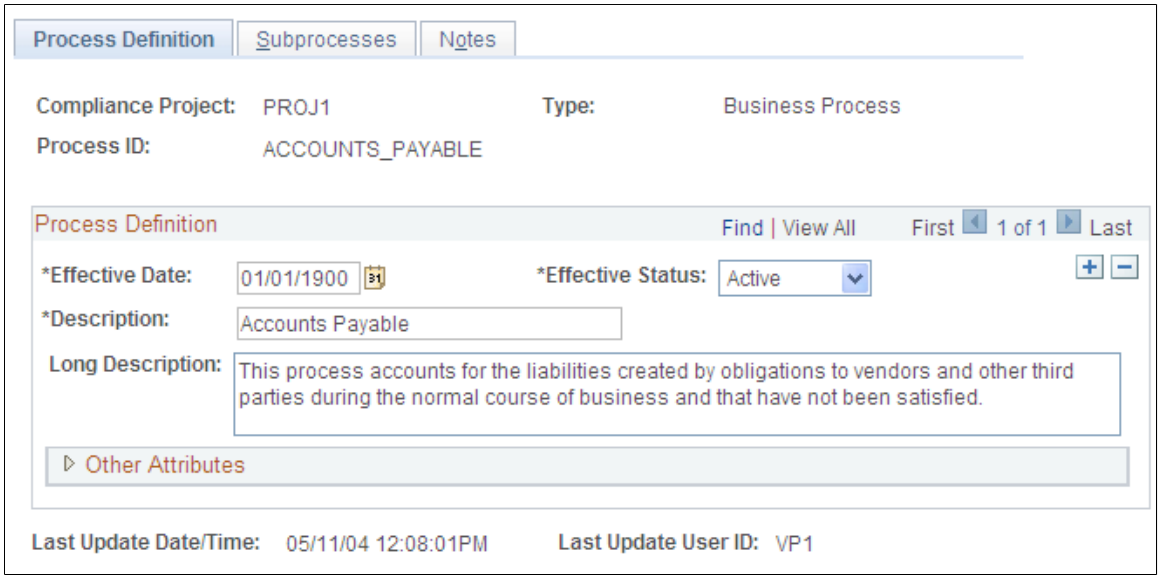
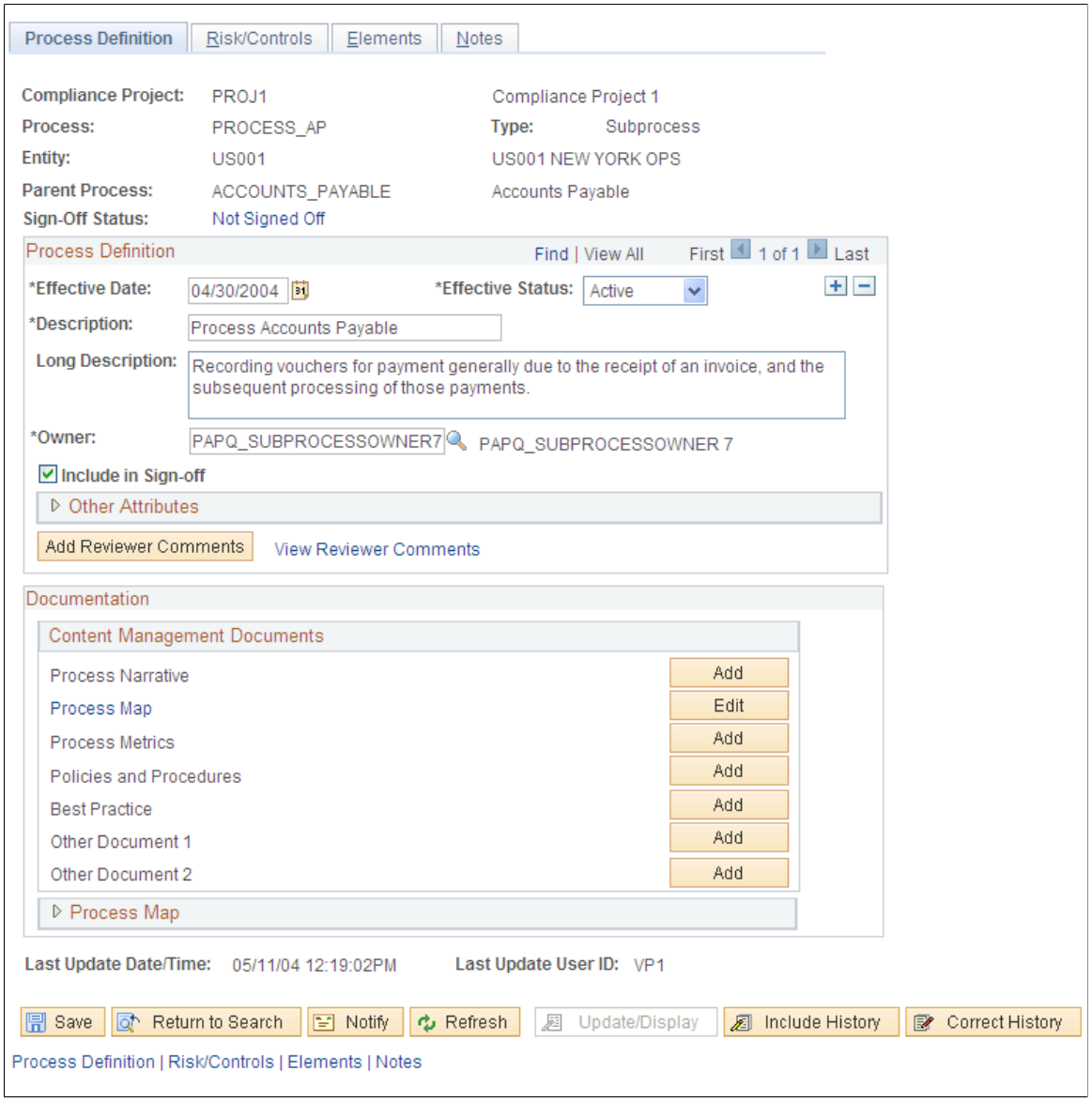


Image: Business Process Manager - Process Definition page

The Business Process Manager - Process Definition page for defining a subprocess.



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

Business Process Manager - Subprocesses Page

Use the Business Process Manager - Subprocesses page (EPQ_BP_SBP_XREF) to associate subprocesses with a business process.

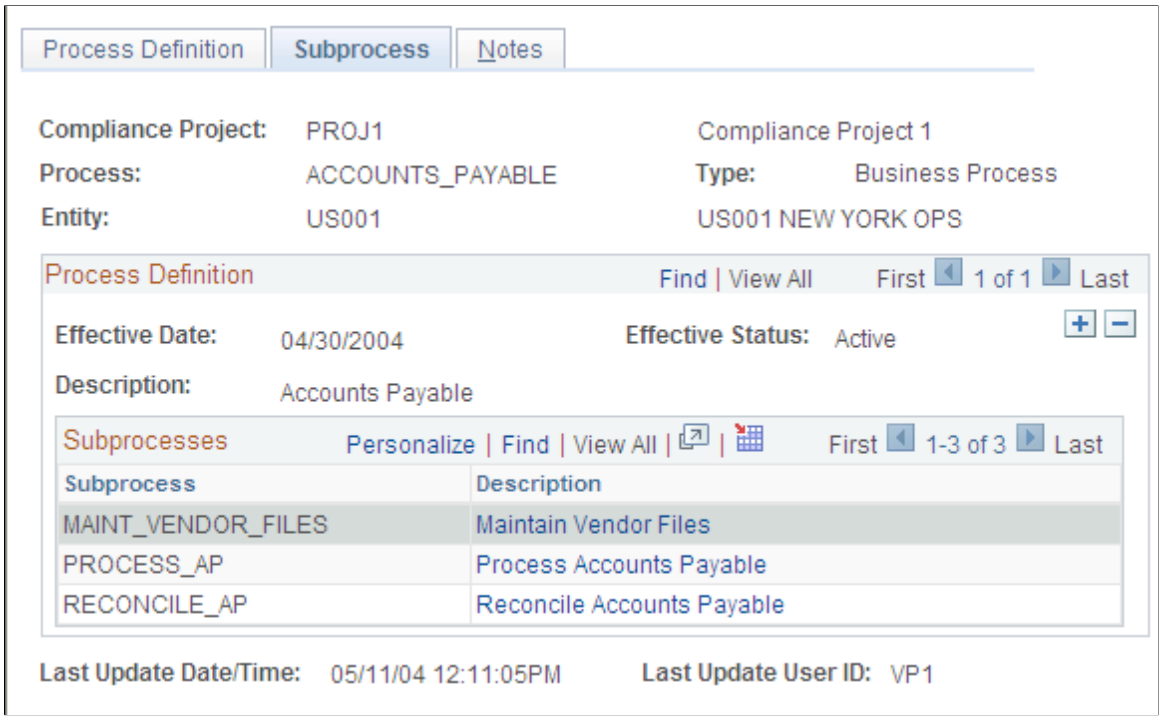
You can access this page only if the current record is a business process.

Navigation

Internal Controls Enforcer, Master Setup, Business Process Manager, Subprocesses

Image: Business Process Manager - Subprocesses page

This example illustrates the fields and controls on the Business Process Manager - Subprocesses page. You can find definitions for the fields and controls later on this 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.

Business Process Manager - Risk/Control Page

Use the Business Process Manager - Risk/Control page (EPQ_BP_RISK_XRF) to associate risks and controls with a subprocess.

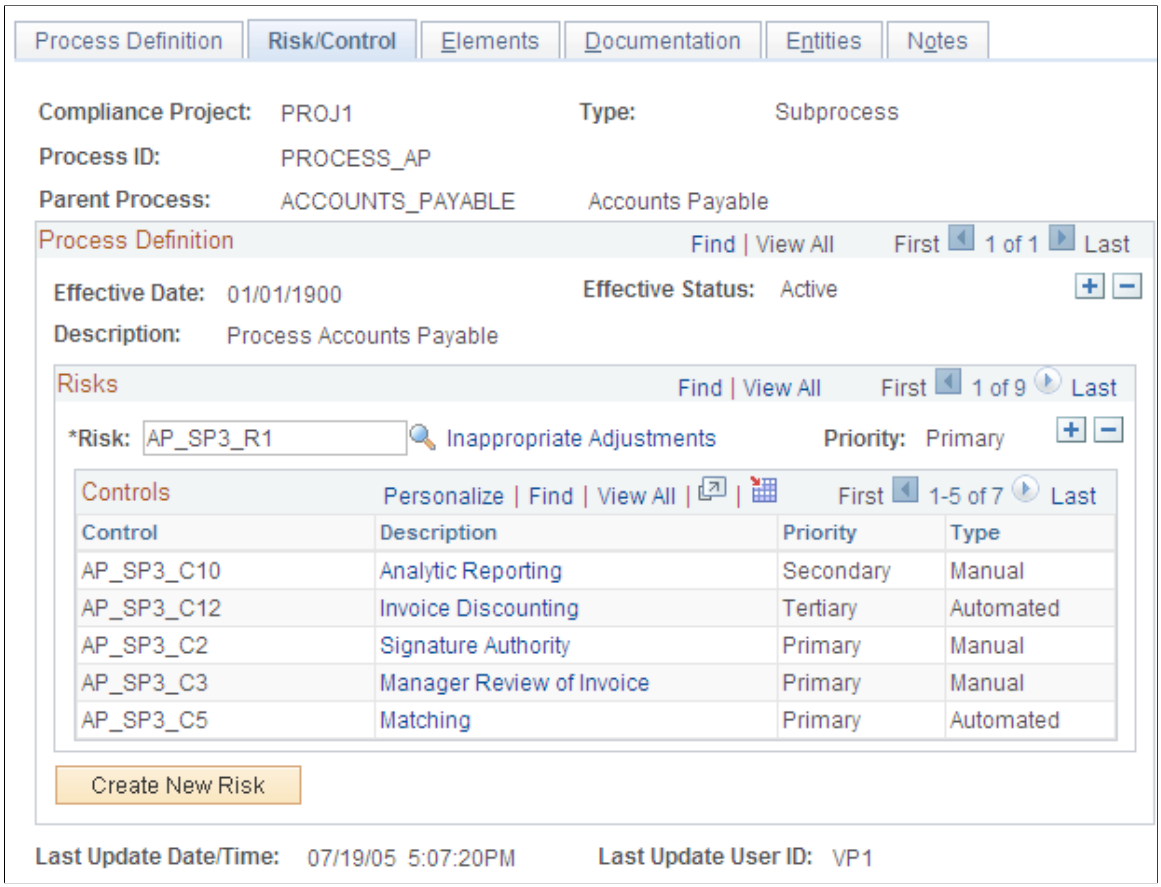
You can access this page only if the current record is a subprocess.

Navigation

Internal Controls Enforcer, Master Setup, Business Process Manager, Risk/Control

Image: Business Process Manager - Risk/Control page

This example illustrates the fields and controls on the Business Process Manager - Risk/Control page. You can find definitions for the fields and controls later on this 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.

Business Process Manager - Elements Page

Use the Business Process Manager - Elements page (EPQ_BP_ELEM_XRF) to specify the elements that are associated with a subprocess.

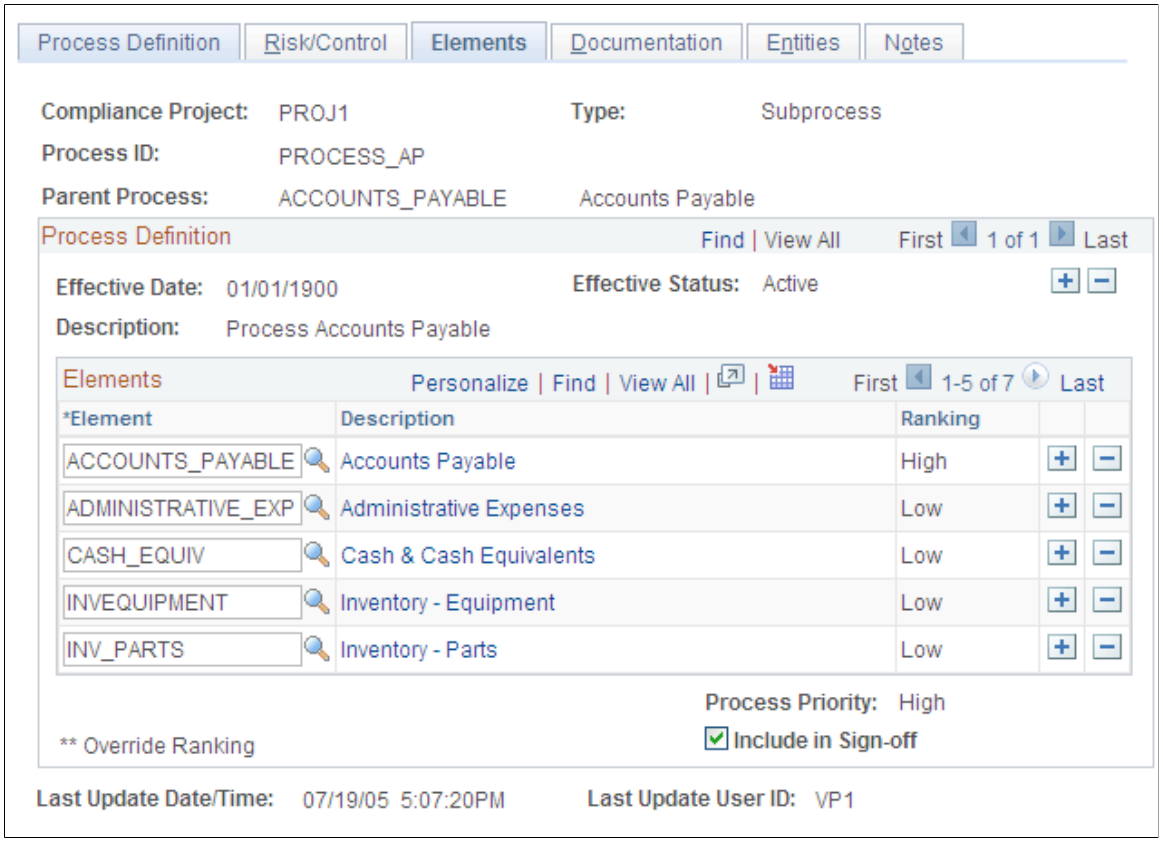
You can access this page only if the current record is a subprocess.

Navigation

Internal Controls Enforcer, Master Setup, Business Process Manager, Elements

Image: Business Process Manager - Elements page

This example illustrates the fields and controls on the Business Process Manager - Elements page. You can find definitions for the fields and controls later on this 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	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.

See Element Risk Rankings.

Process Priority

Displays the priority for the process. Values are *Low*, *Medium*, and *High.*

The system determines this value using the following logic:

- If any associated elements have a ranking of *High*, then the process priority is set to *High.*
- If there is no element with a ranking of *High*, but there is an element that has a ranking of *Medium*, then the process priority is set to *Medium.*
- If all elements in the grid are ranked *Low* or the grid is empty, then the process priority is set to *Low.*

Include in Sign-off

Select this option to include the subprocess in the internal controls sign-off procedure.

Initially, this field is selected if the value for the Process Priority field is *High*, but you can override this to include lower priority processes or to exclude high priority processes.

Business Process Manager - Documentation Page

Use the Business Process Manager - Documentation page (EPQ_BP_CM_LINK) to specify the documentation that is associated with a subprocess.

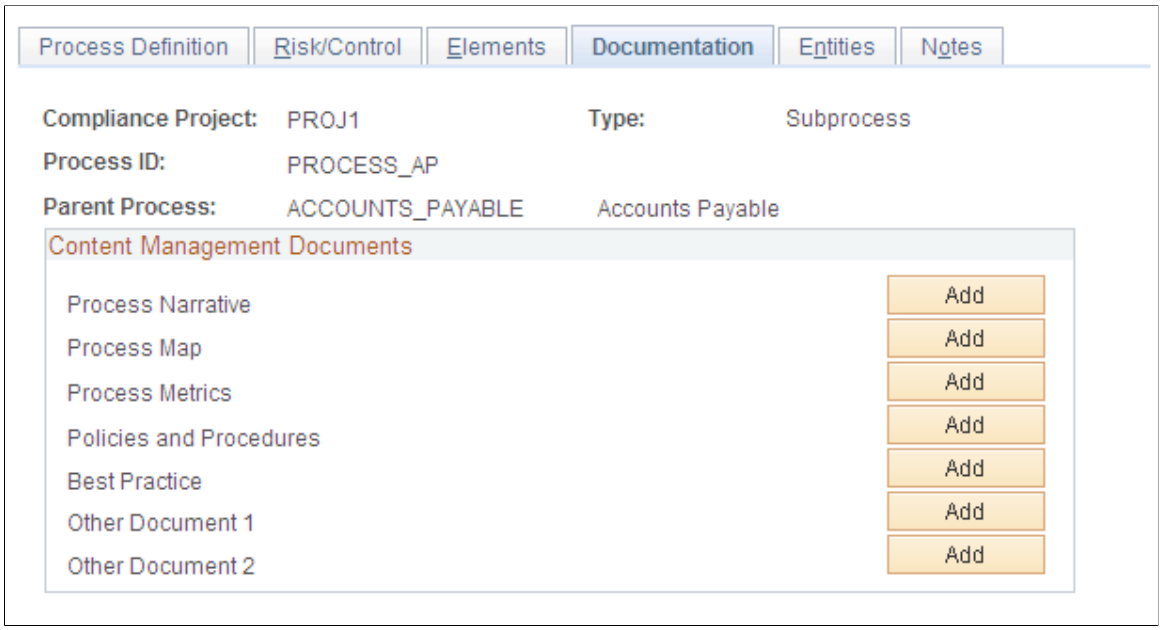
You can access this page only if the current record is a subprocess.

Navigation

Internal Controls Enforcer, Master Setup, Business Process Manager, Documentation

Image: Business Process Manager - Documentation page

This example illustrates the fields and controls on the Business Process Manager - Documentation page. You can find definitions for the fields and controls later on this 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 Interaction Hub 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 Interaction Hub 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 Interaction Hub 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 Interaction Hub 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.

See the product documentation for *PeopleTools: PeopleCode Developer's Guide*, “Using File Attachments and PeopleCode.”

Related Links

Process Instance Definition - Process Definition Page

"Understanding Managed Content" (PeopleSoft Interaction Hub 9.1: Content Management System)

Business Process Manager - Entities Page

Use the Business Process Manager - Entities page (EPQ_BP_ENT_XRF) to specify the entities that are associated with a subprocess, and generate process instances.

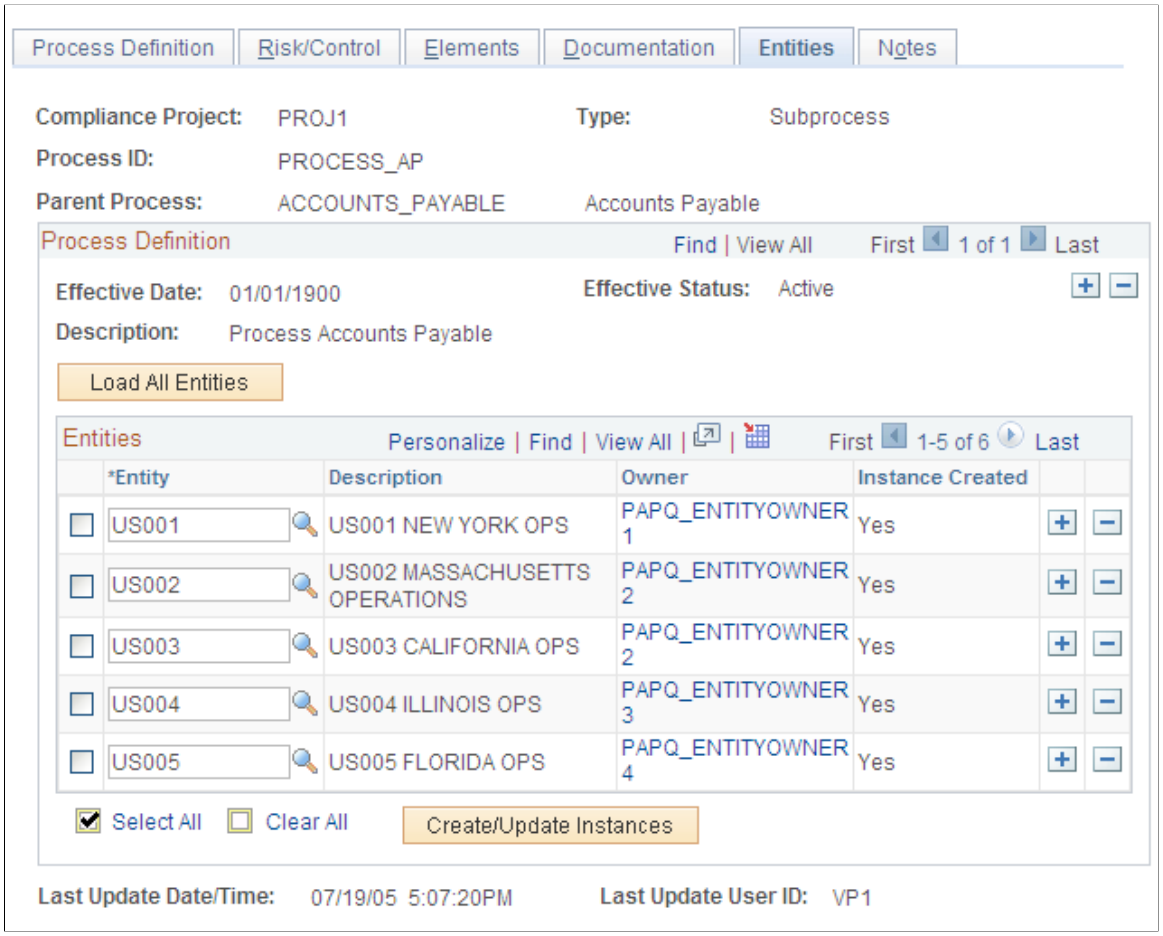
You can access this page only if the current record is a subprocess.

Navigation

Internal Controls Enforcer, Master Setup, Business Process Manager, Entities

Image: Business Process Manager - Entities page

This example illustrates the fields and controls on the Business Process Manager - Entities page. You can find definitions for the fields and controls later on this 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 *Yes* 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 Internal Controls Enforcer General Preferences Page.

Related Links

Understanding Process Instance Generation

Chapter 8

Generating and Maintaining 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.

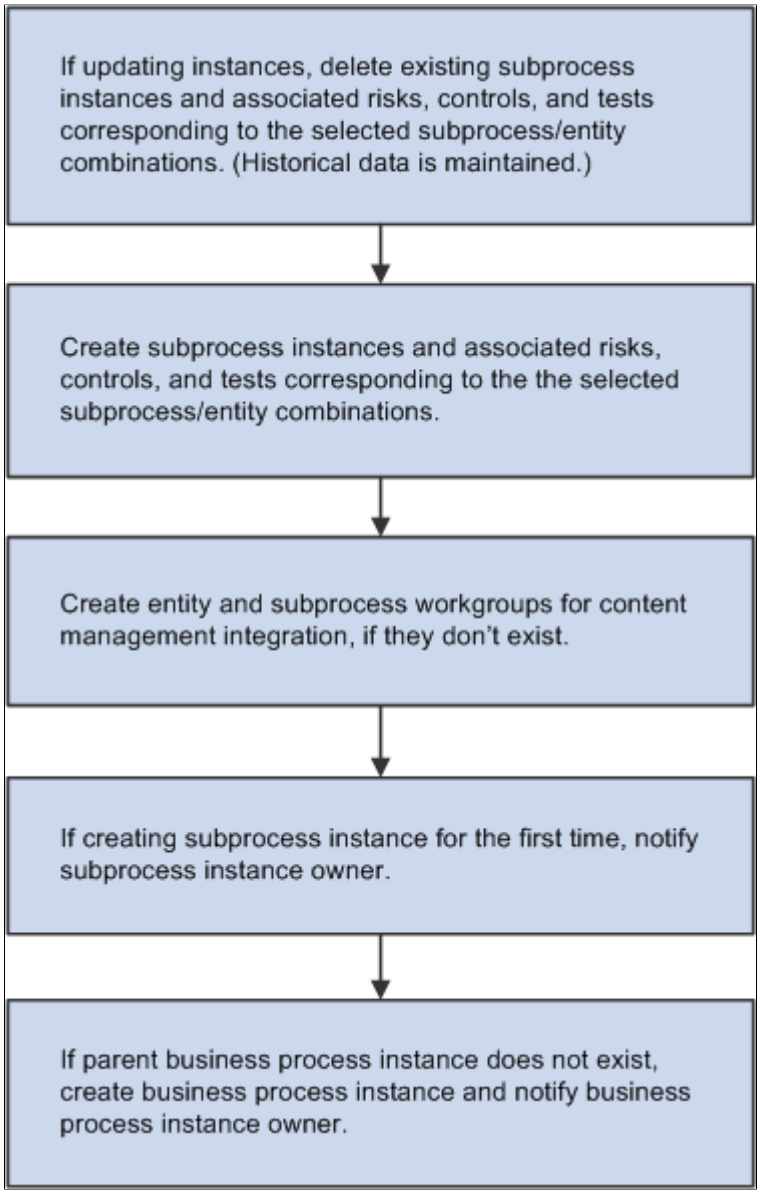
The system uses the PeopleSoft Interaction Hub content management features to store and maintain the documents that are associated with a subprocess instance. This provides a secure, auditable, and version controlled environment to add, view, and maintain subprocess instance documents such as business 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 "Understanding Managed Content" (PeopleSoft Interaction Hub 9.1: Content Management System).

Image: Process Instance Generator process flow of subprocess instance generation.

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.



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 Internal Controls Enforcer General Preferences Page.

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 Interaction Hub 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 Understanding the Business Process Manager Component.

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 Interaction Hub installation. Image files added by workgroups are uploaded via FTP and stored on the web server in a directory that you specify.

Related Links

Portal and Site Administration

Common Elements for Generating and Maintaining Instances

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 Internal Controls Enforcer General Preferences Page, Configuring the Other Attribute Fields.

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: *Business Process:* Indicates the record is a business process. *Subprocess:* 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 topic discusses establishing role-based instance security and reviewing access to instances.

Pages Used to Define Role Security for Instances

Page Name	*Definition Name*	*Usage*
Process Instance Security Page	EPQ_PROCSSINST_SEC	Define access to instance definitions for role users.
View My Access - Instance Ppage	EPQ_VW_ACCESS_INST	Review the instances that you can access, based on your login.

Process Instance Security Page

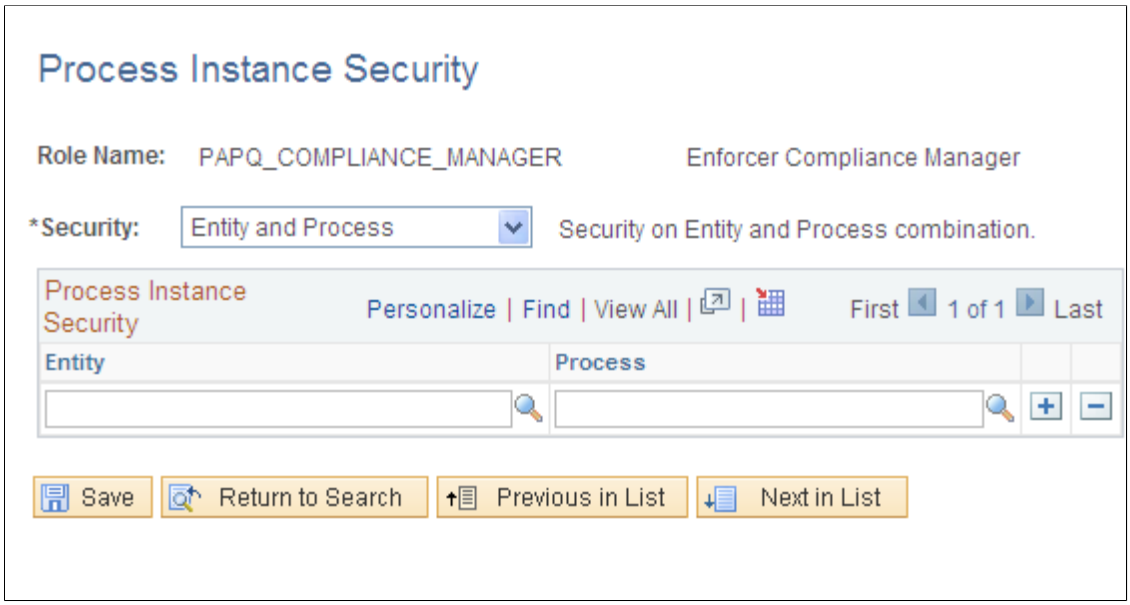
Use the Process Instance Security page (EPQ_PROCSSINST_SEC) to define access to instance definitions for role users.

Navigation

Internal Controls Enforcer, Master Setup, Security Setup, Process Instance Security

Image: Process Instance Security page

This example illustrates the fields and controls on the Process Instance Security page. You can find definitions for the fields and controls later on this page.



Role Name Displays the role for which you are defining security.

Security Specify the method by which to control access. Options are:

All Access: Select to enable access to all instances.

Entity: 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.

Entity and Process: 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.

Process: 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 *Entity* or *Entity and Process.*

Process Select a process for which to enable access. This field is only available when Security is set to *Process* or *Entity and Process.* If you select a process, then the system enables access to all subprocesses that are associated with that process.

View My Access - Instance Ppage

Use the View My Access - Instance page (EPQ_VW_ACCESS_INST) to review the instances that you can access, based on your login.

Navigation

Internal Controls Enforcer, User Preferences, View My Access, View My Access - Instance

Generating Process Instances

This topic discusses creating process instances for processes and entities.

Pages Used to Create Process Instances

Page Name	*Definition Name*	*Usage*
Business Process Manager - Entities Page	EPQ_BP_ENT_XRF	Generate process instances for selected process entities.
Run Process Instance Generator Page	EPQ_INST_GEN_RUN	Generate all process instances.

Business Process Manager - Entities Page

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.

Run Process Instance Generator Page

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.

See the product documentation for *PeopleTools: Applications User's Guide*

Maintaining Process Instance Definitions

This topic discusses updating process instance definitions, subprocess instance risk associations, mainataining risk definitions for instances and reviewing subprocess instance elements.

Pages Used to Maintain Process Instance Definitions

Page Name	*Definition Name*	*Usage*
Process Instance Definition - Process Definition Page	EPQ_BP_INSTANCE	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 Interaction Hub Content Manager.
Process Instance Definition - Subprocess Page	EPQ_BPI_SBP_XREF	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 Page	EPQ_BPI_RSK_XRF	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 Page	EPQ_BPI_ELEM_XRF	Review the elements that are associated with a subprocess instance.
Process Instance Definition - Notes Page	EPQ_BPI_NOTES	Enter details about the process instance. Select Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Notes.
Risk Instance Definition Page	EPQ_BPI_RSK_DEF	Add or modify a risk definition for a process instance. See Modifying Risk Definition for Process Instance.
Risk Instance Definition - Financial Assertions Page	EPQ_BPI_RISK_FIN	Add or modify the financial assertions associated with a risk definition for a process instance. See Modifying Risk Definition for Process Instance.
Risk Instance Definition - Notes Page	EPQ_BPI_RISK_NOTES	Enter details about the risk instance. Select Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Notes.
Control Instance Definition Page	EPQ_BPI_CTL_DEF	Add or modify a control definition for a process instance. See Modifying Control Definition for Process Instance.

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

Process Instance Definition - Process Definition Page

Use the Process Instance Definition - Process Definition page (EPQ_BP_INSTANCE) to 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 Interaction Hub Content Manager.

Navigation

Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Process Definition

Image: Process Instance Definition - Process Definition page (business process)

The Process Instance Definition - Process Definition page for updating a business process.

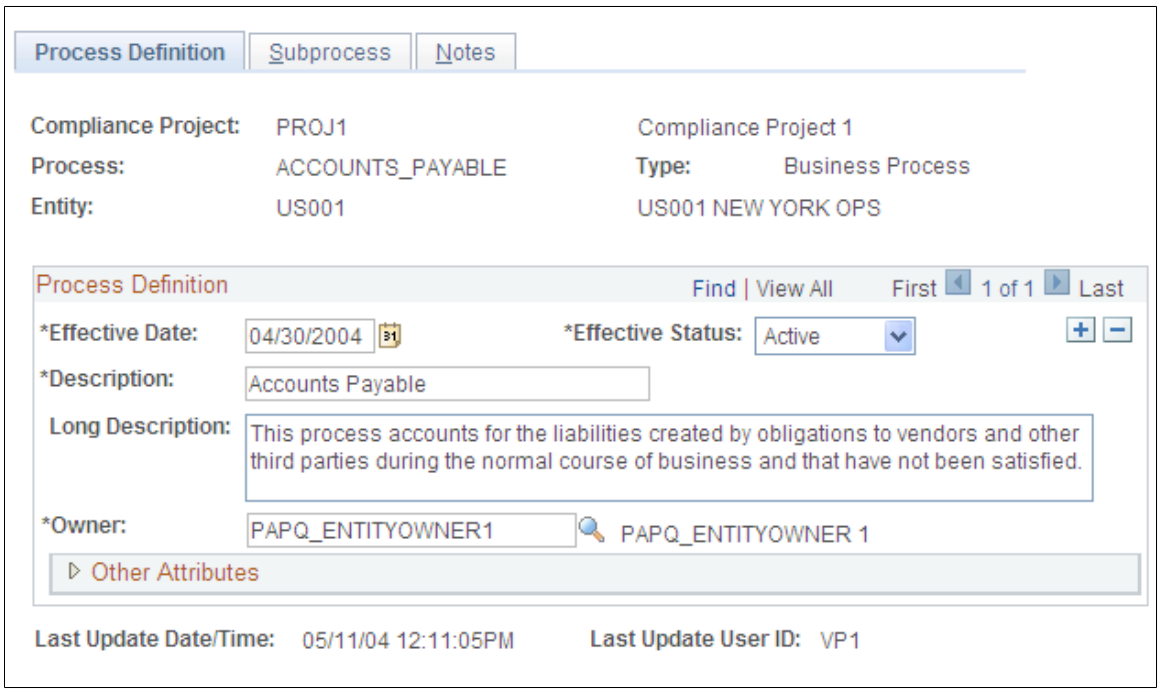
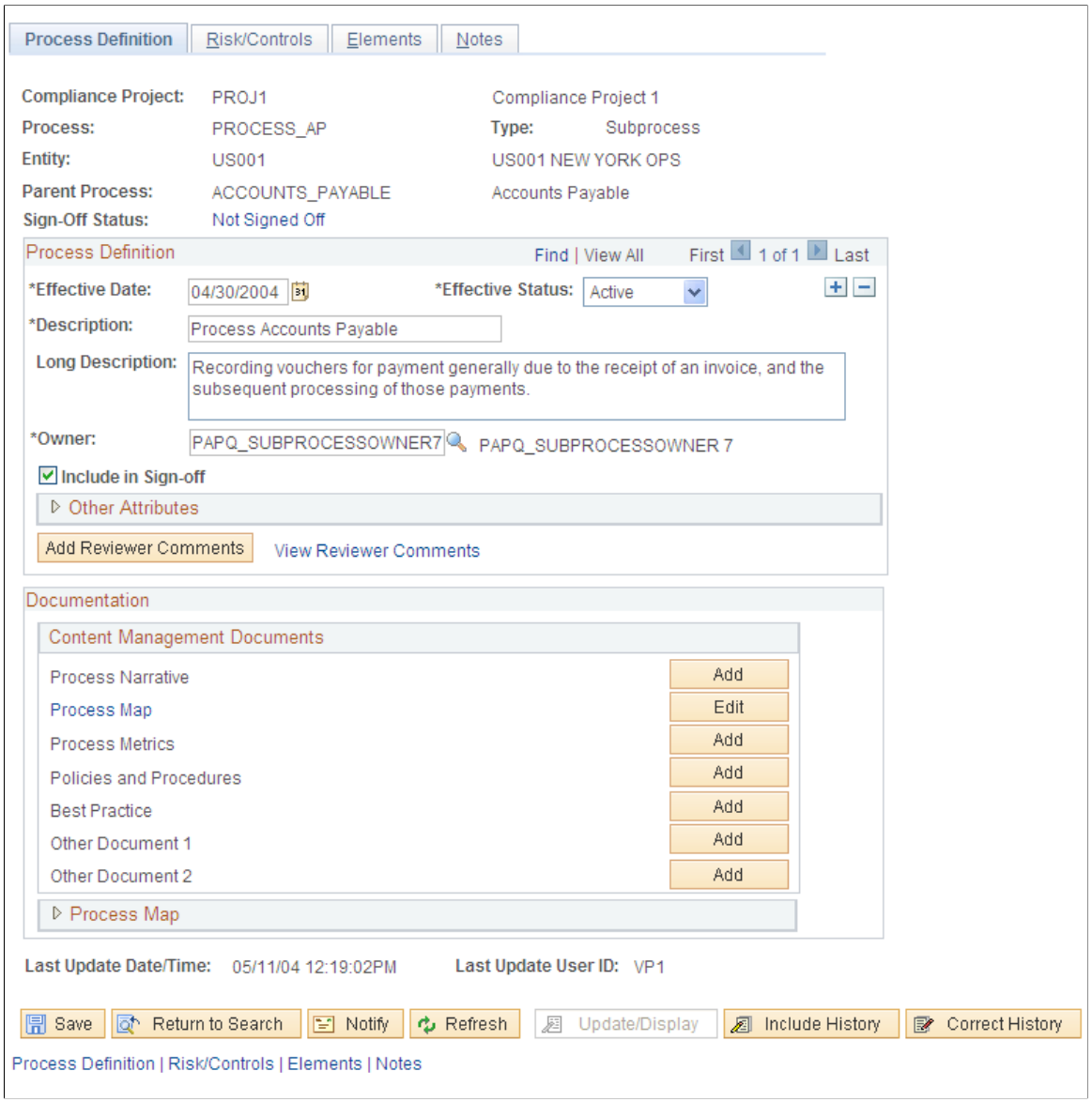


Image: Process Instance Definition - Process Definition page (subprocess)

This example illustrates the fields and controls on the Process Instance Definition - Process Definition page (for updating a subprocess). You can find definitions for the fields and controls later on this page.



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 *Active* or *Inactive*.

	If you change this field to *Inactive*, 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 Interaction Hub 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 Interaction Hub 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 Interaction Hub 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 Interaction Hub 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

Document	*Field Label*	*Content Management Page Title*
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 the product documentation for *PeopleTools: Application Designer Developer's 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.

See the product documentation for *PeopleTools: PeopleCode Developer's Guide*, “Using File Attachments and PeopleCode.”

Related Links

"Understanding Managed Content" (PeopleSoft Interaction Hub 9.1: Content Management System)

Process Instance Definition - Subprocess Page

Use the Process Instance Definition - Subprocess page (EPQ_BPI_SBP_XREF) to add or update the subprocesses that are associated with a business process instance.

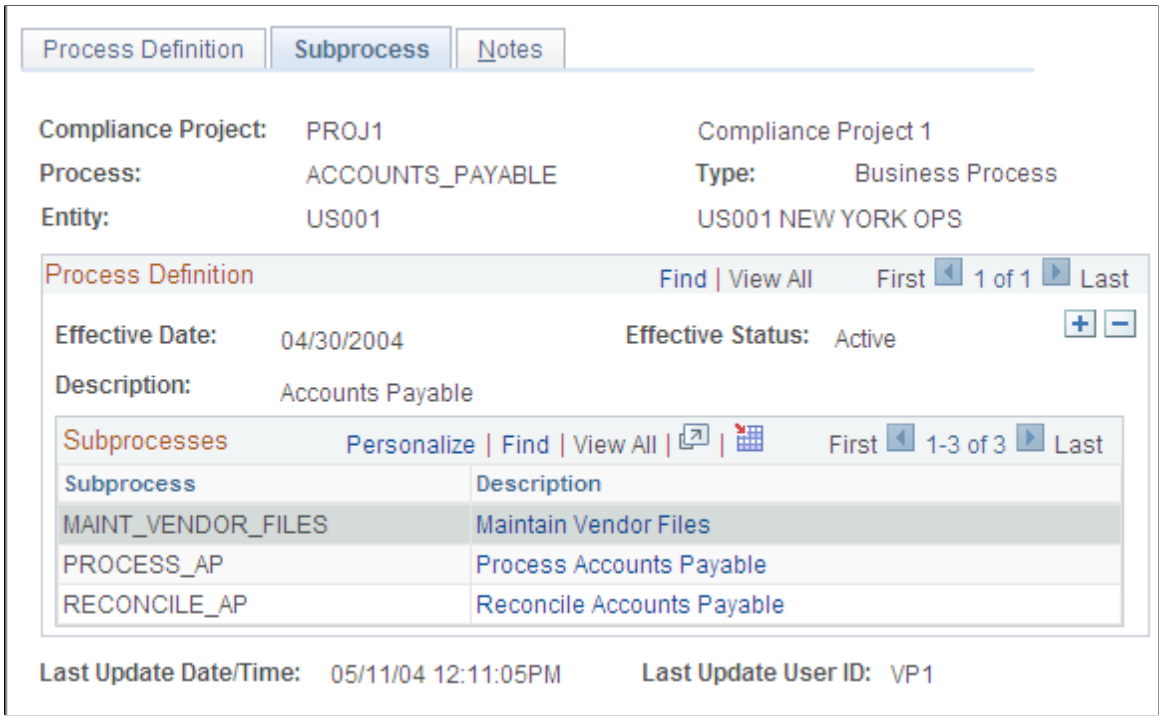
You can access this page only for processes.

Navigation

Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Subprocess

Image: Process Instance Definition - Subprocess page

The Process Instance Definition - Subprocess page that displays subprocesses associated with the business process instance.



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.

Process Instance Definition - Risks/Controls Page

Use the Process Instance Definition - Risks/Controls page (EPQ_BPI_RSK_XRF) to add or update the risks that are associated with a process instance definition.

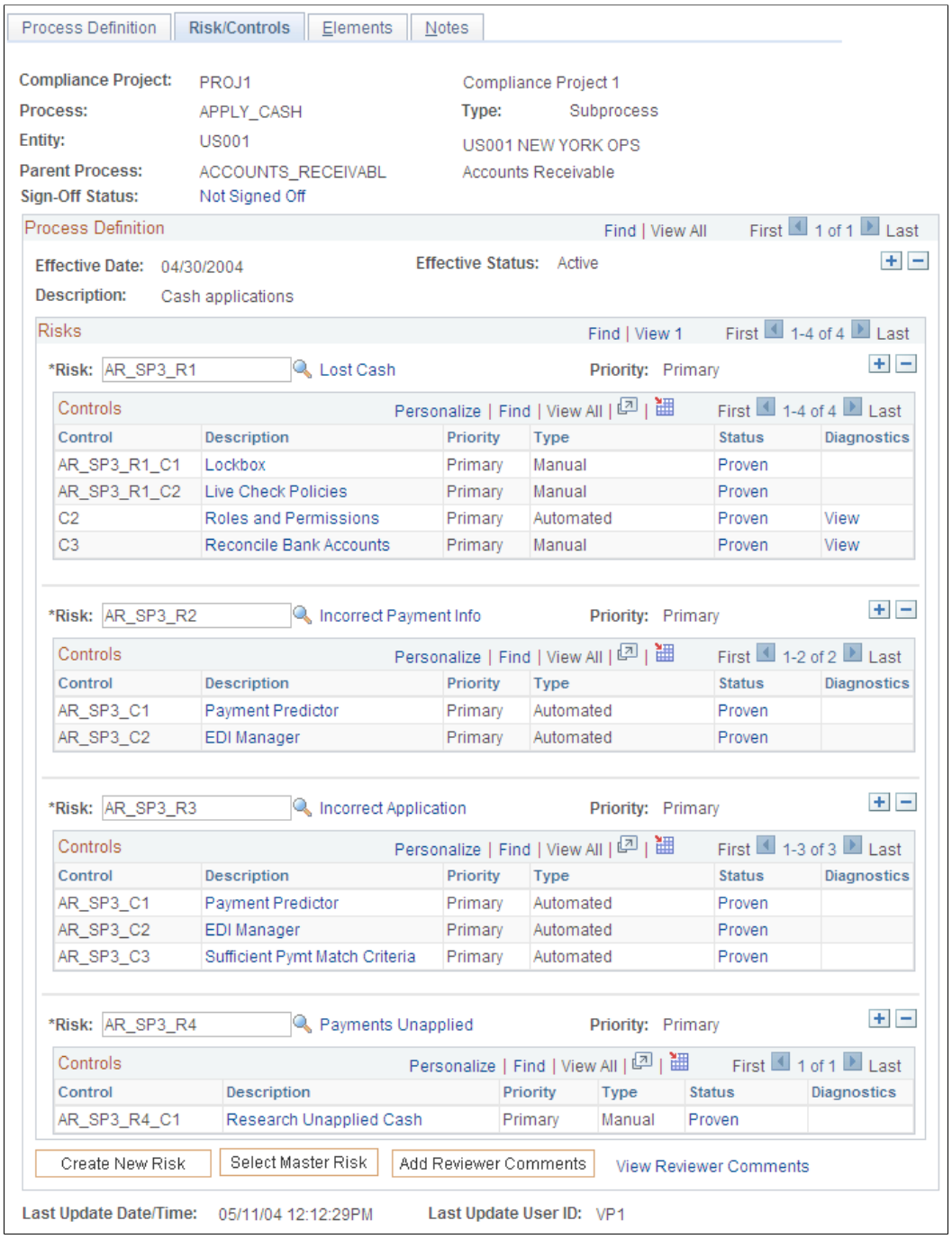
You can access this page only for subprocesses.

Navigation

Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Risks/Controls

Image: Process Instance Definition - Risks/Controls page

This example illustrates the fields and controls on the Process Instance Definition - Risks/Controls page. You can find definitions for the fields and controls later on this 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 *View*, otherwise it is blank. Click *View* to access the Diagnostic Reports By Control page, where you can review the most recent diagnostic report for this control.

Related Links

Understanding the Risk Control Repository
Understanding Subprocess Management

Process Instance Definition - Elements Page

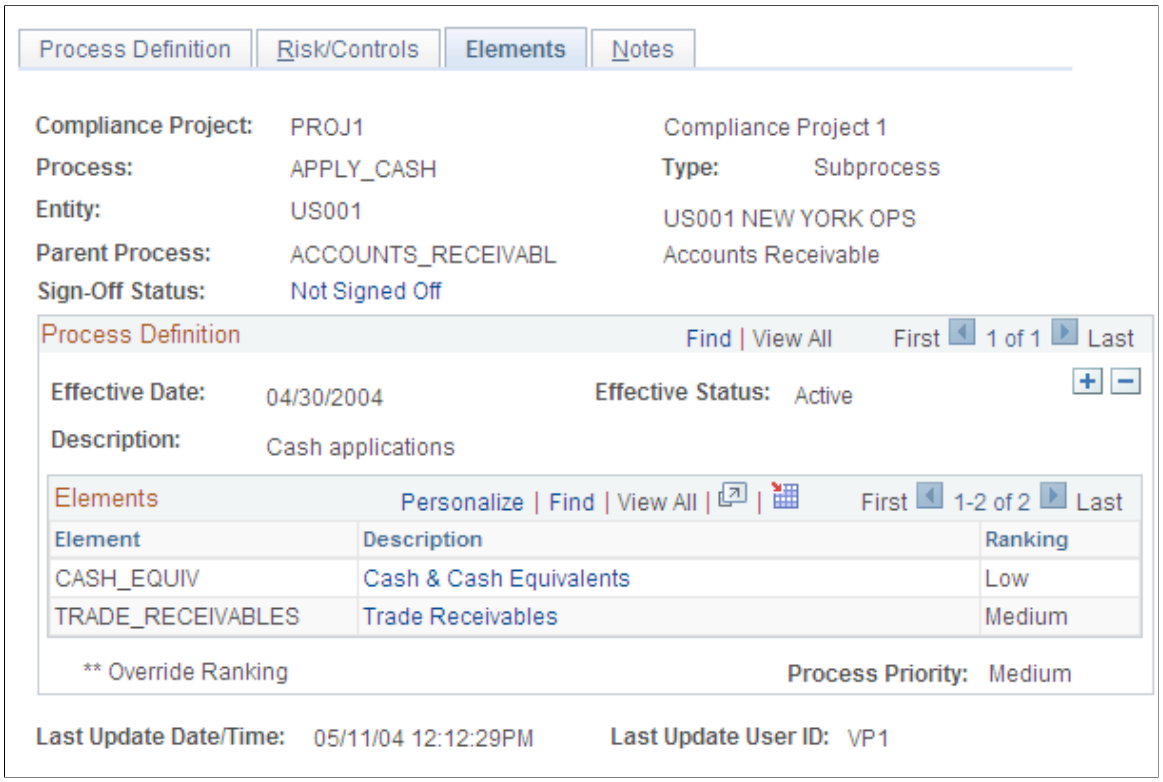
Use the Process Instance Definition - Elements page (EPQ_BPI_ELEM_XRF) to review the elements that are associated with a subprocess instance.

Navigation

Internal Controls Enforcer, Process Instance Setup, Process Instance Definition, Elements

Image: Process Instance Definition - Elements page

The Process Instance Definition - Elements page displays the elements associated with the subprocess instance definition.



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 Entity Definition Page.

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.

Modifying Risk Definition for Process Instance

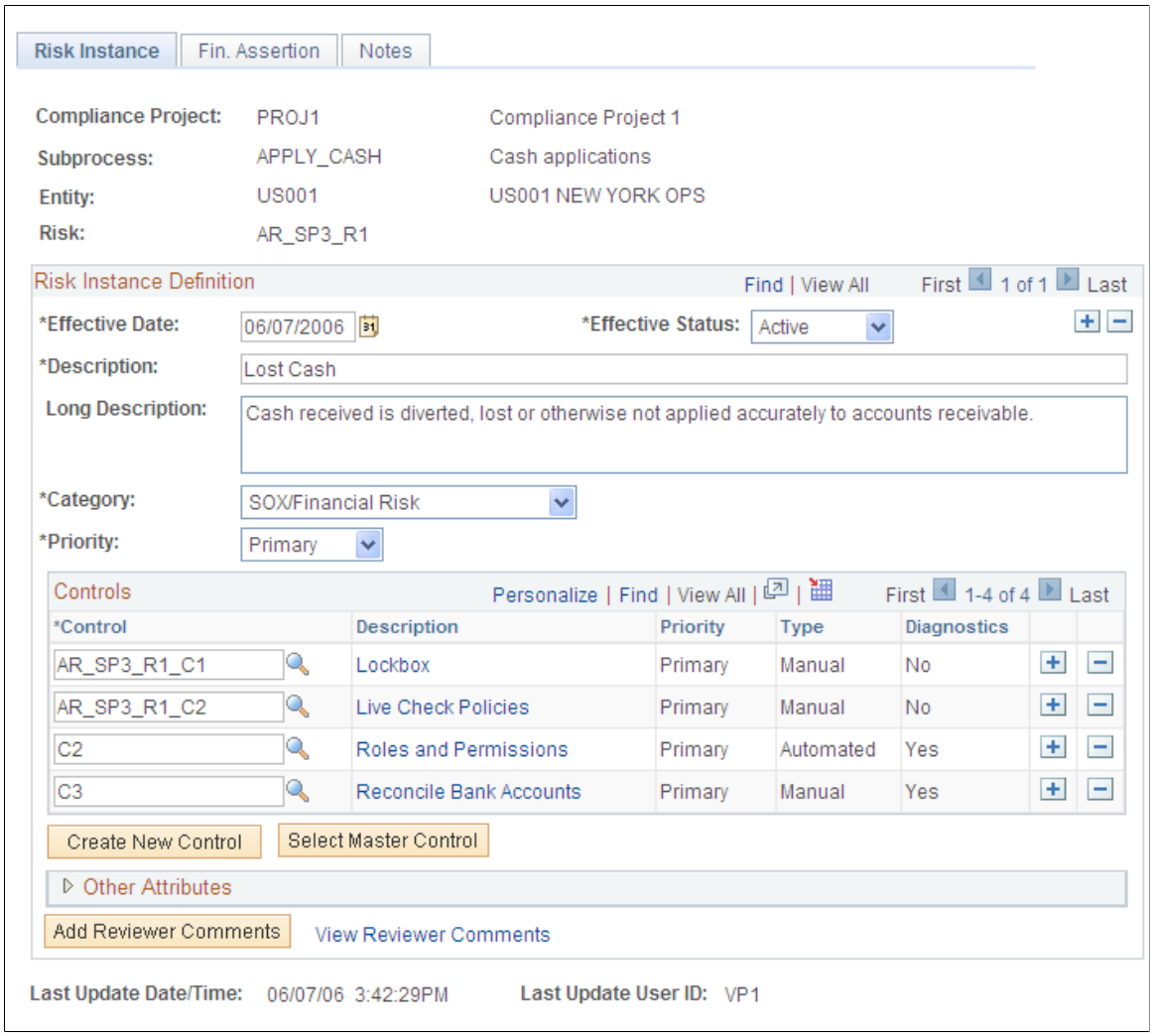
Use the Risk Instance Definition page (EPQ_BPI_RSK_DEF) to add or modify a risk definition for a process instance.

Navigation

Internal Controls Enforcer, Process Instance Setup, Risk Instance Definition, Risk Instance

Image: Risk Instance Definition page

This example illustrates the fields and controls on the Risk Instance page. You can find definitions for the fields and controls later on this 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 Risk Category Definition Page.

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.*

Risk Instance Definition - Financial Assertions Page

Use the Risk Instance Definition - Financial Assertions page (EPQ_BPI_RISK_FIN) to add or modify the financial assertions associated with a risk definition for a process instance.

Navigation

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 Financial Assertion Definition Page.

Modifying Control Definition for Process Instance

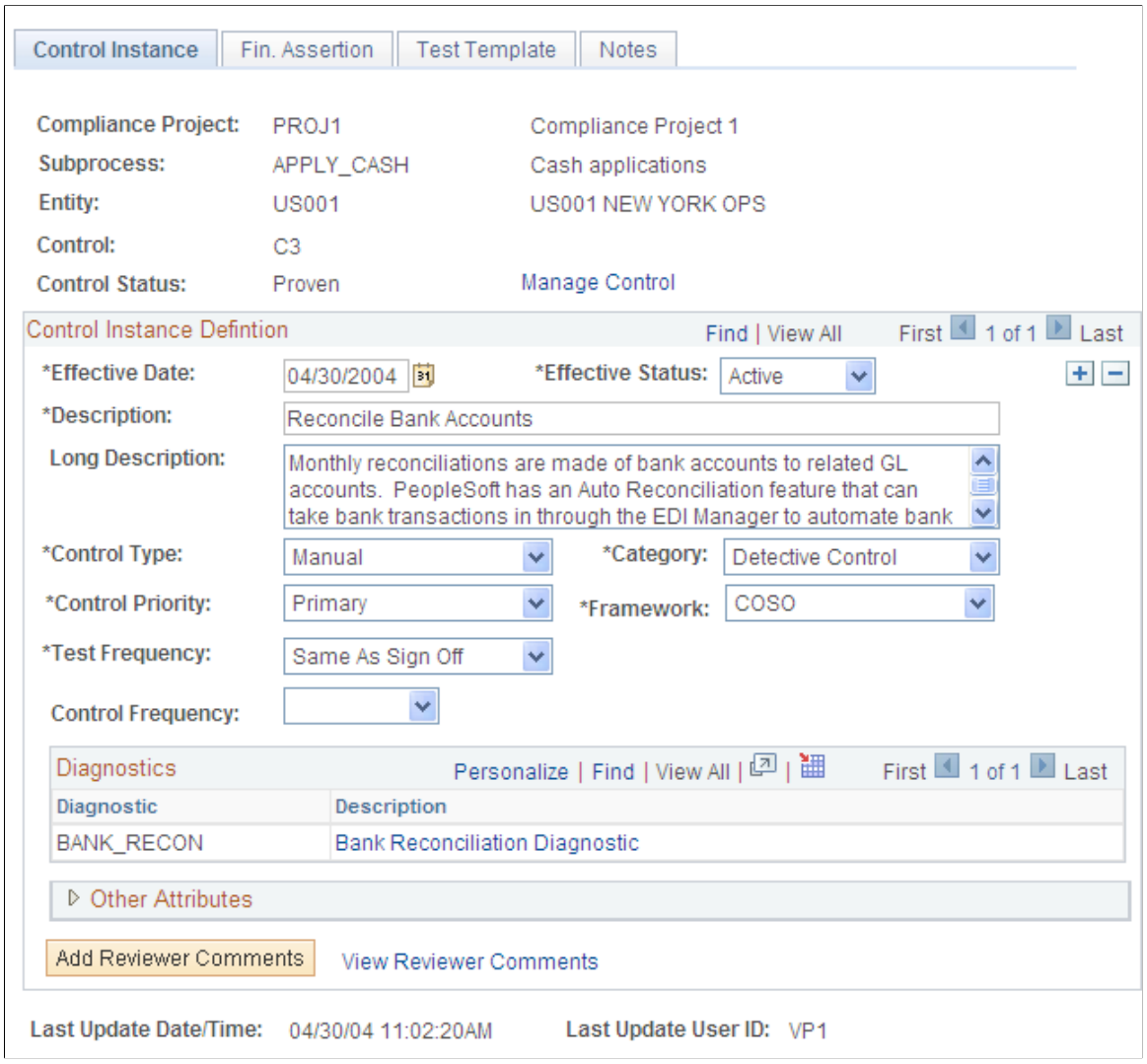
Use the Control Instance Definition page (EPQ_BPI_CTL_DEF) to add or modify a control definition for a process instance.

Navigation

Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Control Instance

Image: Control Instance Definition page

This example illustrates the fields and controls on the Control Instance page. You can find definitions for the fields and controls later on this 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 Select the control category that applies to this control.

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

See Control Category Definition Page.

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

Framework Select the framework under which this control is categorized.

Frameworks are established by using the Framework Definition page.

See Framework Definition Page.

Test Frequency 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:

Annual: Select to indicate that this control needs to be retested annually.

Same as Sign Off: 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 *yes* when the test frequency is set to *Same as Sign Off*. 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 *quarterly,* or *semi-annual,* then the Needs Testing field is set to no.

Control Frequency Select the frequency with which the control operates. Options are: *Annual, Biweekly, Daily, Monthly, Quarterly, Semiannual, Weekly.* 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 and **Description** 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.

Control Instance Definition - Financial Assertions Page

Use the Control Instance Definition - Financial Assertions page (EPQ_BPI_CTL_FIN) to add or modify the financial assertions associated with a control definition for a process instance.

Navigation

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 Financial Assertion Definition Page.

Control Instance Definition - Test Template Page

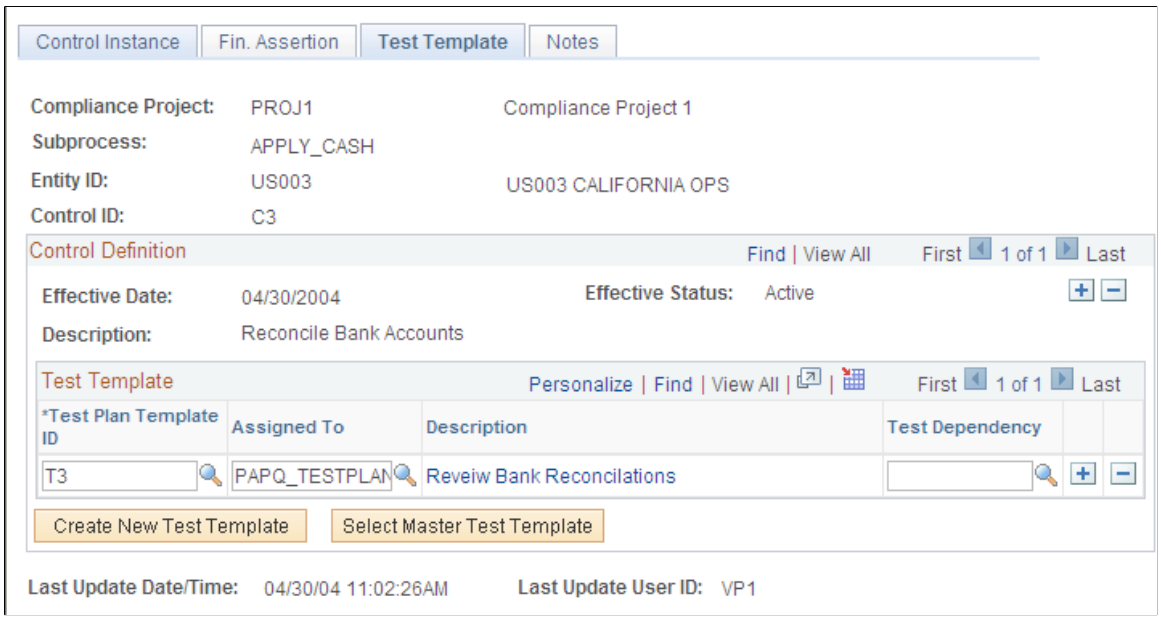
Use the Control Instance Definition - Test Template page (EPQ_BPI_CTL_TMP) to add or modify the test plan templates associated with a control definition for a process instance.

Navigation

Internal Controls Enforcer, Process Instance Setup, Control Instance Definition, Test Template

Image: Control Instance Definition - Test Template page

This example illustrates the fields and controls on the Control Instance Definition - Test Template page. You can find definitions for the fields and controls later on this 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.

Modifying Test Plan Template for Process Instance

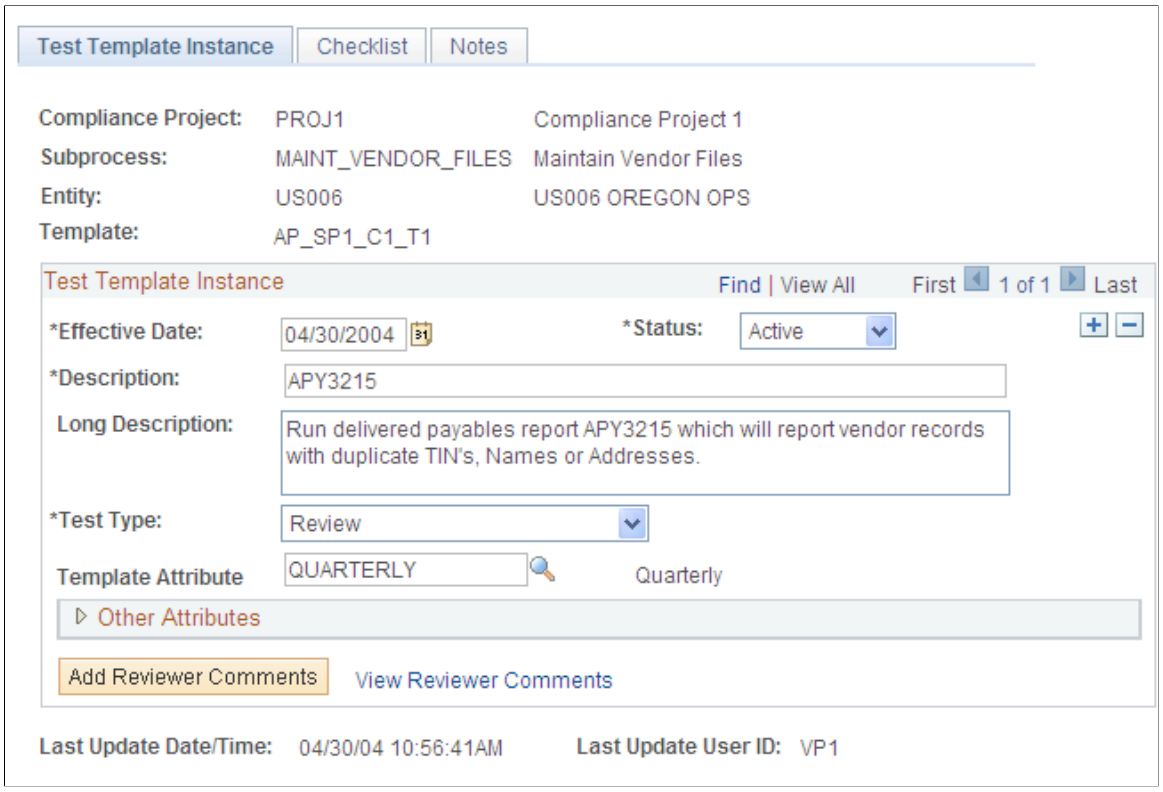
Use the Test Template Instance Definition page (EPQ_BPI_TMP_DEF) to add or modify a test plan template definition for a process instance.

Navigation

Internal Controls Enforcer, Process Instance Setup, Test Template Instance

Image: Test Template Instance Definition page

This example illustrates the fields and controls on the Test Template Instance page. You can find definitions for the fields and controls later on this 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 Template Attribute Definition Page.

Test Template Instance Definition - Checklist Page

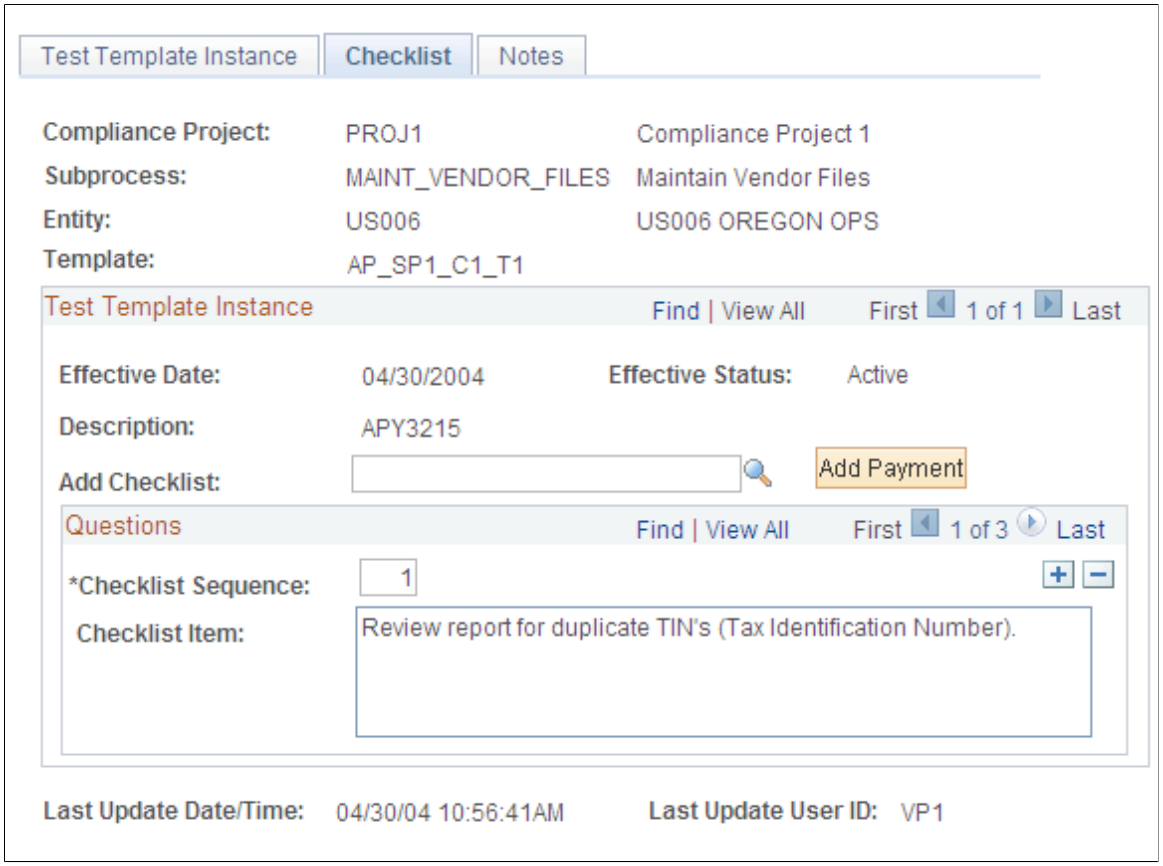
Use the Test Template Instance Definition - Checklist page (EPQ_BPI_TMP_CHK) to modify test template instance checklist items.

Navigation

Internal Controls Enforcer, Process Instance Setup, Test Template Instance, Checklist

Image: Test Template Instance Definition - Checklist page

This example illustrates the fields and controls on the Test Template Instance Definition - Checklist page. You can find definitions for the fields and controls later on this 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.

Work Assignment Page

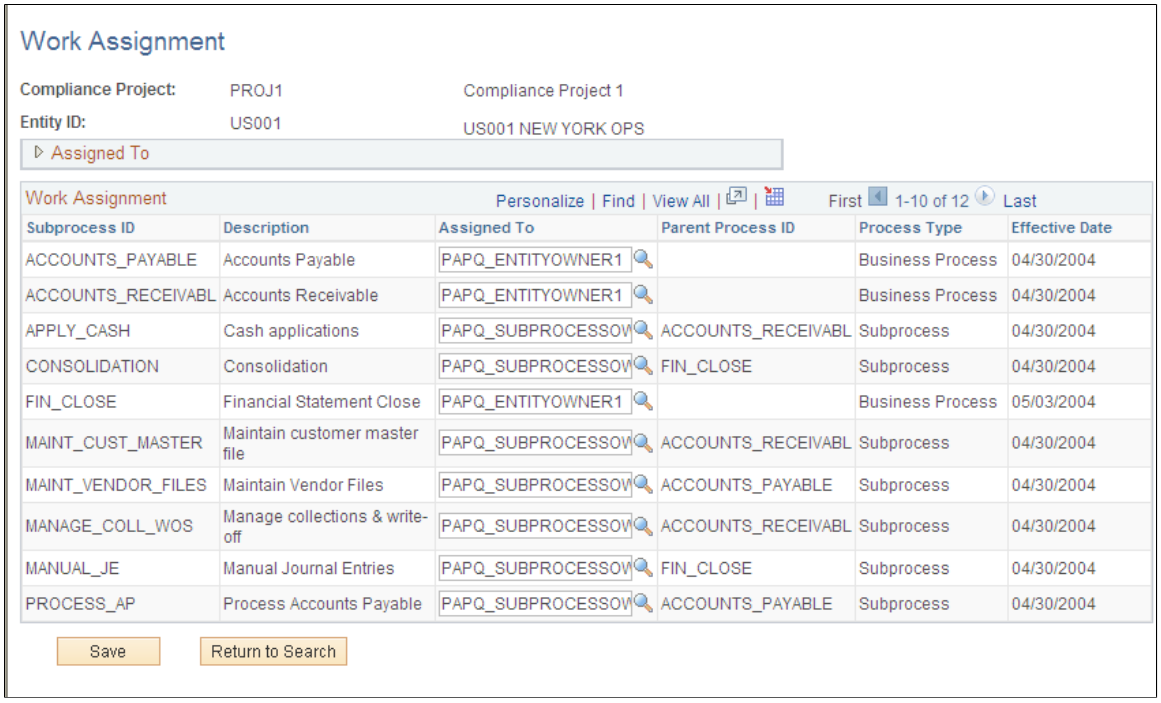
Use the Work Assignment page (EPQ_WORK_ASSIGN) to assign an owner to one or more process instances.

Navigation

Internal Controls Enforcer, Process Instance Setup, Work Assignment

Image: Work Assignment page

The Work Assignment page where you can change the assignment for a subprocess.



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.

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

Page Name	*Definition Name*	*Usage*
Change Manager Page	EPQ_CHG_MGR	Enables entity owners to update their instance definitions with any 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.

Change Manager Page

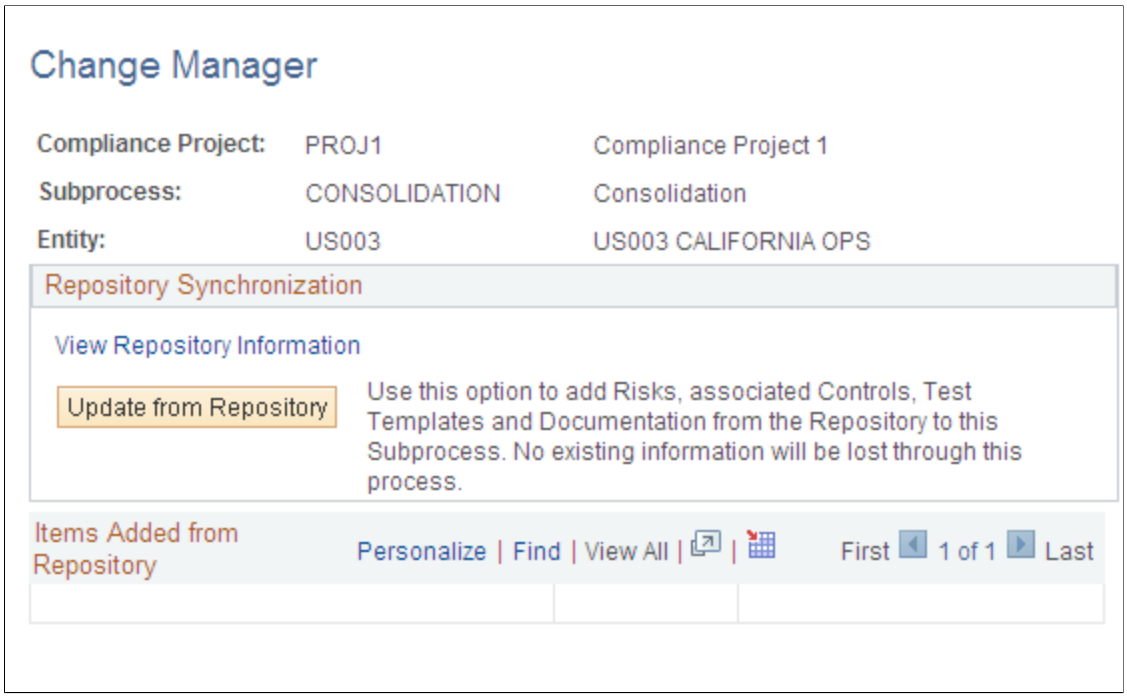
Use the Change Manager page (EPQ_CHG_MGR) to enables entity owners to update their instance definitions with any new risk control repository definitions.

Navigation

Internal Controls Enforcer, Process Instance Setup, Change Manager

Image: Change Manager page

This example illustrates the fields and controls on the Change Manager page. You can find definitions for the fields and controls later on this 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

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 Interaction Hub 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.

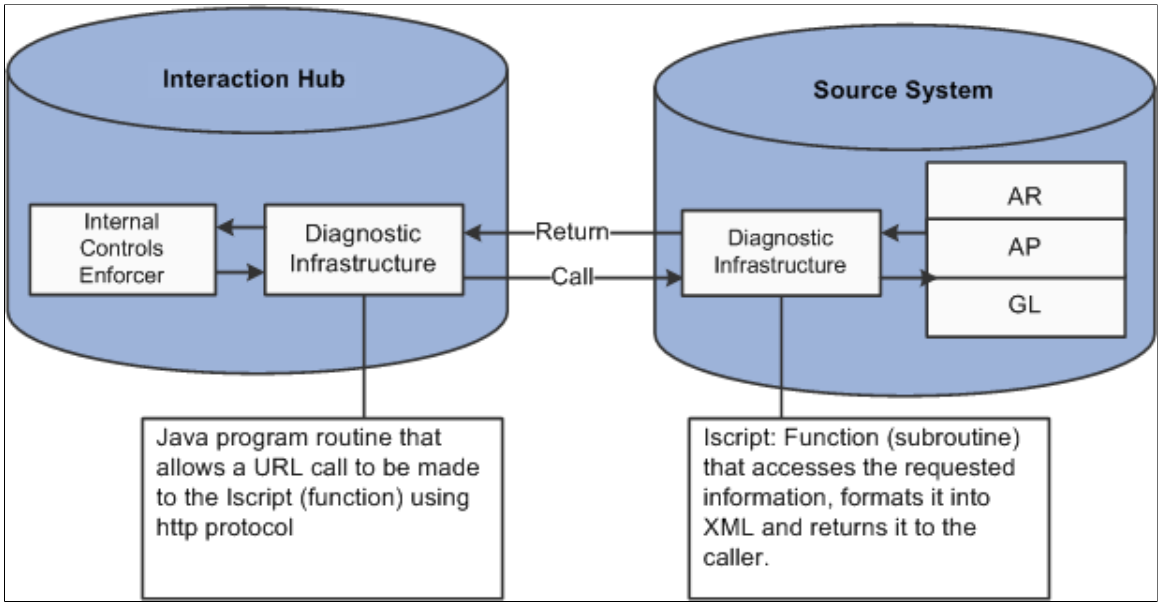
When the Diagnostic Data Feed process runs, it compares the report results with the most recently generated report, and only stores the new report if it differs. This provides an audit trail that tracks whenever there are changes, which you can review by using the Diagnostic Manager page. Because of 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.

Image: Diagnostic architecture and communication between the Interaction Hub

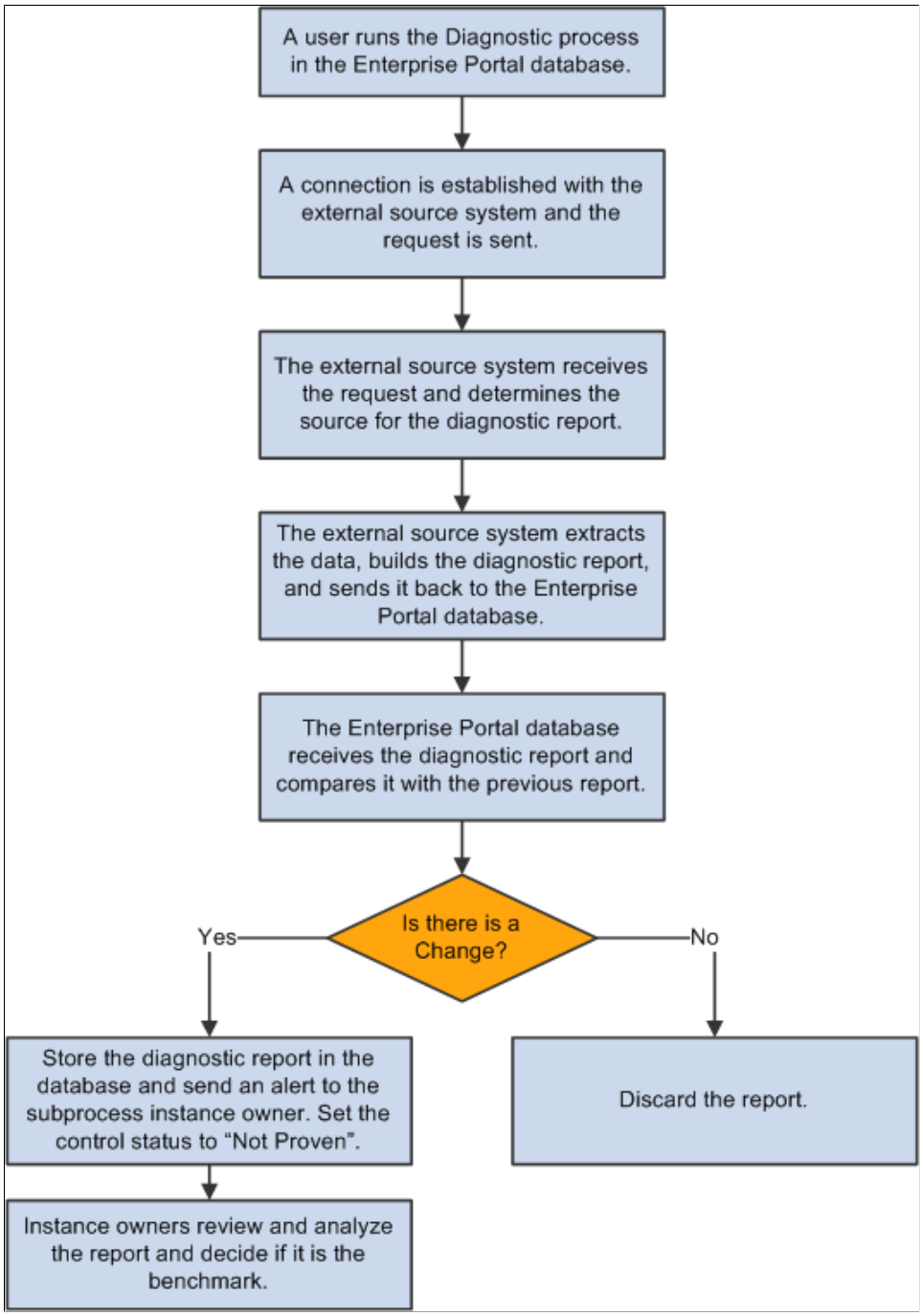
The following diagram depicts the diagnostic architecture, in which the Interaction Hub and the source system communicate using Java routines and Iscript functions.



Diagnostics Data Feed Process Flow

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

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.



Delivered Diagnostics for Oracle's PeopleSoft Enterprise Applications

PeopleSoft Internal Controls Enforcer comes with several predefined diagnostic IDs for use with Oracle's PeopleSoft Financial Management databases, and Oracle's PeopleSoft Enterprise Performance Management databases. Because of the structure of the records in the PeopleSoft 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 Treasury Management	BANK_RECON
Customer Master Credit Limits Audit	Monitors customer credit limit settings.	PeopleSoft 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 General Ledger	EXP_APROVAL_AUDIT1 EXP_APROVAL_AUDIT2 EXP_APROVAL_AUDIT3
GC Consolidation Model Audit	Monitors changes to the consolidation model definition.	PeopleSoft Global Consolidations	GC_CONSOL_MODEL
GC Correction Mode Audit	Monitors the users that have permission to access correction mode for Global Consolidation pages.	PeopleSoft Global Consolidations	GC_CORRECT_MODE
GC Lock / Unlock Periods Audit	Monitors the users that have permission to lock or unlock periods.	PeopleSoft Global Consolidations	GC_LOCK_UNLOCK
GC Ownership Rules Audit	Monitors changes to ownership rules.	PeopleSoft Global Consolidations	GC_OWNERSHIP
GC Row Level Security Audit	Monitors the row level security settings for Global Consolidations.	PeopleSoft Global Consolidations	GC_ROWLEVELSEC
GC Segregation of Duties 1 Audit	Monitors the users that have permission to access both GC setup and GC processing.	PeopleSoft Global Consolidations	GC_SEG_DUTIES1

Audit	*Description*	*Source System*	*Diagnostic IDs*
GC Segregation of Duties 2 Audit	Monitors the users that have permission to access both journal entry and journal approval.	PeopleSoft 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 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 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 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 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 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 Payables	VCHR_ENTRY_LIMITS
Write-Off Audit	Tracks write-off limits on maintenance and payment worksheets for both manual and automated functions.	PeopleSoft 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 Define Diagnostic Source Page.

Single Signon Prerequisite

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

See the product documentation for *PeopleTools: 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 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_APMATCHAUDITPOS
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: • 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: • FromCustomer • ToCustomer	PeopleSoft EnterpriseOne Accounts Receivable	E1_CREDITLIMITS
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

Audit	Description	Source System	Diagnostic IDs
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 topic discusses the diagnostic setup steps.

Pages Used to Establish Diagnostics

Page Name	Definition Name	Usage
Define Diagnostic Source Types Page	EPQ_SRCTYPE_DEFN	Define the types of external source systems that are used for diagnostics.
Define Diagnostic Source Page	EPQ_SRC_DEFN	Define the location of the external source system to use for diagnostics.

Page Name	*Definition Name*	*Usage*
Define Query Reference Page	EPQ_QRY_DEFN	Define references to queries that exist in the external source system.
Define Function Reference Page	EPQ_FUNC_DEFN	Define references to functions that exist in the external source system.
Define SQL Reference Page	EPQ_SQL_DEFN	Define SQL to use in diagnostics.
Define Diagnostics Page	EPQ_DIAG_DEFN	Define a diagnostic, specifying the external source that it uses and how it is accessed, and the query or function it executes.

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 the PeopleSoft Internal Controls Enforcer Diagnostics Red Paper (access the customer connection website and select Implement, Optimize, and Upgrade » Implementation Guide » Implementation Documentation and Software » Red Paper Library, PeopleTools, PeopleSoft Interaction Hub, and Other Technology).

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.

Define Diagnostic Source Types Page

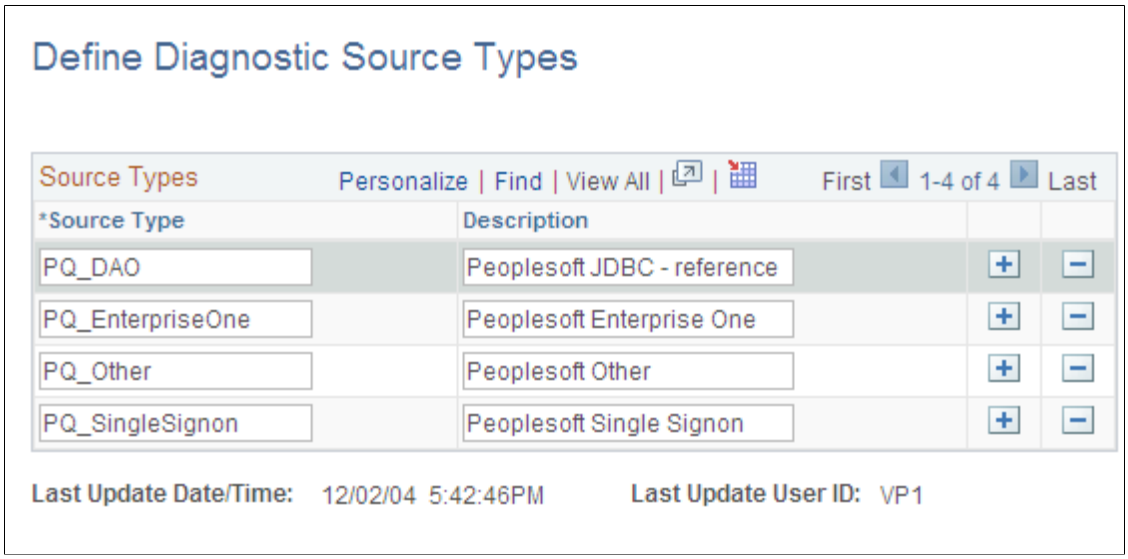
Use the Define Diagnostic Source Types page (EPQ_SRCTYPE_DEFN) to define the types of external source systems that are used for diagnostics.

Navigation

Internal Controls Enforcer, Master Setup, Diagnostic Setup, Source Type Definition

Image: Define Diagnostic Source Types page

This example illustrates the fields and controls on the Define Diagnostic Source Types page. You can find definitions for the fields and controls later on this 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 Financial Management databases without single signon. This is provided only as an example.

- PQ_SingleSignon.

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

See the PeopleSoft Internal Controls Enforcer Diagnostics Red Paper (access the customer connection website and select Implement, Optimize, and Upgrade » Implementation Guide » Implementation Documentation and Software » Red Paper Library, PeopleTools, PeopleSoft Interaction Hub, and Other Technology).

Define Diagnostic Source Page

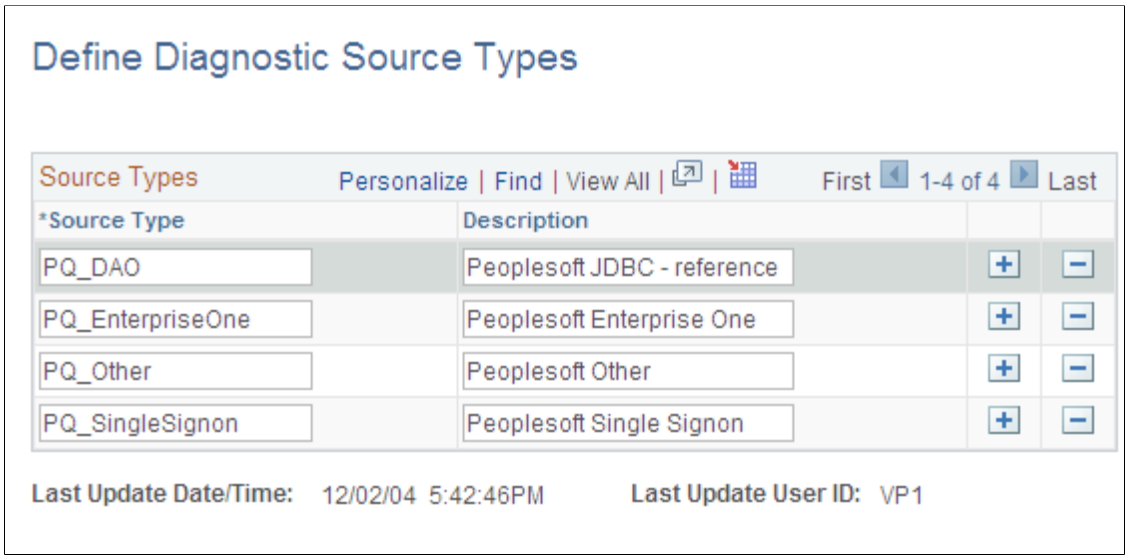
Use the Define Diagnostic Source page (EPQ_SRC_DEFN) to define the location of the external source system to use for diagnostics.

Navigation

Internal Controls Enforcer, Master Setup, Diagnostic Setup, Source Definition

Image: Define Diagnostic Source page

This example illustrates the fields and controls on the Define Diagnostic Source page. You can find definitions for the fields and controls later on this 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

Specify the source type. You establish source types by using the Define Diagnostic Source Types page.

See Define Diagnostic Source Types Page.

<source type description>

Click to access the Define Diagnostic Source Types page, where you can review the definition of the source type.

Login URL

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.

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.

For PeopleSoft Enterprise the syntax for the login URL is:

<Scheme>://<server>[:<port>]/<servlet_name>/<SiteName>/?cmd=login

Example login URL:

http://jbeltz050203.peoplesoft.com/psp/ps/?cmd=login

For PeopleSoft EnterpriseOne, the syntax for the login URL is:

<Scheme>://<server>.<domain>:<port>/invoke/PSFT_EnterpriseOne_ICE.Diagnostics:

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.

Example login URL:

http://pidnts3.peoplesoft.com:7777/invoke/PSFT_EnterpriseOne_ICE.Diagnostics:

For DAO-based sources, specify the DAO implementation class name.

Data URL

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.

For PeopleSoft Enterprise, the syntax for the data URL is:

<Scheme>://<server>[:<port>]/<servlet_name>/<SiteName>/<PortalName>/<NodeName>/<content_type>/<content_id>?<content_parm>

Example data URL:

http://jbeltz050203.peoplesoft.com/psc/ps/EMPLOYEE/ERP/s/WEBLIB_EPQDN.ISCRIPT_PQDIAG.FieldFormula.iScript_getDiag

For PeopleSoft EnterpriseOne, use the same value you use for the Login URL field.

For DAO-based sources, specify the DAO implementation class name.

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.

Syntax Element	*Definition*
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: `Record.Field.Event.Function`
?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 Internal Controls Enforcer General Preferences Page.

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.

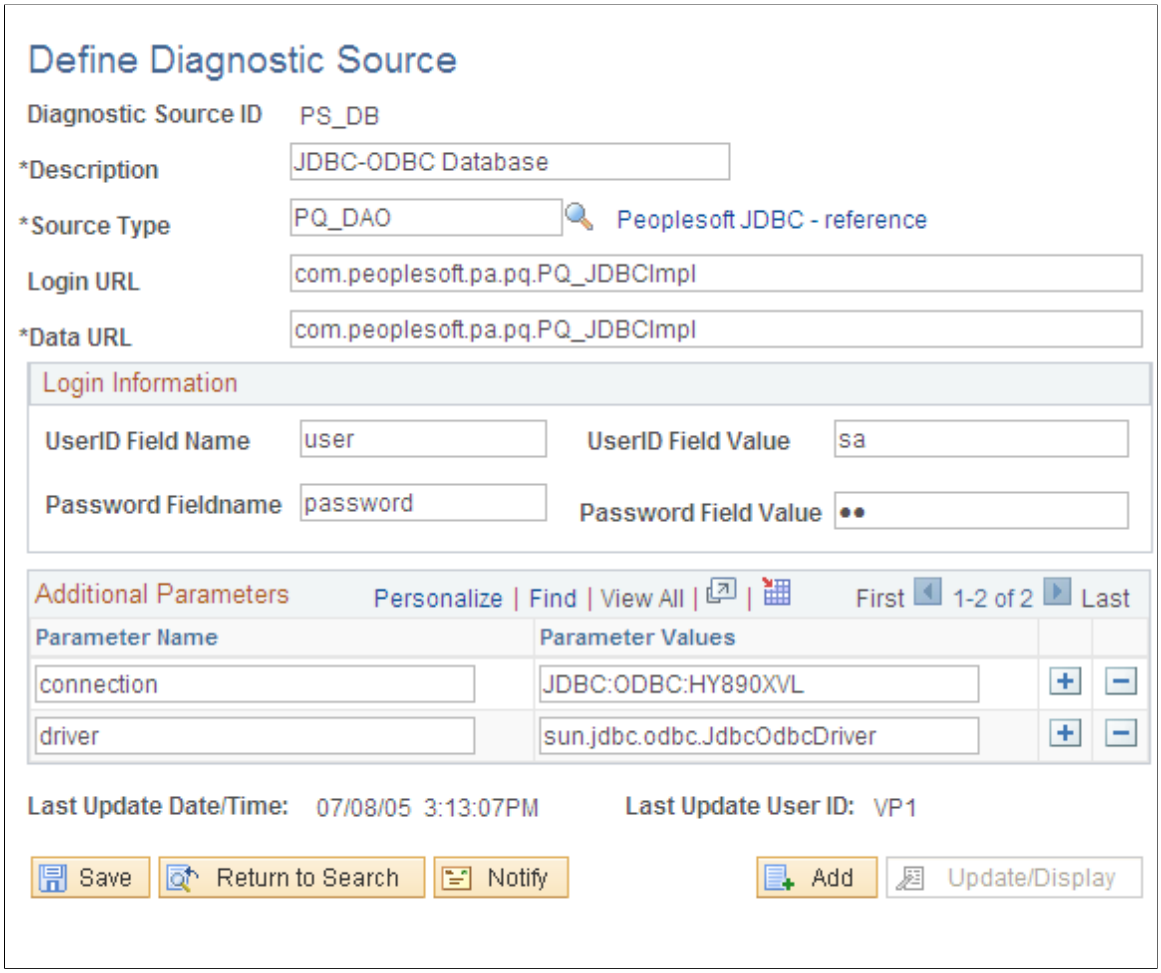
For DAO-based data sources, you are required to provide values for the connection and driver parameters, as they specify the JDBC driver to use and the source to connect to. To use the JDBC-ODBC bridge that is delivered with PeopleTools, enter the following parameter names and values, substituting your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

Parameter Name	***Parameter Values***
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.

Image: Define Diagnostic Source page

This example illustrates Additional Parameters and DAO-based data source on the Define Diagnostic Source page.



Define Query Reference Page

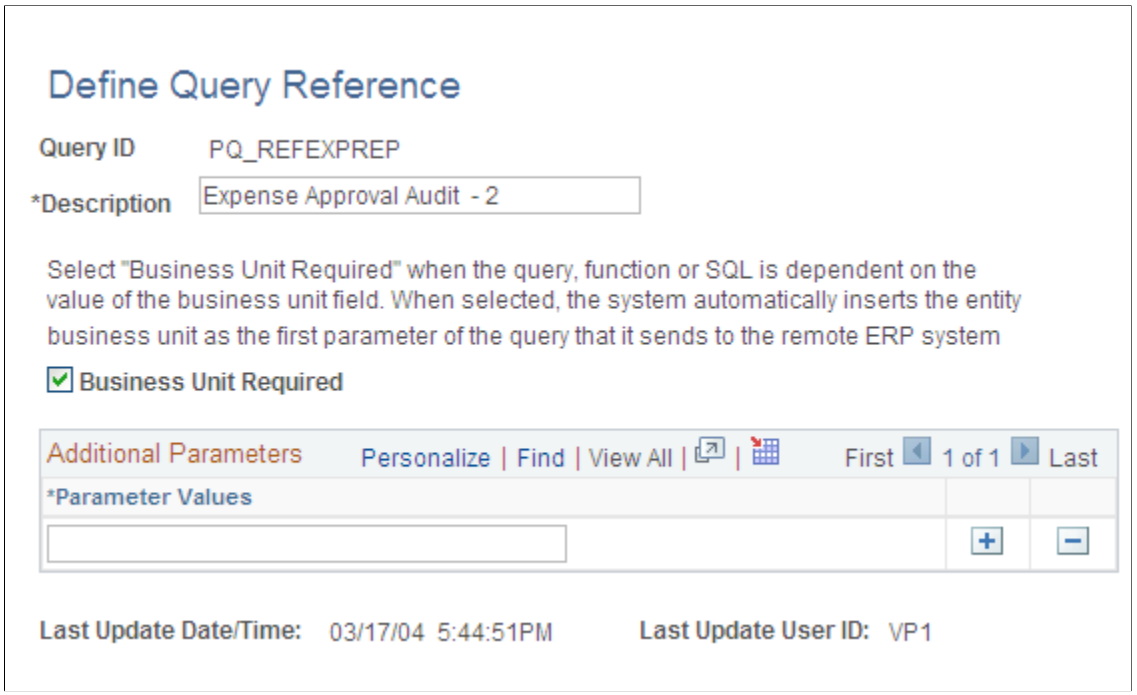
Use the Define Query Reference page (EPQ_QRY_DEFN) to define references to queries that exist in the external source system.

Navigation

Internal Controls Enforcer, Master Setup, Diagnostic Setup, Query Definition

Image: Define Query Reference page

This example illustrates the fields and controls on the Define Query Reference page. You can find definitions for the fields and controls later on this 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 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 Entity Definition Page.

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.

Define Function Reference Page

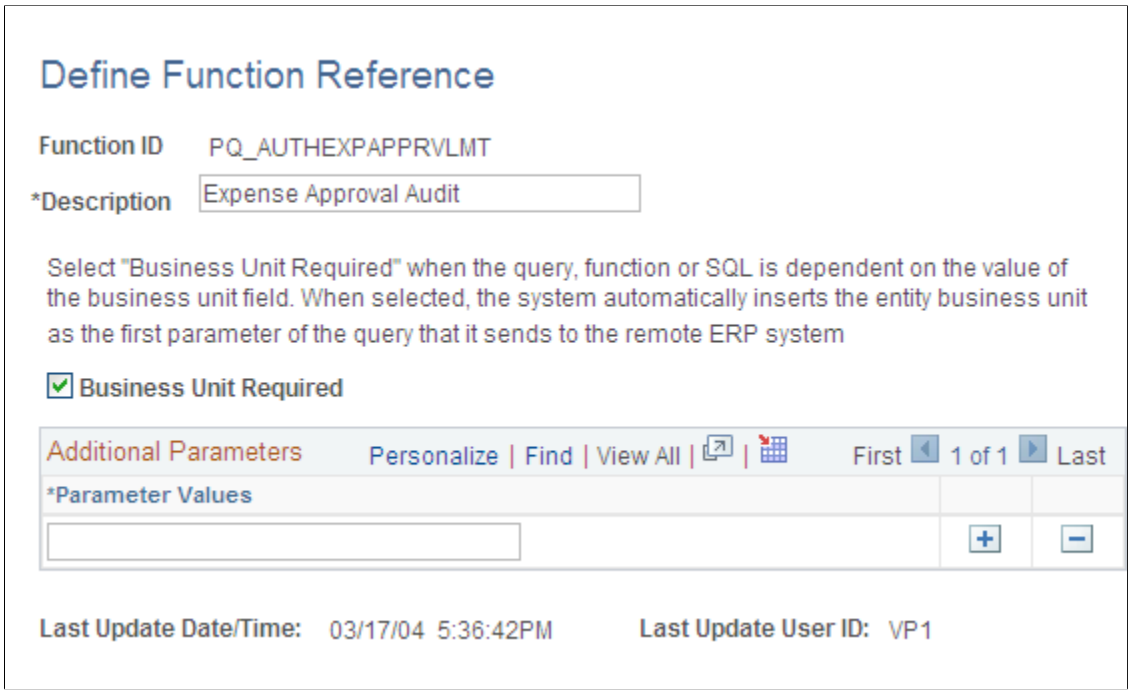
Use the Define Function Reference page (EPQ_FUNC_DEFN) to define references to functions that exist in the external source system.

Navigation

Internal Controls Enforcer, Master Setup, Diagnostic Setup, Function Definition

Image: Define Function Reference page

This example illustrates the fields and controls on the Define Function Reference page. You can find definitions for the fields and controls later on this 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 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 Entity Definition Page.

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.

Define SQL Reference Page

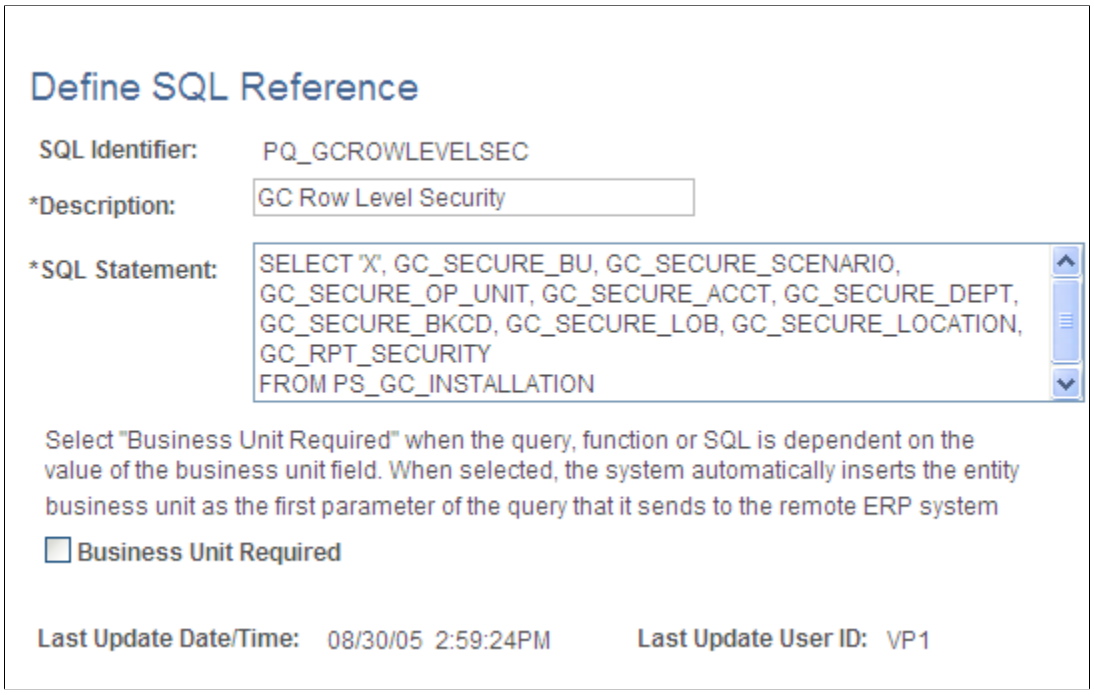
Use the Define SQL Reference page (EPQ_SQL_DEFN) to define SQL to use in diagnostics.

Navigation

Internal Controls Enforcer, Master Setup, Diagnostic Setup, SQL Definition

Image: Define SQL Reference page

This example illustrates the fields and controls on the Define SQL Reference page. You can find definitions for the fields and controls later on this 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 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 Entity Definition Page.

Define Diagnostics Page

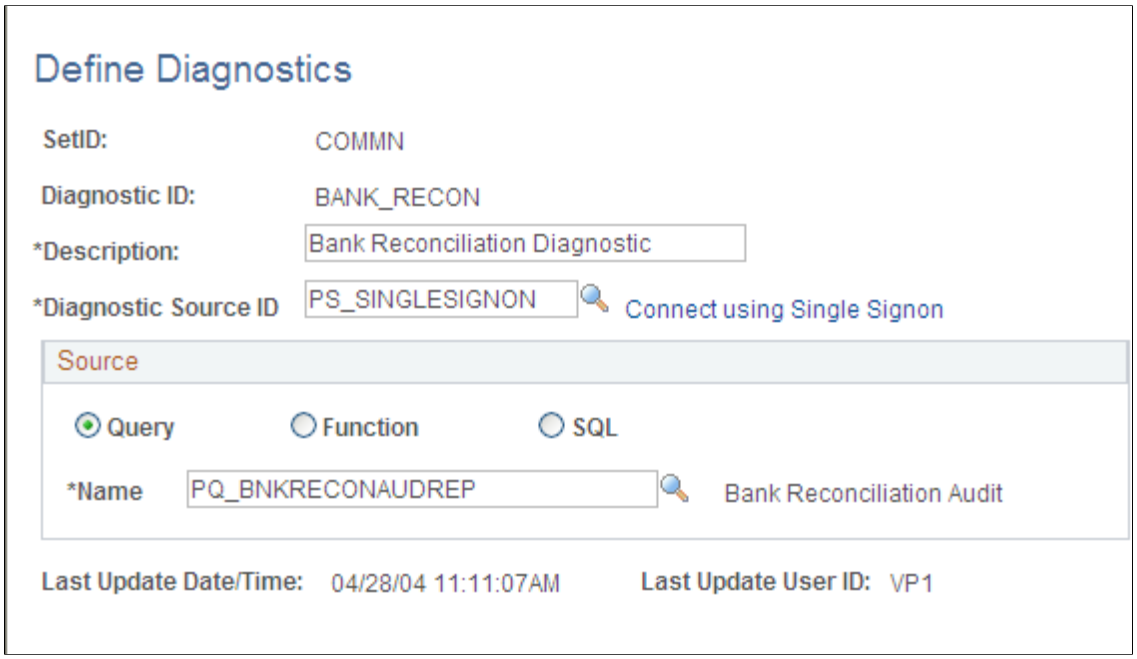
Use the Define Diagnostics page (EPQ_DIAG_DEFN) to define a diagnostic, specifying the external source that it uses and how it is accessed, and the query or function it executes.

Navigation

Internal Controls Enforcer, Master Setup, Diagnostic Setup, Diagnostic Definition

Image: Define Diagnostics page

This example illustrates the fields and controls on the Define Diagnostics page. You can find definitions for the fields and controls later on this 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 Define Diagnostic Source Page.

<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 Define Query Reference Page.

See Define Function Reference Page.

See Define SQL Reference Page.

Processing Diagnostics

This topic discusses running the Diagonostic Data Feed process and viewing the status of diagnostic runs.

Pages Used to Process Diagnostics

Page Name	*Definition Name*	*Navigation*	*Usage*
Diagnostic Data Feed Page	EPQ_DIAGNOSTIC_RUN	Internal Controls Enforcer, Manage Diagnostic Feed, Run Diagnostic Feed	Runs the Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH).
Diagnostics Run Log Page	EPQ_RUN_LOG	• 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.

Diagnostic Data Feed Page

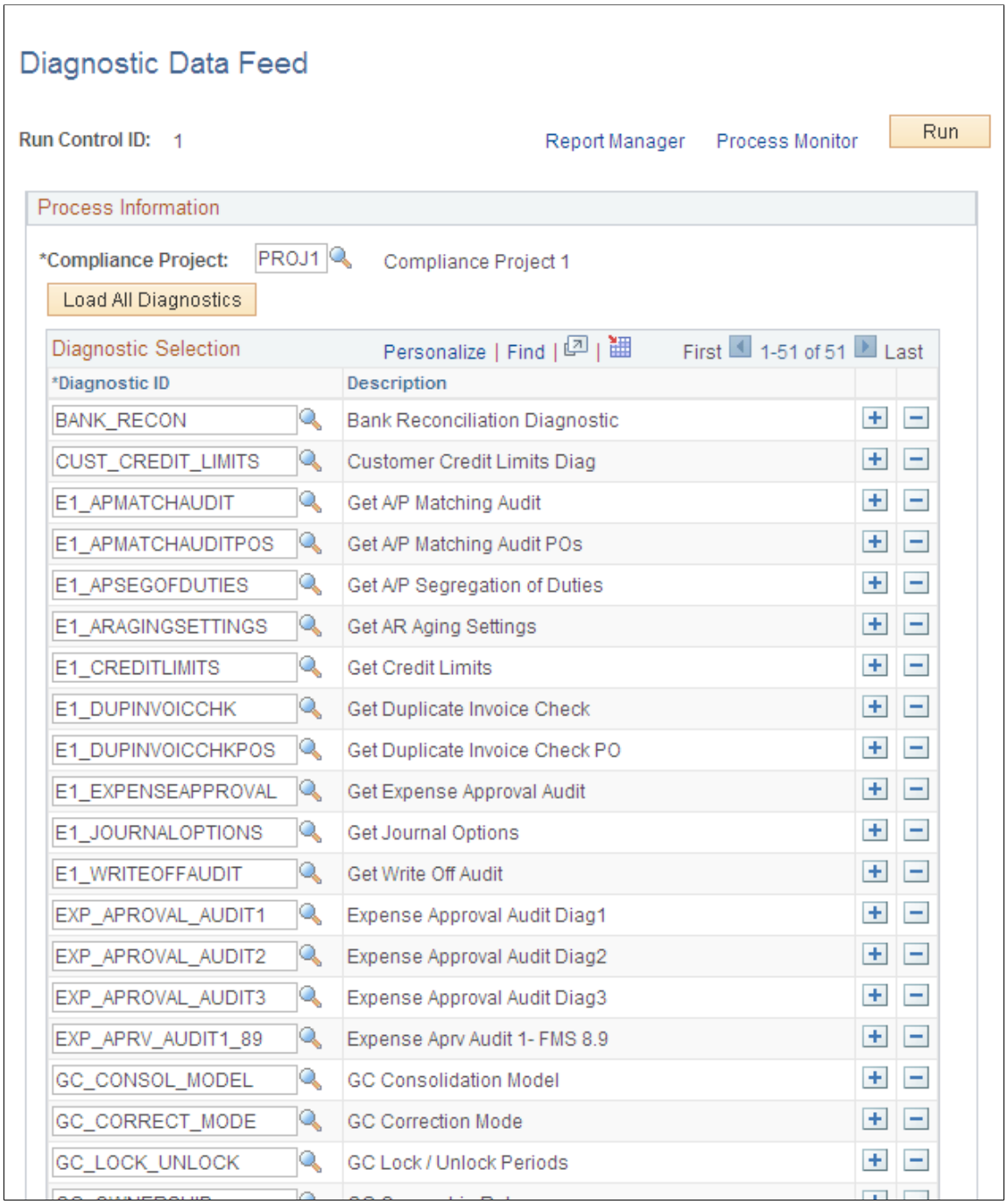
Use the Diagnostic Data Feed page (EPQ_DIAGNOSTIC_RUN) to runs the Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH).

Navigation

Internal Controls Enforcer, Manage Diagnostic Feed, Run Diagnostic Feed

Image: Diagnostic Data Feed run control page

This example illustrates the fields and controls on the Diagnostic Data Feed page. You can find definitions for the fields and controls later on this 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 Diagnostics Run Log Page.
Run	Click to run the Diagnostic Data Feed Application Engine process (EPQ_DIAG_FCH).

See the product documentation for *PeopleTools: Applications User's Guide*.

See the product documentation for *PeopleTools: Process Scheduler*.

Diagnostics Run Log Page

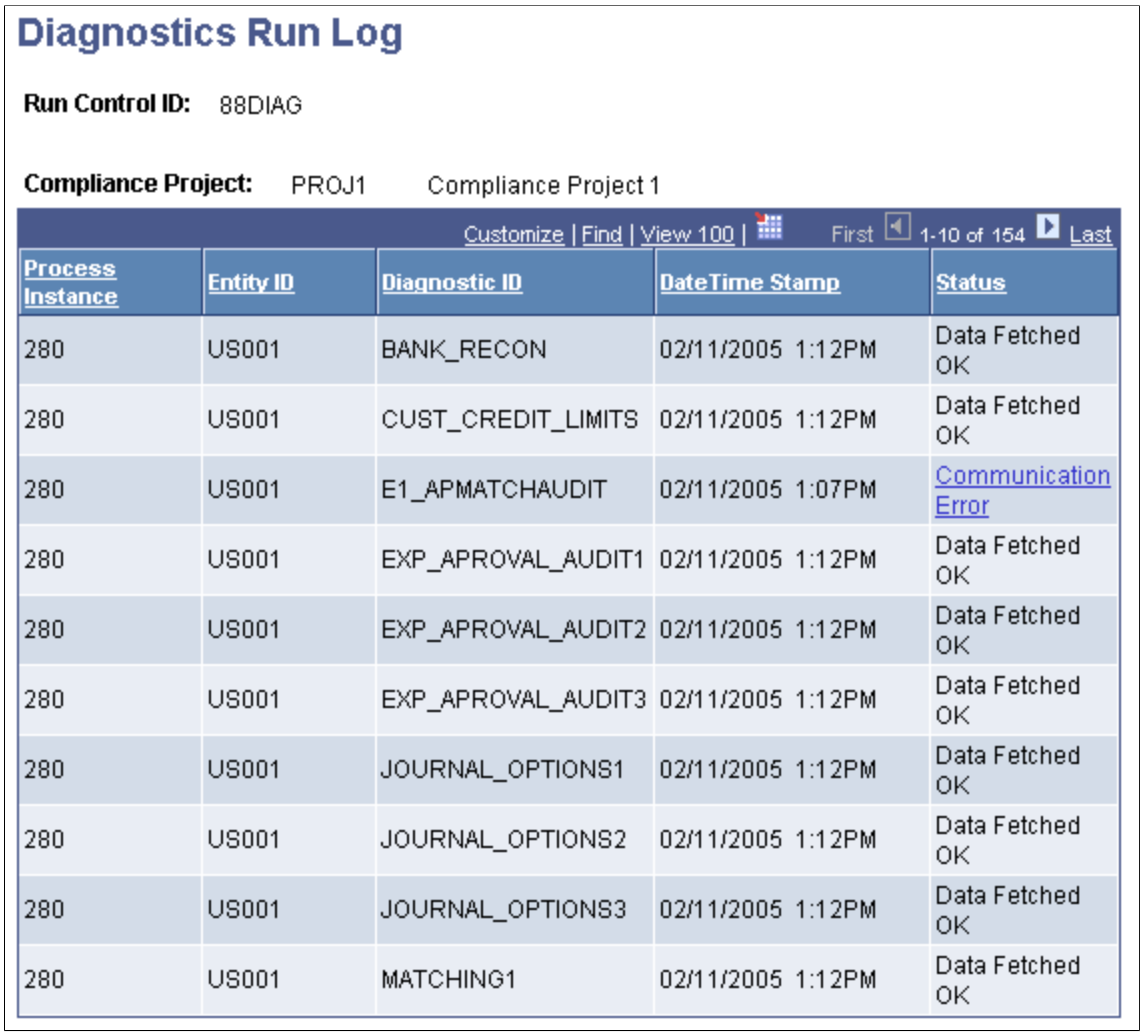
Use the Diagnostic Run Log page (EPQ_RUN_LOG) to view the status for Diagnostic Data Feed process runs.

Navigation

- Internal Controls Enforcer, Manage Diagnostic Feed, Diagnostic Run Log
- Click Run Log on the Diagnostic Data Feed page.

Image: Diagnostics Run Log page

This example illustrates the fields and controls on the Diagnostics Run Log page. You can find definitions for the fields and controls later on this page.



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	DateTime 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_APROVAL_AUDIT1	02/11/2005 1:12PM	Data Fetched OK
280	US001	EXP_APROVAL_AUDIT2	02/11/2005 1:12PM	Data Fetched OK
280	US001	EXP_APROVAL_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

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 Displays the results of the diagnostic run. Values are:

Data Fetched OK: Indicates that the diagnostic run completed and the external source data was successfully retrieved.

Exceeded Row Limit of 1000: 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.

Exceeded Column Limit of 30: 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.

Query/Function Error: Indicates that the query or function executed, but an error occurred.

Invalid XML: Indicates the XML was not in the required XSD format.

Communication Error: 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.

See Diagnostic Error XML Page.

Number of rows - Mismatched: 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 Interaction Hub 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 Interaction Hub database.

Number of columns - Mismatched: 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 Interaction Hub 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 Interaction Hub database.

Query/Function not exists: Indicates that the query ID or function ID used for the diagnostic does not exist in the external source system.

Viewing Diagnostic Processing Errors

This topic discusses viewing diagnostic errors.

Pages Used to View Diagnostic Processing Errors

Page Name	*Definition Name*	*Usage*
Diagnostic Errors Selection Page	EPQ_DIAG_ERRSEL	Enter criteria for viewing diagnostic errors.
Diagnostic Errors Page	EPQ_DIAG_ERRMGR	Review errors encountered during diagnostic processing.
Diagnostic Error XML Page	EPQ_DIAG_ERRXML	View the XML code returned by an unsuccessful diagnostic run, to help determine why the run failed.

Diagnostic Errors Selection Page

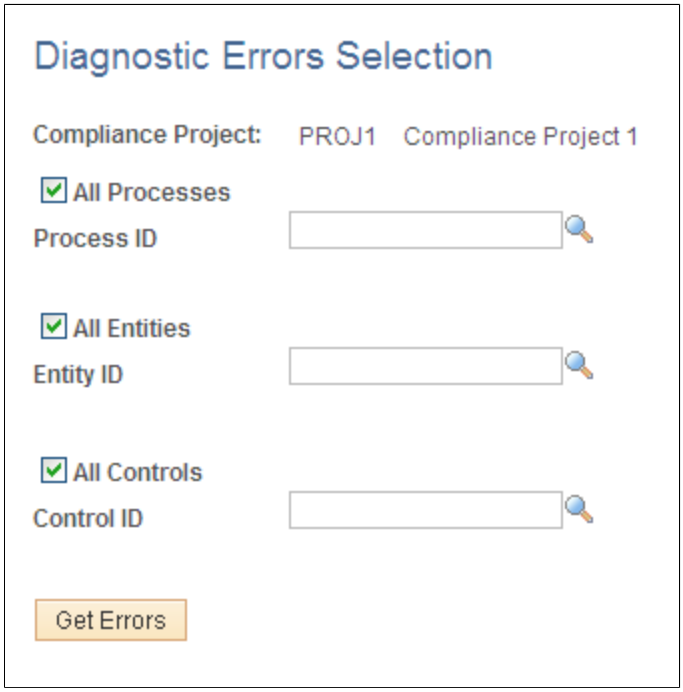
Use the Diagnostic Errors Selection page (EPQ_DIAG_ERRSEL) to enter criteria for viewing diagnostic errors.

Navigation

Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Errors

Image: Diagnostic Errors Selection page

This example illustrates the fields and controls on the Diagnostic Errors Selection page. You can find definitions for the fields and controls later on this 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.

Diagnostic Errors Page

Use the Diagnostic Errors page (EPQ_DIAG_ERRMGR) to review errors encountered during diagnostic processing.

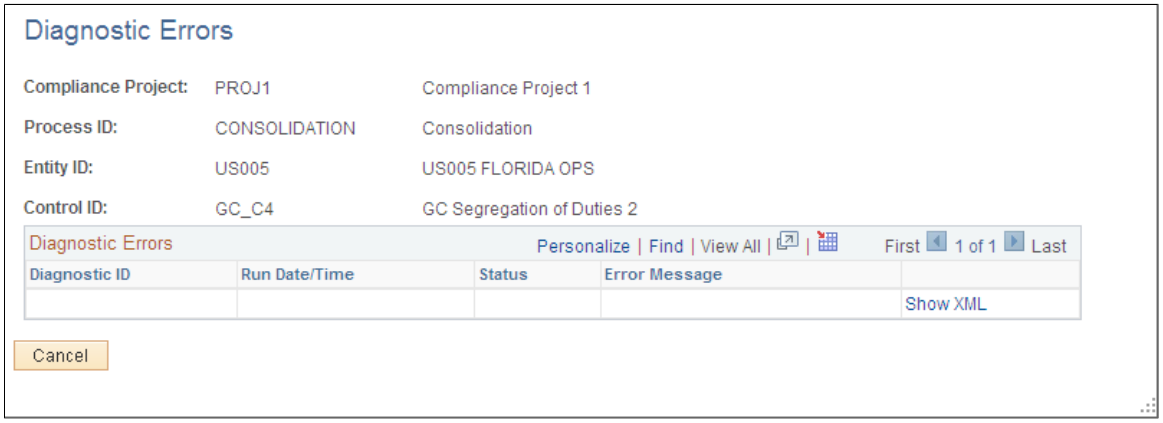
Navigation

- Click the Get Errors button on the Diagnostic Errors Selection page.
- Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Manager

  Click the Diagnostic Errors Exist! link.

Image: Diagnostic Errors page

This example illustrates the fields and controls on the Diagnostic Errors page. You can find definitions for the fields and controls later on this 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 Diagnostics Run Log Page.
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 Diagnostic Error XML Page.

Diagnostic Error XML Page

Use the Diagnostic Error XML page (EPQ_DIAG_ERRXML) to view the XML code returned by an unsuccessful diagnostic run, to help determine why the run failed.

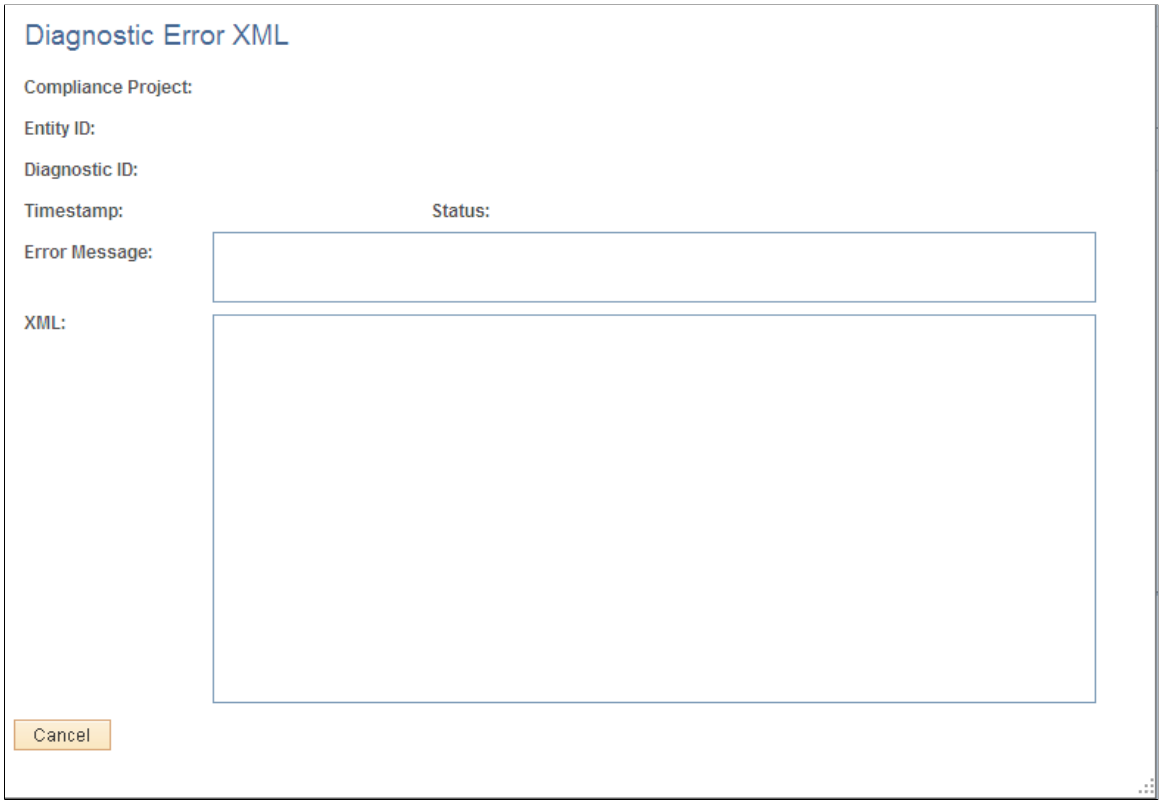
Navigation

- Click the Show XML button on the Diagnostic Errors page.
- Internal Controls Enforcer, Manage Diagnostic Feed, Diagnostic Run Log

  Click the Communication Error link.

Image: Diagnostic Error XML page

This example illustrates the fields and controls on the Diagnostic Error XML page. You can find definitions for the fields and controls later on this 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 topic discusses various aspects of viewing diagnostic reports.

Pages Used to View Diagnostic Reports and Manage Benchmarks

Page Name	*Definition Name*	*Usage*
Diagnostic Manager Page	EPQ_DIAG_MGR	Review and set benchmarks, access diagnostic report details, select versions of diagnostic reports to compare, set display options for comparing diagnostics.
Diagnostic Report Page	EPQ_DIAG_RPT	Shows details for a specific run of a single diagnostic report.
Diagnostic Reports by Control Page	EPQ_DIAG_BY_CTRL	View diagnostic results of the most recent diagnostic run for all of the diagnostics associated with a control.
Diagnostics Comparison Page	EPQ_DIAG_COMP	Compare the results of different diagnostic runs for a single diagnostic.
Diagnostics History Page	EPQ_DIAG_HIST	Enter criteria by which to compare results for a single diagnostic over a specified period of time.
Diagnostic History Comparison Page	EPQ_DIAG_COMP_HIST	Review results for a single diagnostic for an entity over a specified period of time.
Diagnostic Reports By Control - Benchmark Page	EPQ_DIAG_BMARK_RPT	View the established benchmarks for all of a control's diagnostics.

Diagnostic Manager Page

Use the Diagnostic Manager page (EPQ_DIAG_MGR) to review and set benchmarks, access diagnostic report details, select versions of diagnostic reports to compare, set display options for comparing diagnostics.

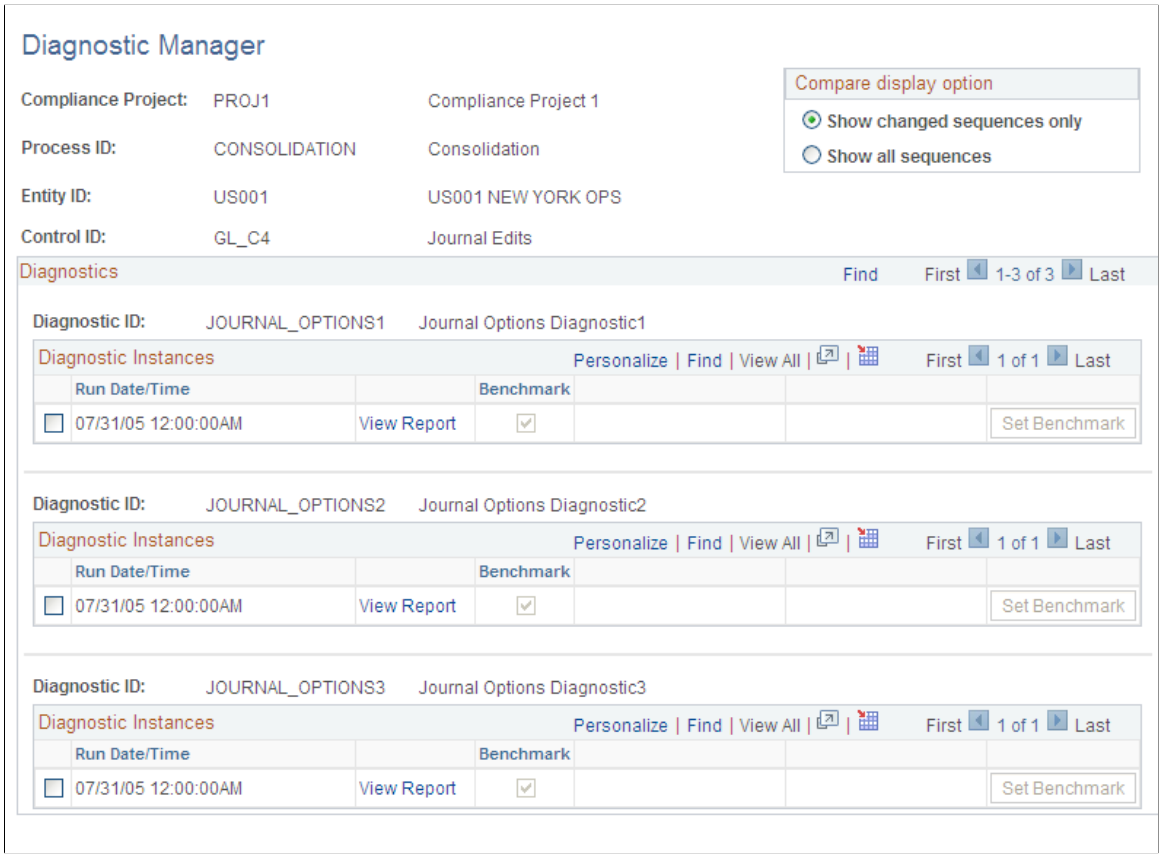
Navigation

- Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Manager
- Internal Controls Enforcer, Subprocess Management, Control Management

  Click the Manage Diagnostics link.
- Click Manage Diagnostic Reports on the Diagnostic Reports by Control page.

Image: Diagnostic Manager page

This example illustrates the fields and controls on the Diagnostic Manager page. You can find definitions for the fields and controls later on this 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.

Diagnostic Report Page

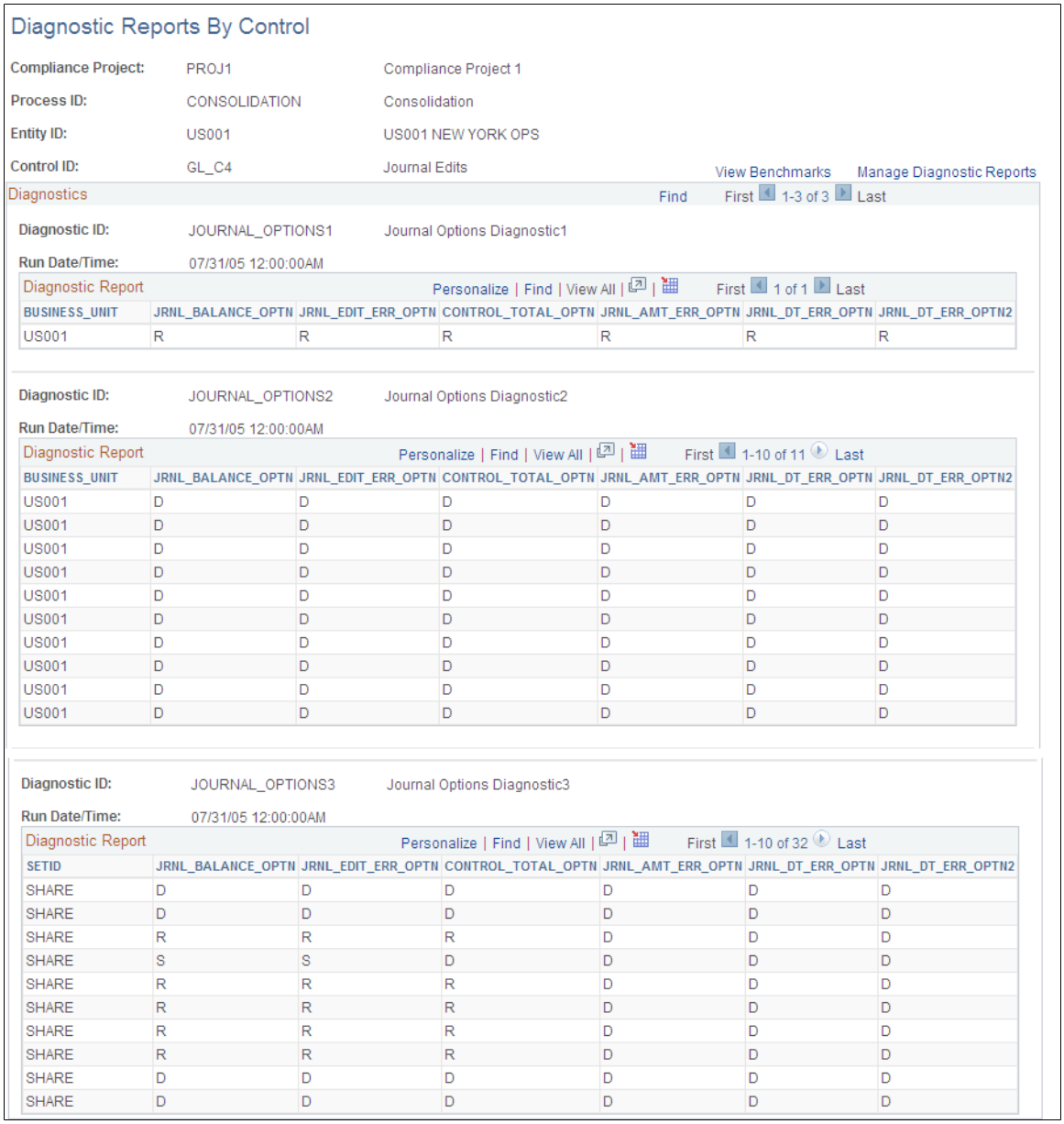
Use the Diagnostic Report page (EPQ_DIAG_RPT) to shows details for a specific run of a single diagnostic report.

Navigation

Click the View Report link on the Diagnostic Manager page.

Image: Diagnostic Report page

This example lists the diagnostic results for a specific diagnostic run.



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 — Personalize | 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 — Personalize | 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

Diagnostic ID: JOURNAL_OPTIONS3 Journal Options Diagnostic3
Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report — Personalize | 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	D	D	D	D	D	D
SHARE	D	D	D	D	D	D

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.

Diagnostic Reports by Control Page

Use the Diagnostic Reports by Control page (EPQ_DIAG_BY_CTRL) to view diagnostic results of the most recent diagnostic run for all of the diagnostics associated with a control.

Navigation

- Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Reports By Control
- Internal Controls Enforcer, Subprocess Management, Control Management

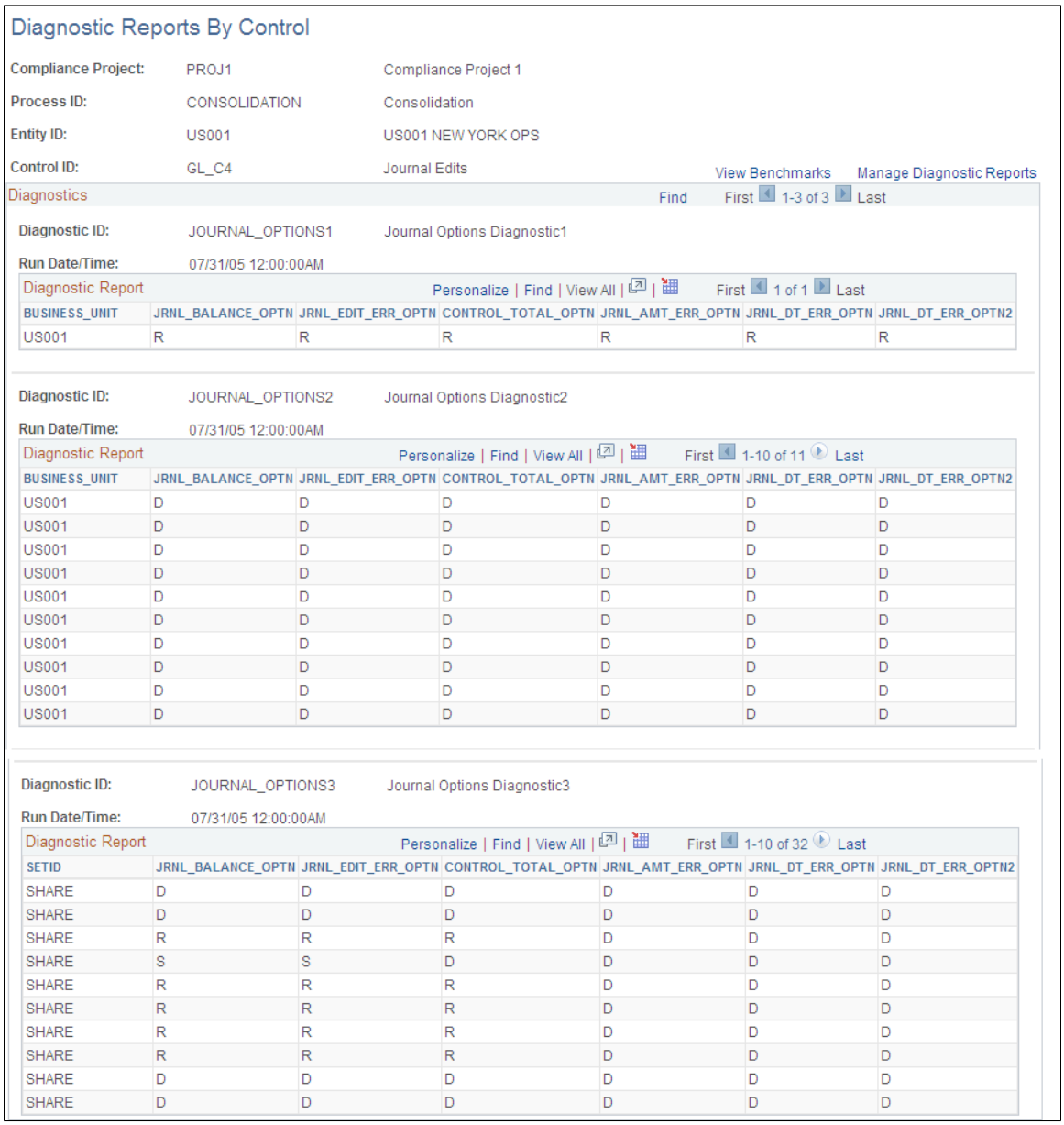
  Click the View Diagnostic Reports link.
- Internal Controls Enforcer, Sign Off, Sign-Off Worksheet

  Click the View link in the Diagnostics column of the Controls grid.
- Internal Controls Enforcer, Sign Off, Sign-Off Sheet

  Click the View link in the Diagnostics column of the Controls grid.

Image: Diagnostic Reports by Control page

This example illustrates the fields and controls on the Diagnostic Reports by Control page. You can find definitions for the fields and controls later on this page.



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 — Personalize | 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 — Personalize | 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

Diagnostic ID: JOURNAL_OPTIONS3 Journal Options Diagnostic3
Run Date/Time: 07/31/05 12:00:00AM

Diagnostic Report — Personalize | 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	D	D	D	D	D	D
SHARE	D	D	D	D	D	D

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.

Diagnostics Comparison Page

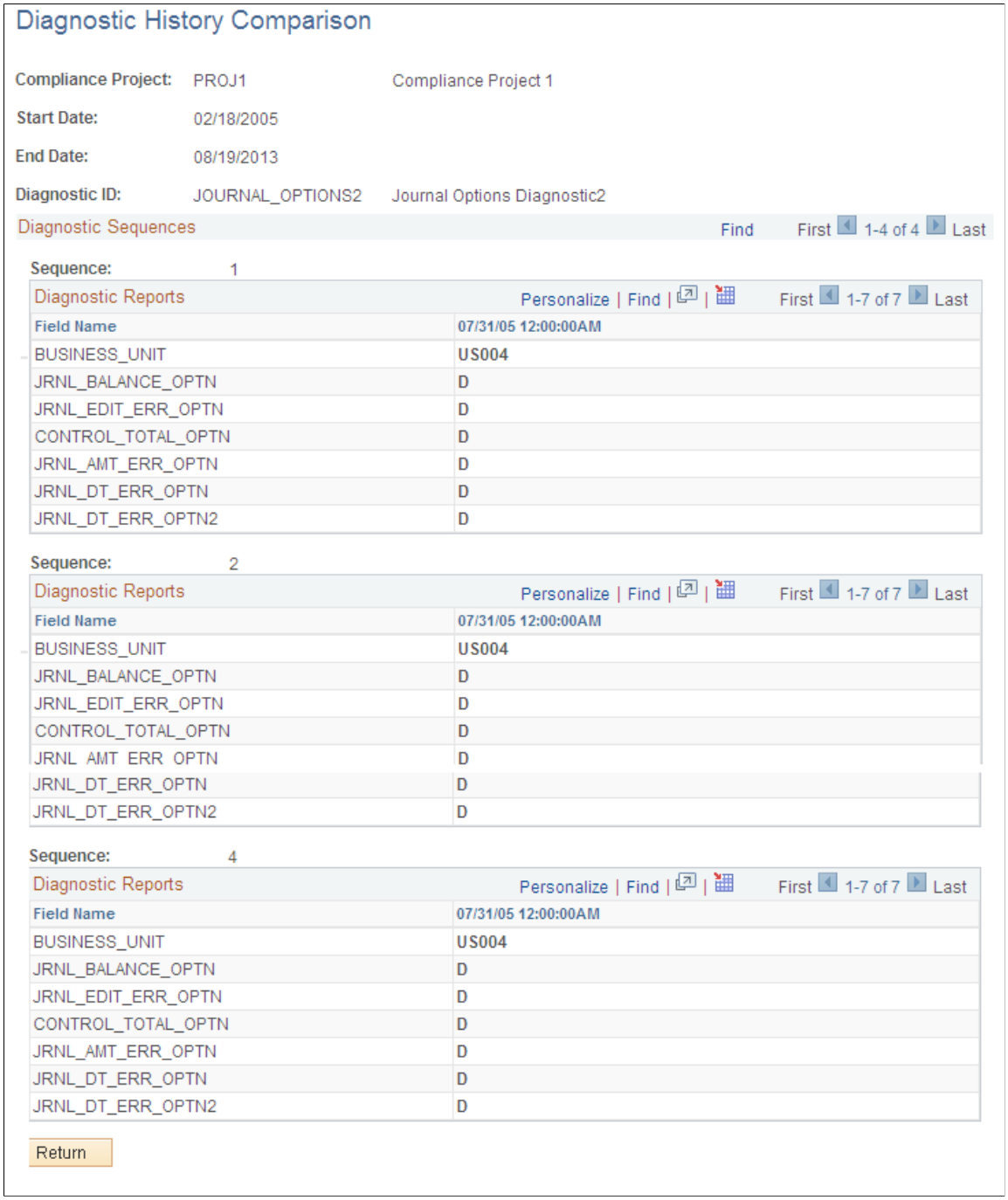
Use the Diagnostics Comparison page (EPQ_DIAG_COMP) to compare the results of different diagnostic runs for a single diagnostic.

Navigation

- Click the Compare Selected link on the Diagnostic Manager page.
- Click the Compare to Benchmark link on the Diagnostic Manager Page.

Image: Diagnostics Comparison page

This example illustrates the diagnostic results for comparison on the Diagnostics 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.

Diagnostics History Page

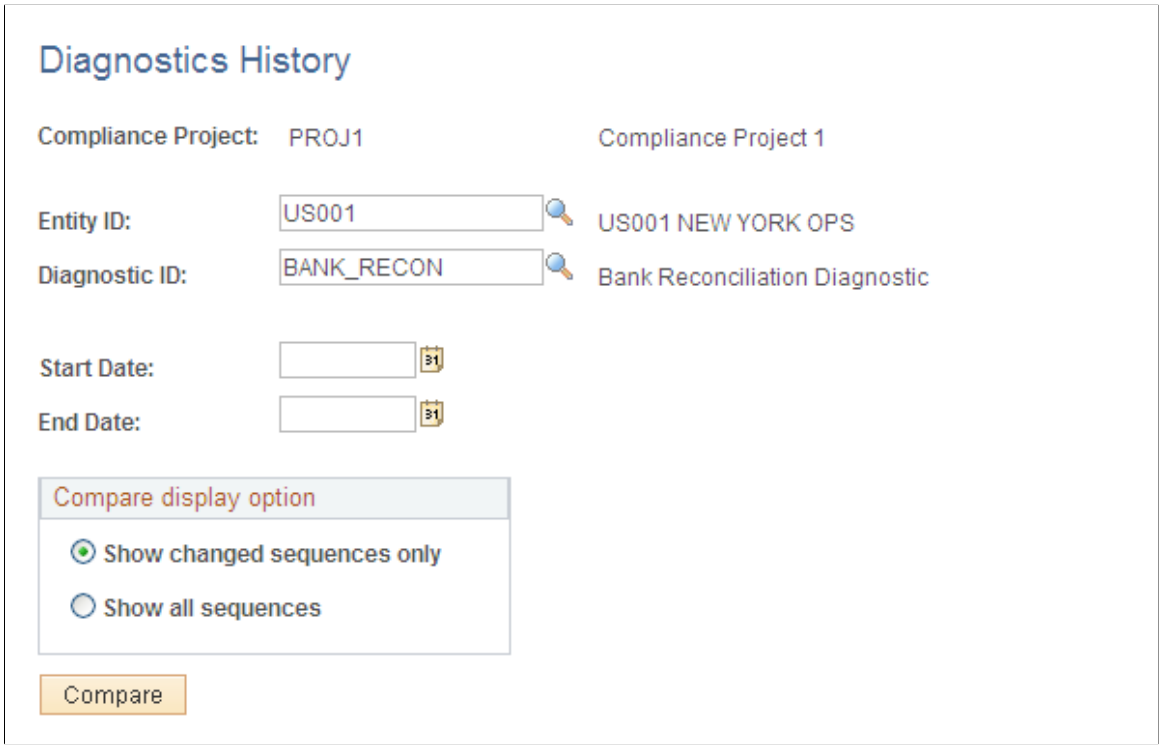
Use the Diagnostics History page (EPQ_DIAG_HIST) to enter criteria by which to compare results for a single diagnostic over a specified period of time.

Navigation

Internal Controls Enforcer, Subprocess Management, Diagnostics, Diagnostic Compare – History

Image: Diagnostics History page

This example illustrates the fields and controls on the Diagnostics History page. You can find definitions for the fields and controls later on this 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.

Diagnostic History Comparison Page

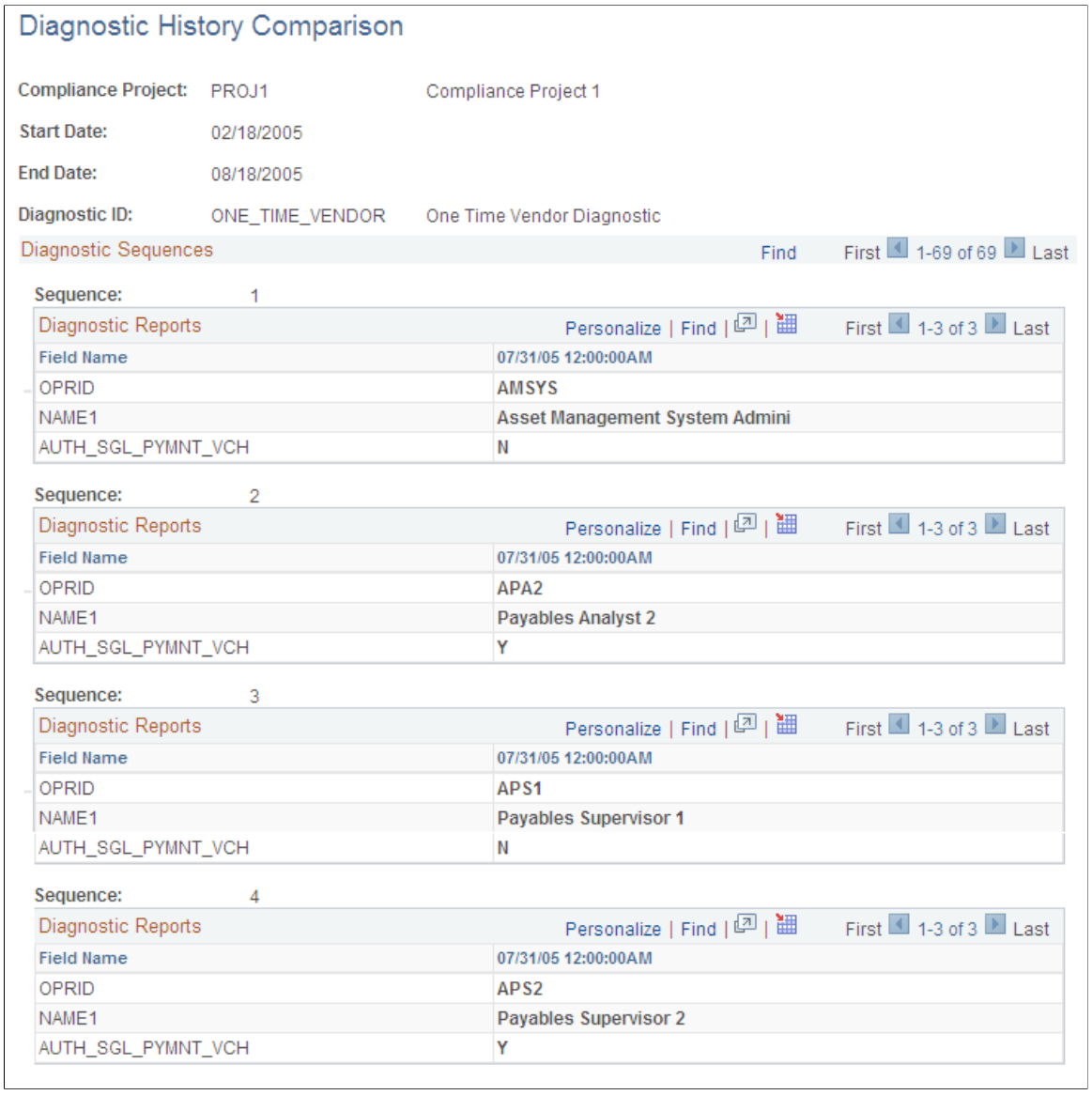
Use the Diagnostics History Comparison page (EPQ_DIAG_COMP_HIST) to review results for a single diagnostic for an entity over a specified period of time.

Navigation

- Click Compare on the Diagnostics History page.
- Click Compare to Previous on the Diagnostic Manager page.

Image: Diagnostic History Comparison page

The Diagnostic History Comparison page displays the results based on the criteria set in Diagnostic History page.



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.

Diagnostic Reports By Control - Benchmark Page

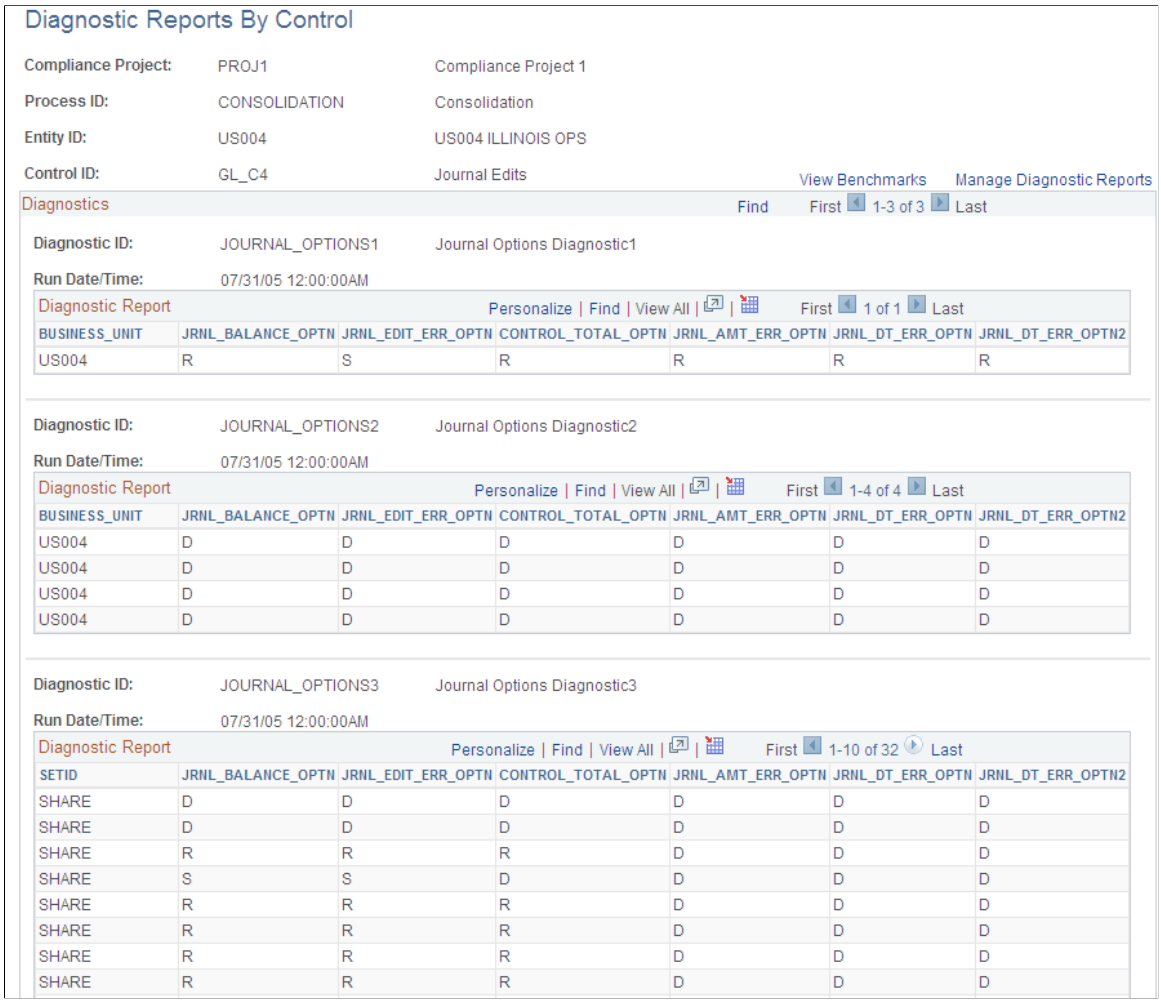
Use the Diagnostic Reports By Control - Benchmark page (EPQ_DIAG_BMARK_RPT) to view the established benchmarks for all of a control's diagnostics.

Navigation

Click the View Benchmarks link on the Diagnostic Reports by Control page.

Image: Diagnostic Reports By Control - Benchmark page

This example illustrates the fields and controls on the Diagnostic Reports By Control - Benchmark page. You can find definitions for the fields and controls later on this page.



Diagnostic Reports By Control

Compliance Project: PROJ1 Compliance Project 1
Process ID: CONSOLIDATION Consolidation
Entity ID: US004 US004 ILLINOIS 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 — Personalize | 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
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 — Personalize | Find | View All | 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 — Personalize | 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

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

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 out 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 Establishing Risks and Controls, Establishing Checklists, Template Attributes, and Test Plan Templates.

- By running the Test Plan Generator Application Engine process (EPQ_TP_GEN).

See Test Plan Generation Page.

The following methods can be used to manually create test plans:

- Adding a test plan by using the Test Plan page.

  See Test Plan Page.

- Adding a test plan by clicking the Create New Test Plan button on the Test Plan Package page.

  See Test Plan Package Page.

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”.

Related Links

Test Plan Generation Page
Internal Controls Sign-off Worksheet Page

Prerequisites

Process instances must exist before you can maintain control status.

See Understanding Process Instance Generation.

Common Elements Used for Monitoring and Managing Controls

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 topic discusses monitoring and managing controls.

Pages Used to Monitor and Manage Controls

Page Name	***Definition Name***	***Usage***
Unproven Control Monitor Page	EPQ_SP_ALRTMNTR	Review ineffective controls for a subprocess and the status of the associated test plans or action plans.
Control Management Page	EPQ_BPI_CTL_STATUS	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 Management - Test Plan Page	EPQ_BPICTL_TESTPLN	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 Page	EPQ_BPICTL_ACTNPLN	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 Page	EPQ_ADD_COMMENT	Enter notes about action plans or test plans, including reasons for any changes to their status.
View Reviewer Comments Page	EPQ_VIEW_COMMENT	View existing comments that meet specific criteria.

Unproven Control Monitor Page

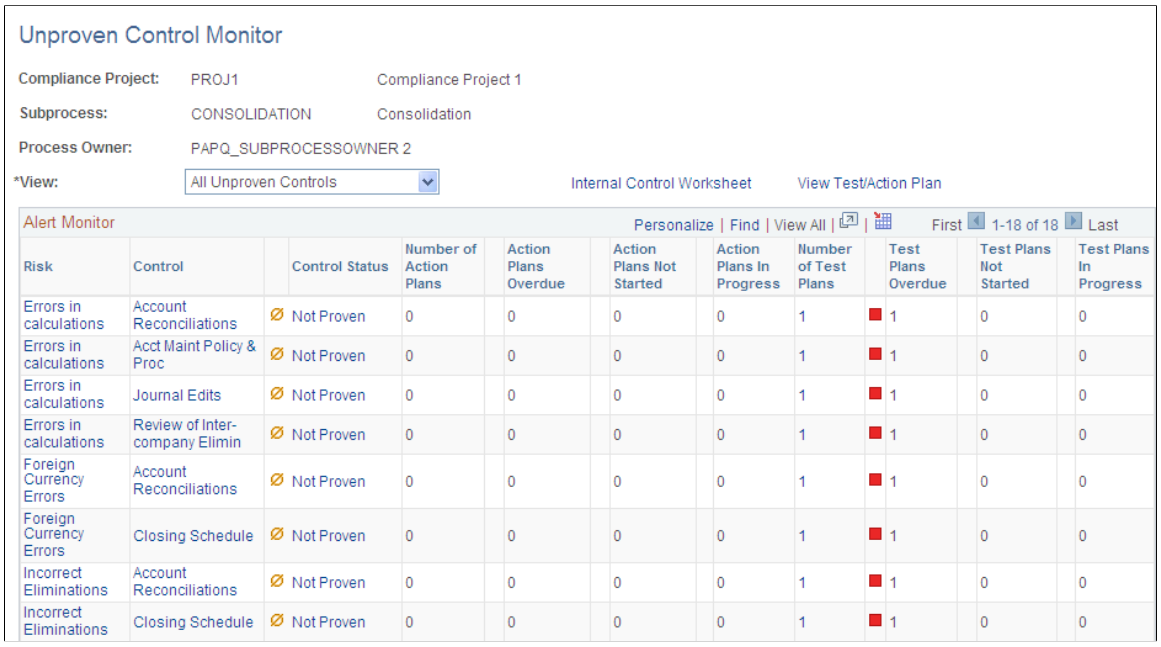
Use the Unproven Control Monitor page (EPQ_SP_ALRTMNTR) to review ineffective controls for a subprocess and the status of the associated test plans or action plans.

Navigation

Internal Controls Enforcer, Subprocess Management, Unproven Control Monitor

Image: Unproven Control Monitor page

This example illustrates the fields and controls on the Unproven Control Monitor page. You can find definitions for the fields and controls later on this page.



Unproven Control Monitor

Compliance Project: PROJ1 Compliance Project 1

Subprocess: CONSOLIDATION Consolidation

Process Owner: PAPQ_SUBPROCESSOWNER 2

*View: All Unproven Controls | Internal Control Worksheet | View Test/Action Plan

Alert Monitor — Personalize | Find | View All | First 1-18 of 18 Last

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
Errors in calculations	Account Reconciliations	Not Proven	0	0	0	0	1	1	0	0
Errors in calculations	Acct Maint Policy & Proc	Not Proven	0	0	0	0	1	1	0	0
Errors in calculations	Journal Edits	Not Proven	0	0	0	0	1	1	0	0
Errors in calculations	Review of Inter-company Elimin	Not Proven	0	0	0	0	1	1	0	0
Foreign Currency Errors	Account Reconciliations	Not Proven	0	0	0	0	1	1	0	0
Foreign Currency Errors	Closing Schedule	Not Proven	0	0	0	0	1	1	0	0
Incorrect Eliminations	Account Reconciliations	Not Proven	0	0	0	0	1	1	0	0
Incorrect Eliminations	Closing Schedule	Not Proven	0	0	0	0	1	1	0	0

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>	This field contains a symbol that represents the current control status. 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.
Control Status	Displays the current status for the control. 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.
Number of Action Plans	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.
<action plan status icon>	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.
Action Plans Overdue	Lists the number of 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.
Action Plans Not Started	List the number of action plans that have not yet started.
Action Plans In Progress	Lists the number of action plans that have started, but are not yet complete.
Number of Test Plans	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.
<test plan status icon>	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.
Test Plans Overdue	Lists the number of test 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.
Test Plans Not Started	List the number of test plans that have not yet started.
Test Plans In Progress	Lists the number of test plans that have started, but are not yet complete.

Control Management Page

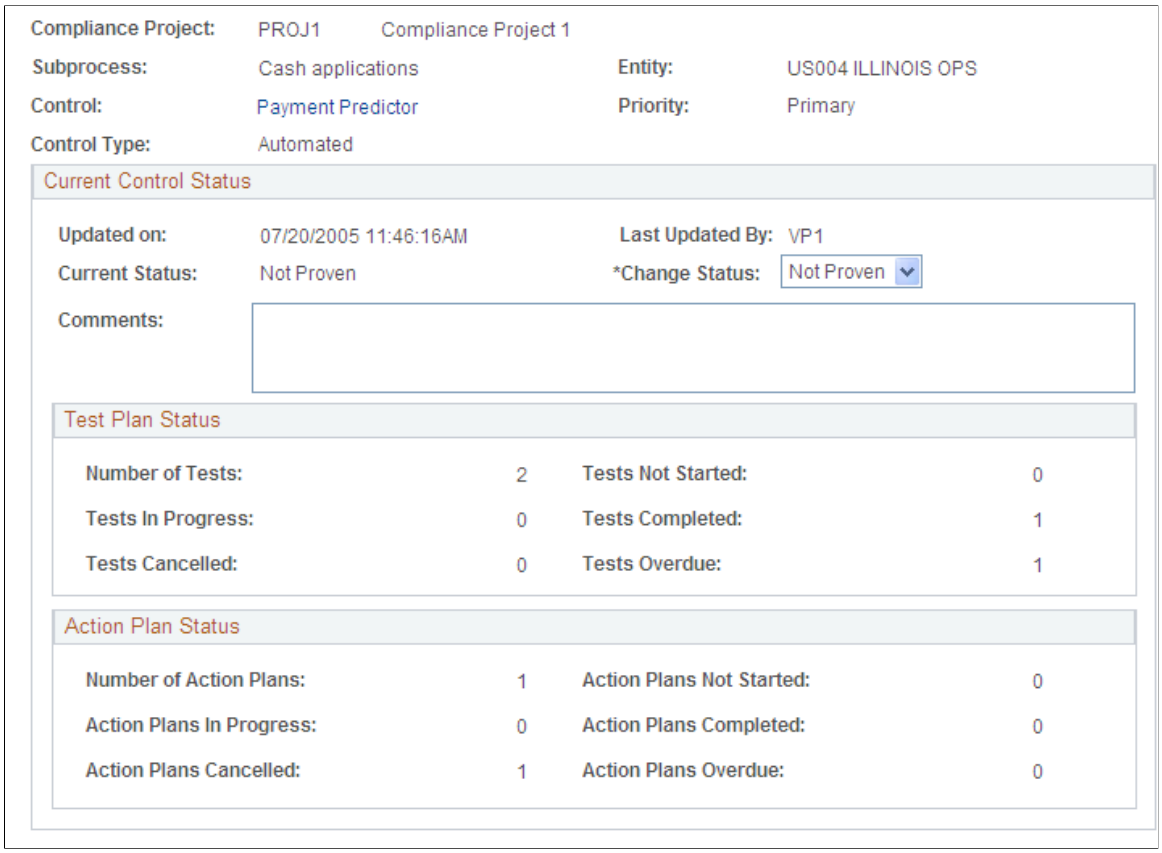
Use the Control Management page (EPQ_BPI_CTL_STATUS) to manage a control's status, review the status of its current test plan or action plan, and initiate a new test plan or action plan.

Navigation

- Internal Controls Enforcer, Subprocess Management, Control Management
- Click a control status on various pages.

Image: Control Management page

This example illustrates the fields and controls on the Control Management page. You can find definitions for the fields and controls later on this 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: *Exception, Missing, Not Proven,* and *Proven.*

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: • 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.

Related Links

Common Elements Used for Monitoring and Managing Controls

Control Management - Test Plan Page

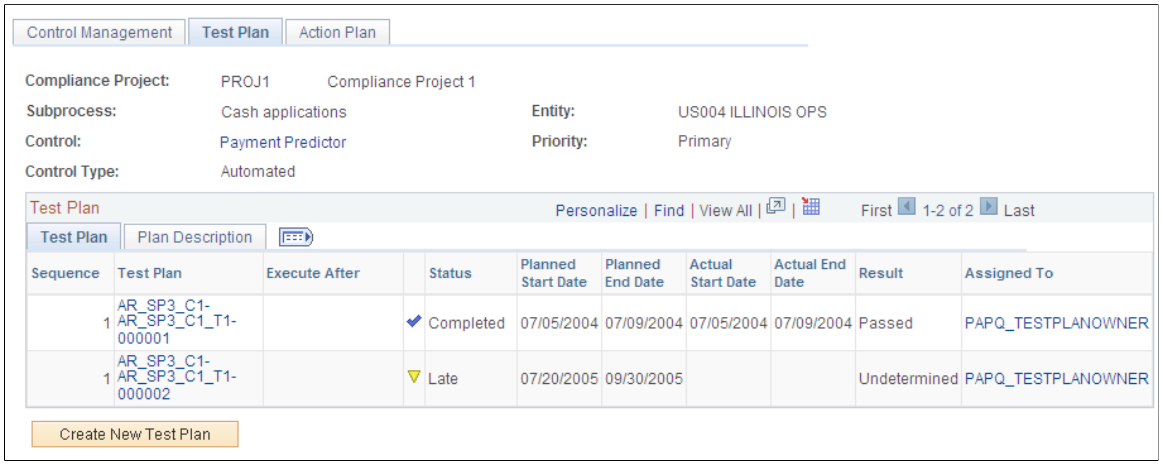
Use the Control Management - Test Plan page (EPQ_BPICTL_TESTPLN) to review the status of a control's test plans, and access pages that enable you to create new test plans for the control, or update the status of the test plan.

Navigation

- 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.

Image: Control Management - Test Plan page

This example illustrates the fields and controls on the Control Management - Test Plan page. You can find definitions for the fields and controls later on this 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.

Control Management - Action Plan Page

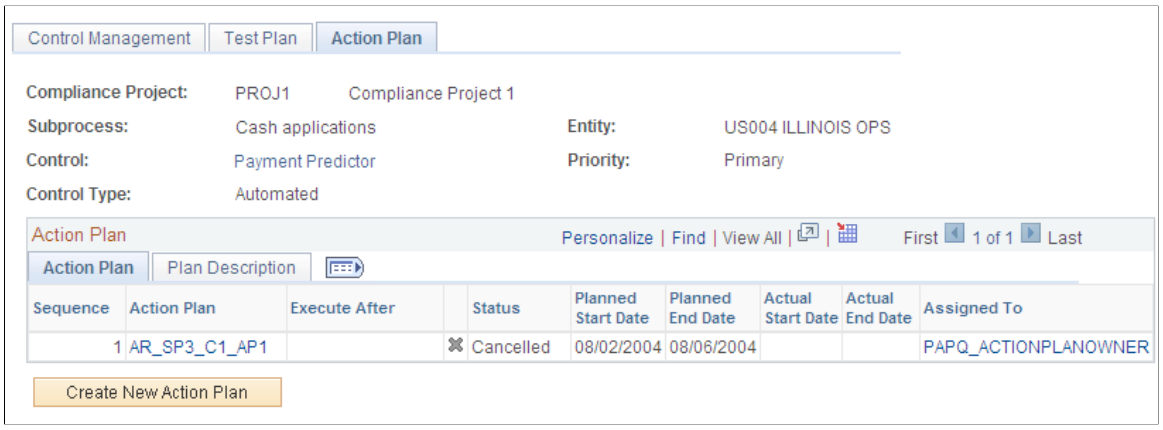
Use the Control Management - Action Plan page (EPQ_BPICTL_ACTNPLN) to review the status of a control's action plans, and access pages that enable you to create new action plans for the control, or update the status of the action plan.

Navigation

- 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.

Image: Control Management - Action Plan page

This example illustrates the fields and controls on the Control Management - Action Plan page. You can find definitions for the fields and controls later on this 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: *Failed, Passed,* and *Undetermined.*
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 test of the long description field for the action plan.

Reviewer Comment Page

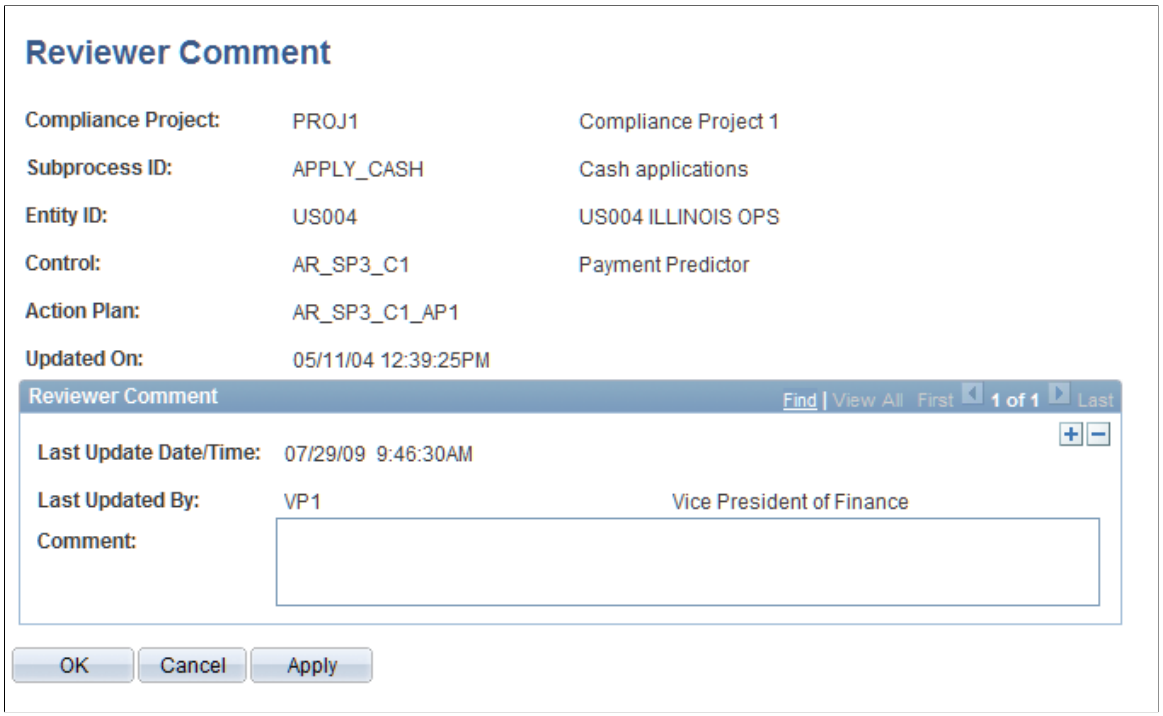
Use the Reviewer Comment page (EPQ_ADD_COMMENT) to enter notes about action plans or test plans, including reasons for any changes to their status.

Navigation

- Internal Controls Enforcer, Subprocess Management, Add Reviewer Comments
- Click the Add Reviewer Comments button on various pages.

Image: Reviewer Comment page

This example illustrates the fields and controls on the Reviewer Comment page. You can find definitions for the fields and controls later on this page.



Comment Enter comments.

View Reviewer Comments Page

Use the View Reviewer Comments page (EPQ_VIEW_COMMENT) to view existing comments that meet specific criteria.

Navigation

- Internal Controls Enforcer, Subprocess Management, View Reviewer Comments
- Click the View Reviewer Comments link on various pages.

Image: View Reviewer Comments page

This example illustrates the fields and controls on the View Reviewer Comments page. You can find definitions for the fields and controls later on this 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 topic discusses managing test plans and action plans.

Note: Test plans can also be generated during sign-off sheet generation.

See Understanding the Internal Controls Certification Procedure.

Pages Used to Manage Test Plans and Action Plans

Page Name	*Definition Name*	*Usage*
Test Plan Generation Page	EPQ_TEST_PLN_RUN	Generate test plans on demand.

Page Name	*Definition Name*	*Usage*
Test Plan Page	EPQ_TEST_PLAN	Manage a test plan.
Test Plan - Attachments Page	EPQ_ATTACH_TP	Manage file attachments for the test plan.
Test Plan - Checklist Page	EPQ_TP_CHKLST	Manage the checklist items for a test plan.
Test Plan - Notes Page	EPQ_TSTPLN_NOTE	Enter notes about a test plan.
Test Plan Attachments History Page	EPQ_ATTACH_HIST_AP	View a history of all activity for file attachments that are associated with an test plan. Select Histories tab in Attachments section. Click the History button on any file description row to open the Test Plan Attachments History Page. See Test Plan - Attachments Page
Action Plan Page	EPQ_ACTION_PLAN	Create or maintain an action plan for a control.
Action Plan - Attachments Page	EPQ_ATTACH_AP	Manage file attachments for the action plan.
Action Plan - Notes Page	EPQ_TSTPLN_NOTE	Enter notes about an action plan.
Action Plan Attachments History Page	EPQ_ATTACH_HIST_AP	View a history of all activity for file attachments that are associated with an action plan. Select Histories tab in Attachments section. Click the History button on any file description row to open the Action Plan Attachments History Page. See Action Plan - Attachments Page
Test Plan Package Page	EPQ_TSTPLN_PKG	Review the test plans associated with a test package.
View Test/Action Plan Page	EPQ_VIEW_TEST_ACTN	View test plans or action plans that meet specified search criteria.
Test Plan History Page	EPQ_TSTPLN_HIST	Review the status changes to a test plan over time.
Action Plan History Page	EPQ_ACTPLN_HIST	Review the status changes to an action plan over time.
Test/Action Plan Alert Page	EPQ_PLAN_ALRT_RUN	Send test/action plan notifications.

Test Plan Generation Page

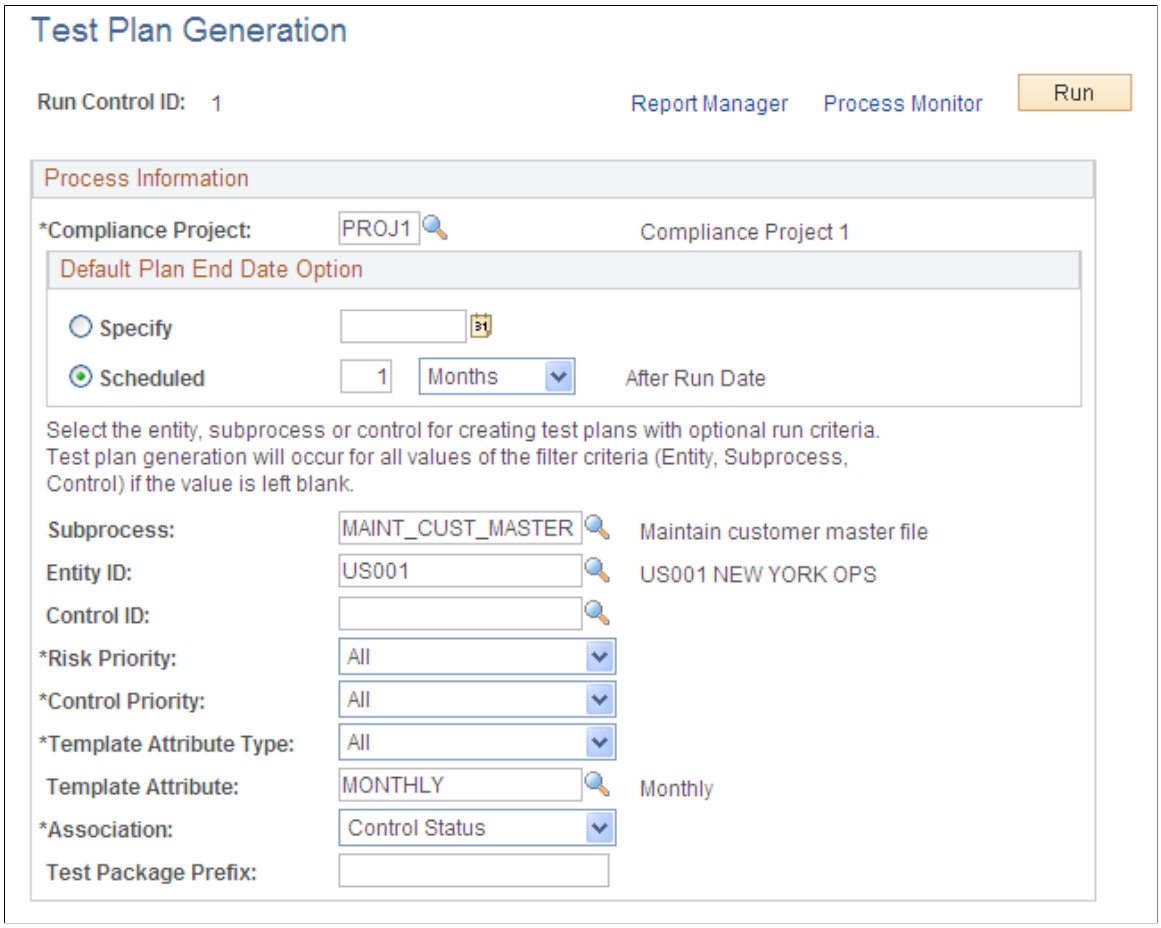
Use the Test Plan Generation page (EPQ_TEST_PLN_RUN) to generate test plans on demand.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan Generation

Image: Test Plan Generation page

This example illustrates the fields and controls on the Test Plan Generation page. You can find definitions for the fields and controls later on this 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 *All, Primary,* or *Primary and Secondary.*
Control Priority	Specify the priority of controls for which to generate test plans, either *All, Primary,* or *Primary and Secondary.*
Template Attribute Type	Indicate the type of template attribute for which to generate test plans. Options are: *All:* Select to generate test plans without considering the template attribute. *Blank:* Select to generate test plans only from test plan templates with a blank template attribute field. *Specified:* 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.
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 *Specified.*
Association	Specify how the generated test plans will be associated. Values are: *Control Status:* Select to have the generated test plans impact control status and be viewable in the Control Management page. This is the default option. *Test Package:* 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.
Test Package Prefix	Specify the prefix to use if generating a test package.
Run	Click to run the process.

Test Plan Page

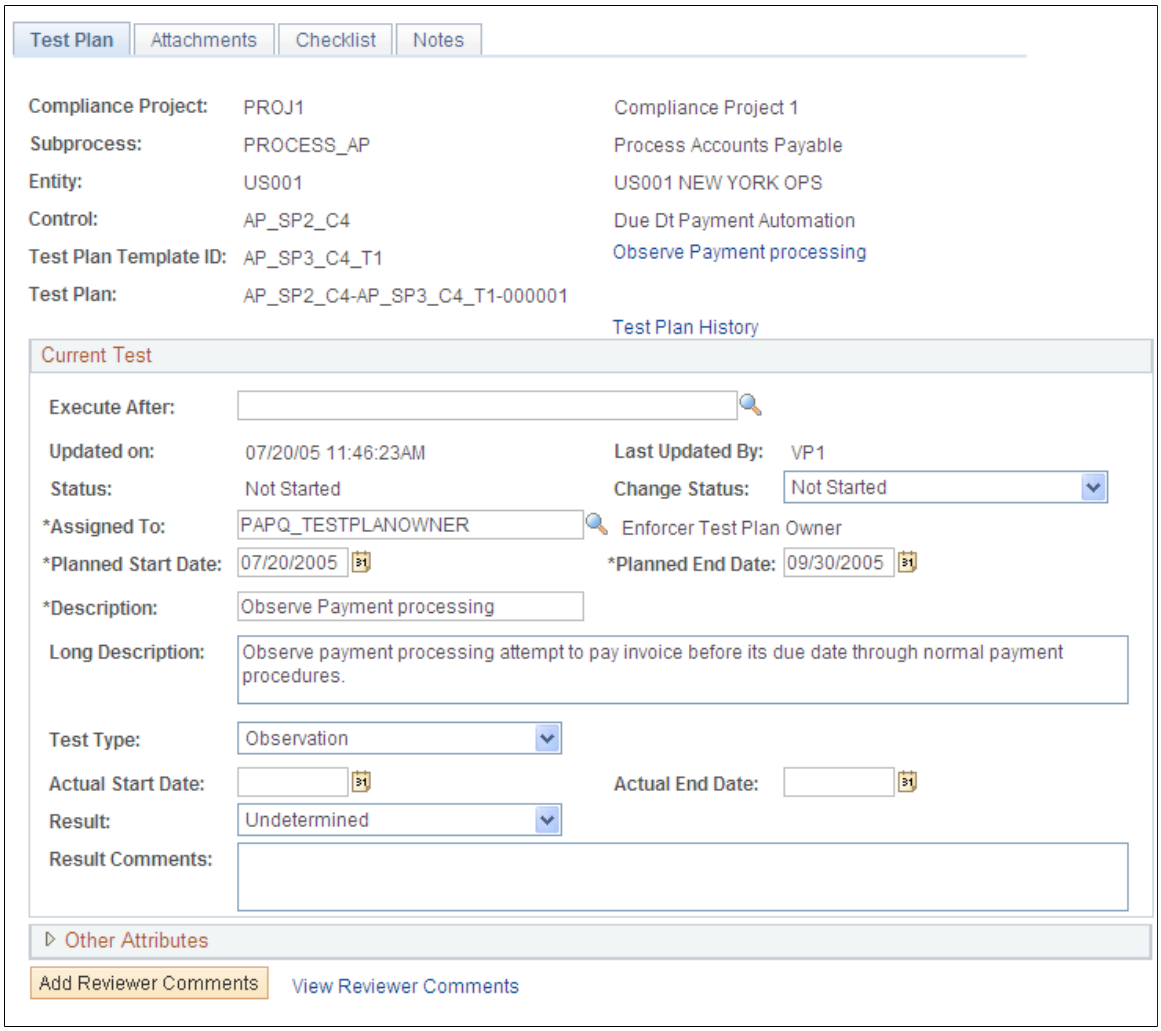
Use the Test Plan page (EPQ_TEST_PLAN) to manage a test plan.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan

Image: Test Plan page

This example illustrates the fields and controls on the Test Plan page. You can find definitions for the fields and controls later on this 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	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 *Not Started, Started, Completed,* and *Canceled.* This field is unavailable for entry once the test plan status changes to *Completed* or *Canceled.*
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 *Started* or *Completed.*
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 *Completed.*
Result	Indicate the results of the current test plan by selecting a value from the drop-down list box. Options are: *Failed, Passed,* and *Undetermined.* This field is unavailable for entry once the test plan status is *Completed* or *Canceled.* The current test plan must be completed and passed, or canceled, before its associated control can be set to proven.
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.

Test Plan - Attachments Page

Use the Test Plan - Attachments page (EPQ_ATTACH_TP) to manage file attachments for the test plan.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan, Attachments

Image: Test Plan - Attachments page

This example illustrates the fields and controls on the Test Plan - Attachments page. You can find definitions for the fields and controls later on this 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 *Completed* or *Canceled.* 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.
Test Plan 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.

Test Plan - Checklist Page

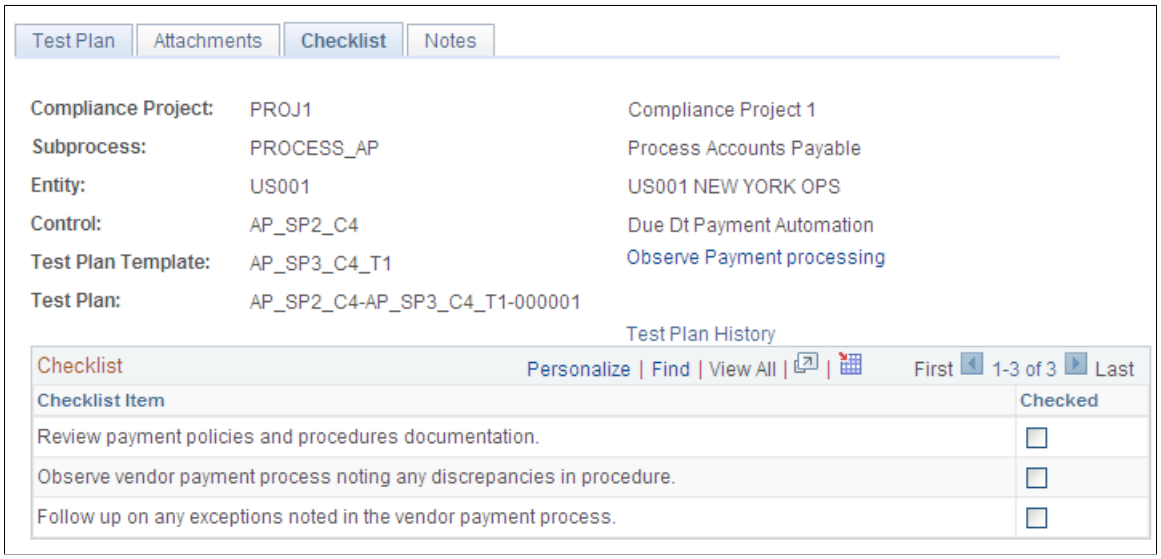
Use the Test Plan - Checklist page (EPQ_TP_CHKLST) to manage the checklist items for a test plan.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan, Checklist

Image: Test Plan - Checklist page

This example illustrates the checklist items on the Test Plan - Checklist page.



Select the check box in the Checked field to indicate you have completed a checklist item.

Test Plan - Notes Page

Use the Test Plan - Notes page (EPQ_TSTPLN_NOTE) to enter notes about a test plan.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan, Notes

Action Plan Page

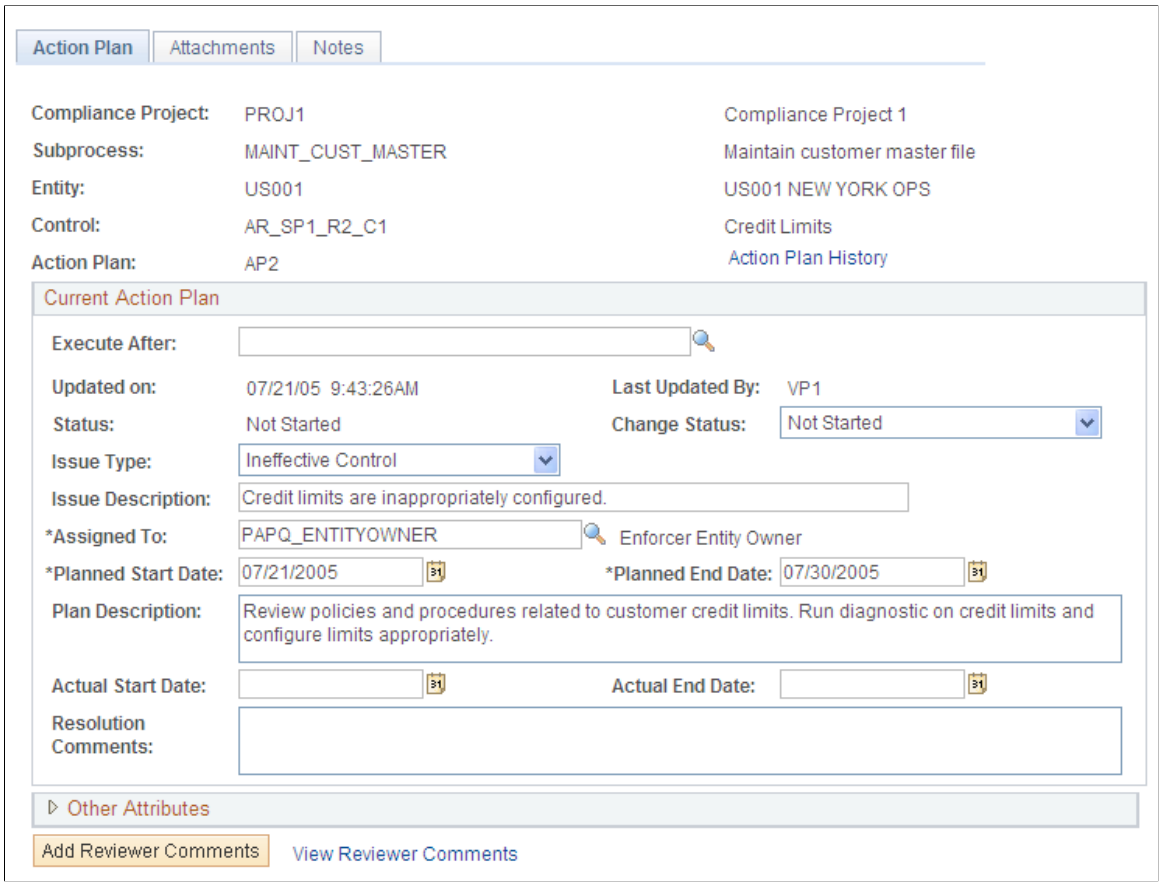
Use the Action Plan page (EPQ_ACTION_PLAN) to create or maintain an action plan for a control.

Navigation

- 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.

Image: Action Plan page

This example illustrates the fields and controls on the Action Plan page. You can find definitions for the fields and controls later on this 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 *Started* or *Completed.*
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 *Completed.*
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.

Action Plan - Attachments Page

Use the Action Plan - Attachments page (EPQ_ATTACH_AP) to manage file attachments for the action plan.

Navigation

Internal Controls Enforcer, Subprocess Management, Action Plan, Attachments

Image: Action Plan - Attachments page

This example illustrates the fields and controls on the Action Plan - Attachments page. You can find definitions for the fields and controls later on this 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 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 *Completed* or *Canceled.* 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.

Action Plan - Notes Page

Use the Action Plan - Notes page (EPQ_TSTPLN_NOTE) to enter notes about an action plan.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan, Notes

Test Plan Package Page

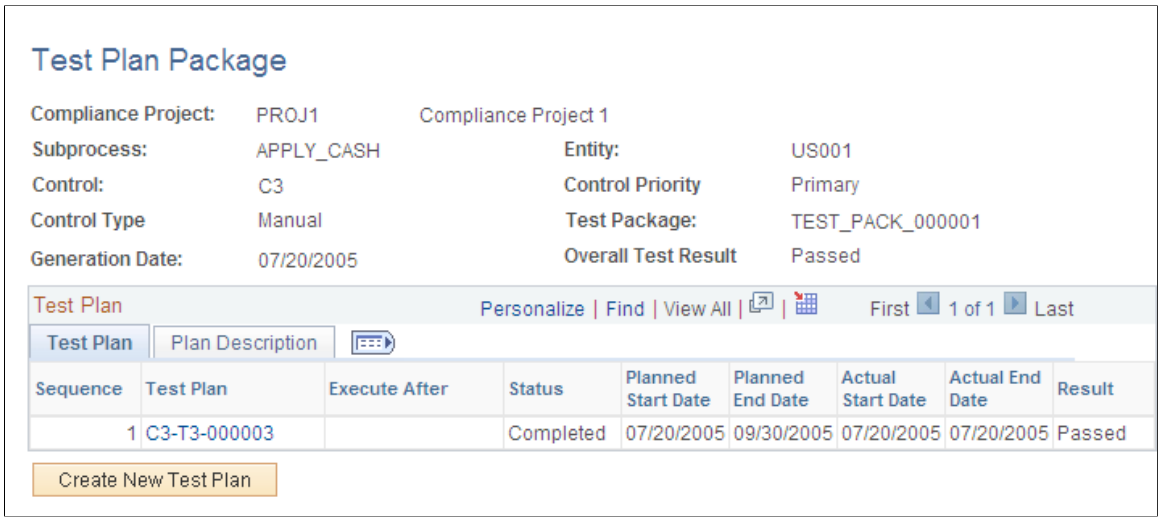
Use the Test Plan Package page (EPQ_TSTPLN_PKG) to review the test plans associated with a test package.

Navigation

Internal Controls Enforcer, Subprocess Management, Test Plan Package

Image: Test Plan Package page

This example illustrates the fields and controls on the Test Plan Package page. You can find definitions for the fields and controls later on this 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”.

View Test/Action Plan Page

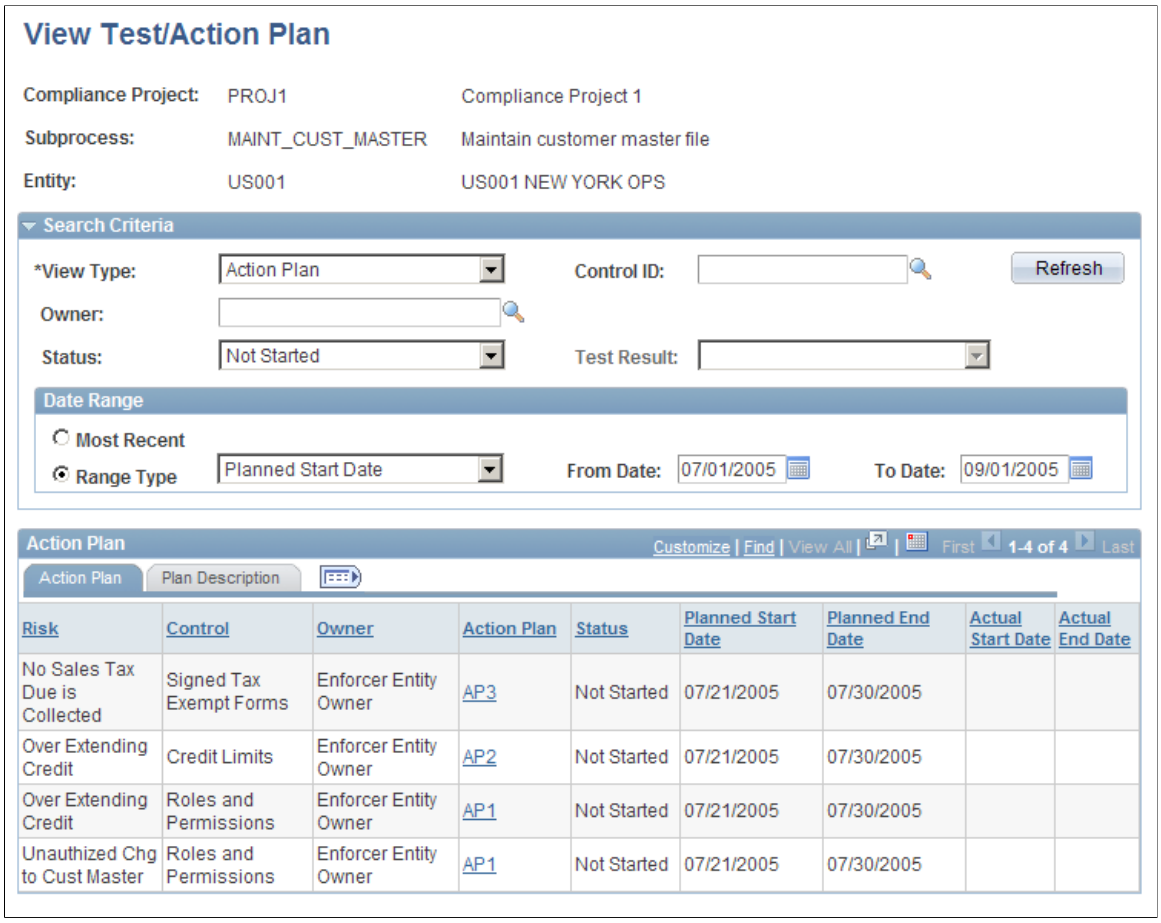
Use the View Test/Action Plan page (EPQ_VIEW_TEST_ACTN) to view test plans or action plans that meet specified search criteria.

Navigation

Internal Controls Enforcer, Subprocess Management, View Test/Action Plan

Image: View Test/Action Plan page

This example illustrates the fields and controls on the View Test/Action Plan page. You can find definitions for the fields and controls later on this 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.

Test Plan History Page

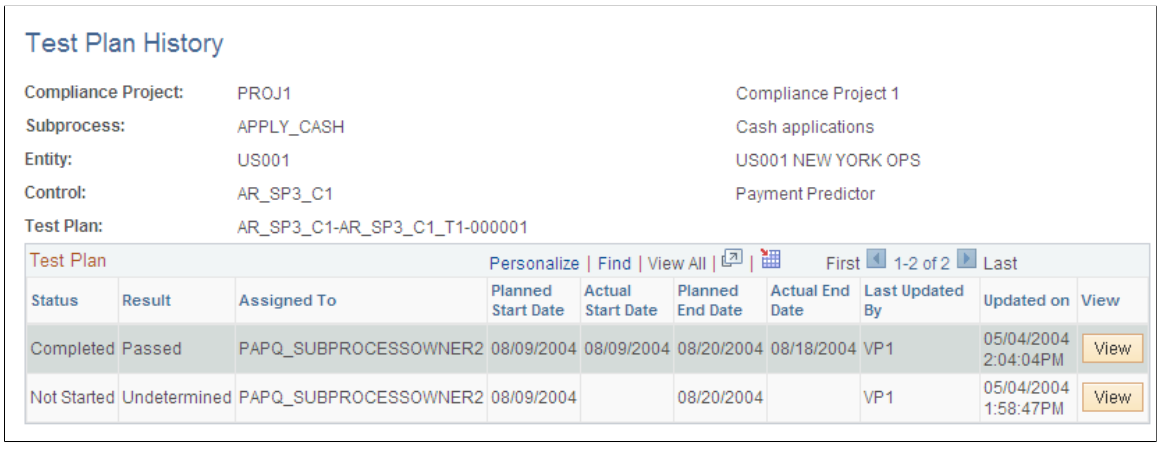
Use the Test Plan History page (EPQ_TSTPLN_HIST) to review the status changes to a test plan over time.

Navigation

- Internal Controls Enforcer, Subprocess Management, Test Plan History
- Click the Test Plan History link on the Test Plan page.

Image: Test Plan History page

The Test Plan History page displays all versions of the test plan.



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.

Action Plan History Page

Use the Action Plan History page (EPQ_ACTPLN_HIST) to review the status changes to an action plan over time.

Navigation

- Internal Controls Enforcer, Subprocess Management, Action Plan History
- Click the Action Plan History link on the Action Plan page.

Image: Action Plan History page

The Action Plan History page displays all versions of the action plan.

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.

Test/Action Plan Alert Page

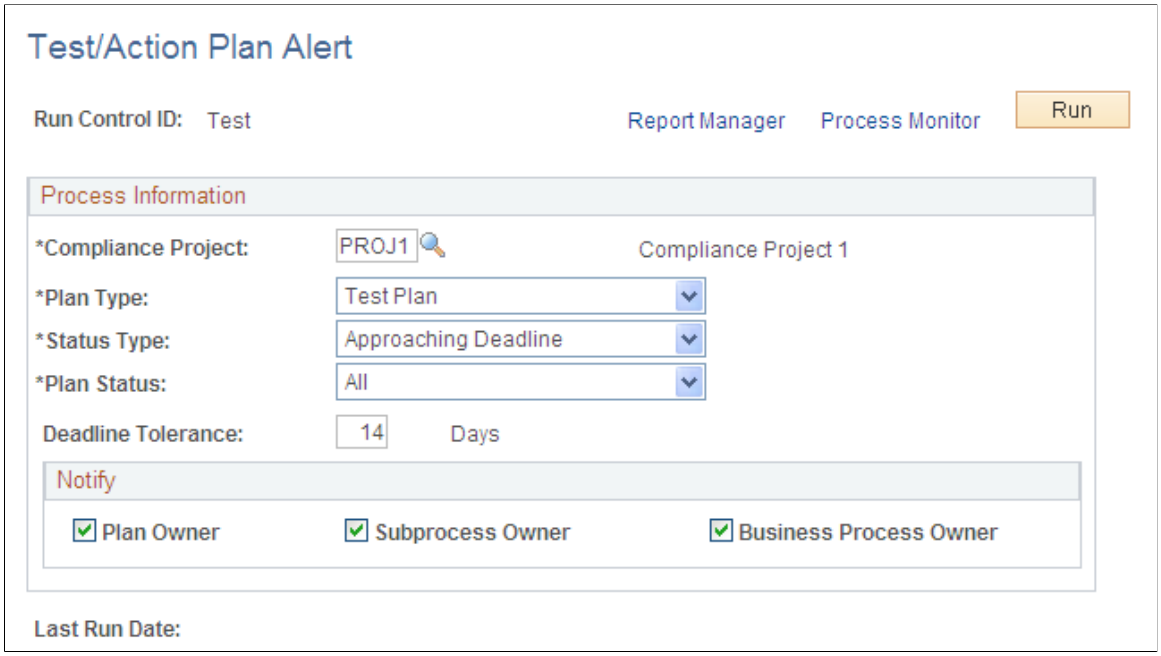
Use the Test/Action Plan Alert page (EPQ_PLAN_ALRT_RUN) to send test/action plan notifications.

Navigation

Internal Controls Enforcer, Subprocess Management, Test/Action Plan Alert Run

Image: Test/Action Plan Alert page

This example illustrates the fields and controls on the Test/Action Plan Alert page. You can find definitions for the fields and controls later on this 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:

All: Select to send notifications only both test plans and action plans.

Test Plan: Select to send notifications only for test plans.

Action Plan: Select to send notifications only for action plans.

Status Type Specify the type of status for which to send notifications. Values are:

All: Select to send notifications plans that are late or are within a specified number of days from their finish date deadline.

Approaching Deadline: 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.

Late: Select to send notifications for plans that are late.

Plan Status Specify the status of plans for which to send notifications, either *All, Not Started,* or *Started.*

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 topic discusses the hierarchical sign-off monitors and sign-off status.

Pages Used to Monitor Sign-Off Status

Page Name	*Definition Name*	*Usage*
Tree Manager	PSTREEMGR	Create an entity tree or business process tree. For a complete explanation on PeopleSoft Tree Manager see, *PeopleTools: Tree Manager*.
Entity Tree Selection Page	EPQ_ENTREE_SELECT	Specify the compliance project and tree to use for the Entity Tree Viewer page.
Entity Tree Viewer Page	EPQ_ENTITY_TREE	Review sign-off metrics for a compliance project summarized by entity.
Internal Controls by Entity Page	EPQ_ENT_BPDETAIL	Review internal control metrics for the processes associated with an entity.
Business Process Tree Selection Page	EPQ_BPTREE_SELECT	Specify the compliance project, entity, and tree to use for the Business Process Tree Viewer page.
Business Process Tree Viewer Page	EPQ_PROCESS_TREE	Review sign-off metrics for a compliance project summarized by business process.
Internal Controls by Business Process Page	EPQ_BPTREE_DTL EPQ_BP_SBPDETAIL	Review internal control metrics for processes and subprocesses.

See the product documentation for *PeopleTools: Tree Manager*.

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:

Image: Entity tree example, arranged geographically

An example of an entity tree that is geographically organized.

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 Entity Definition Page.

Business Process Tree Viewer

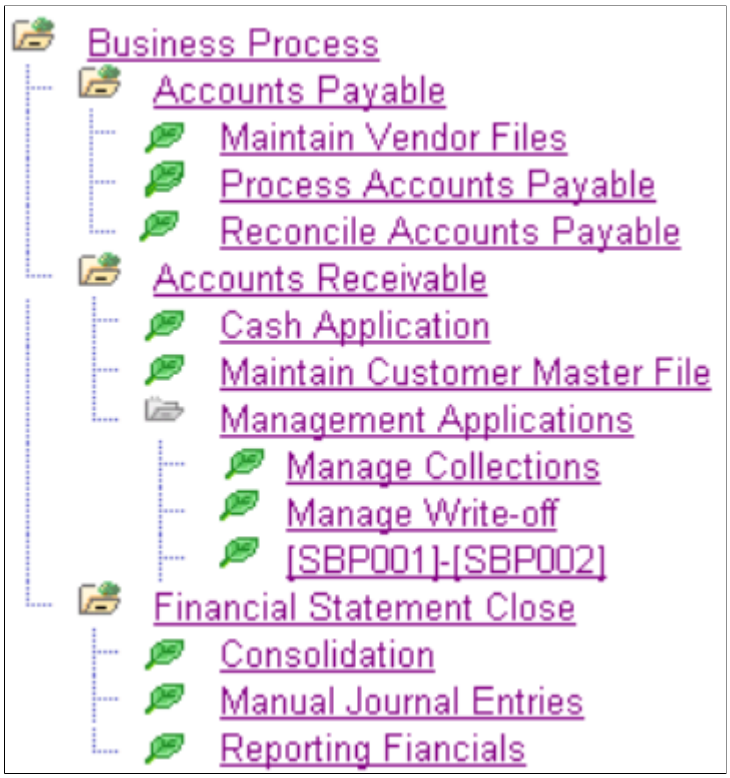
The Business Process Tree Viewer component enables you to view sign-off metrics for the hierarchy of business processes within your organization for a particular compliance project. You must use Tree Manager to create the business process tree before using this component. The tree you create must use 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 Business Process Manager - Process Definition Page.

Image: Business process tree example

The following graphic provides an example of a business process tree, with the highest levels being accounts payable, accounts receivable, and financial statement close.

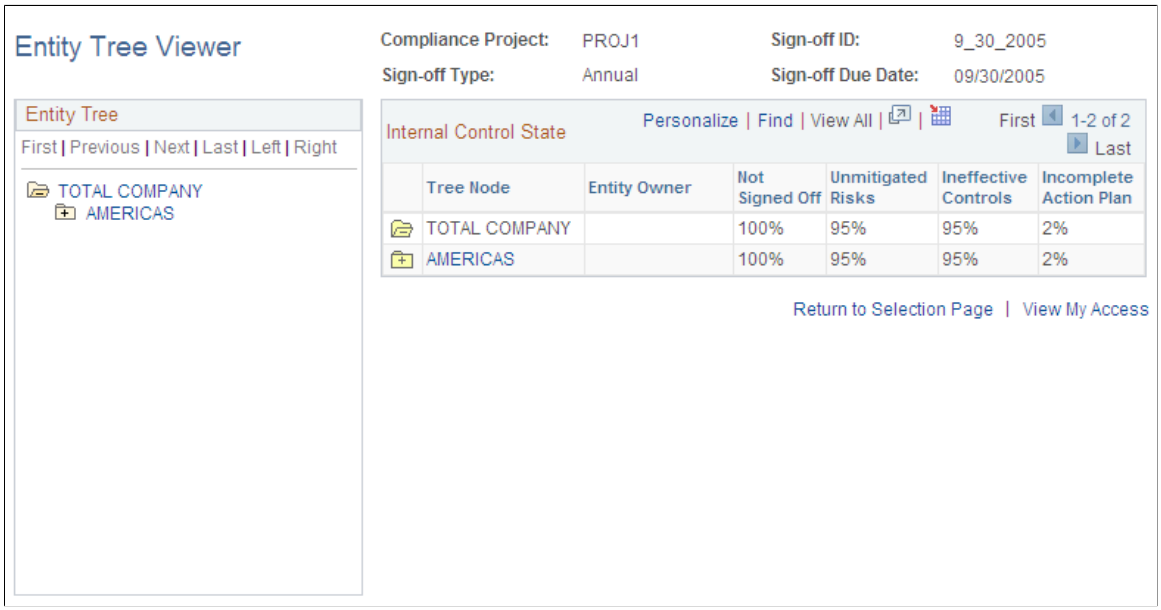


Navigation

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.

Image: Entity Tree Viewer page

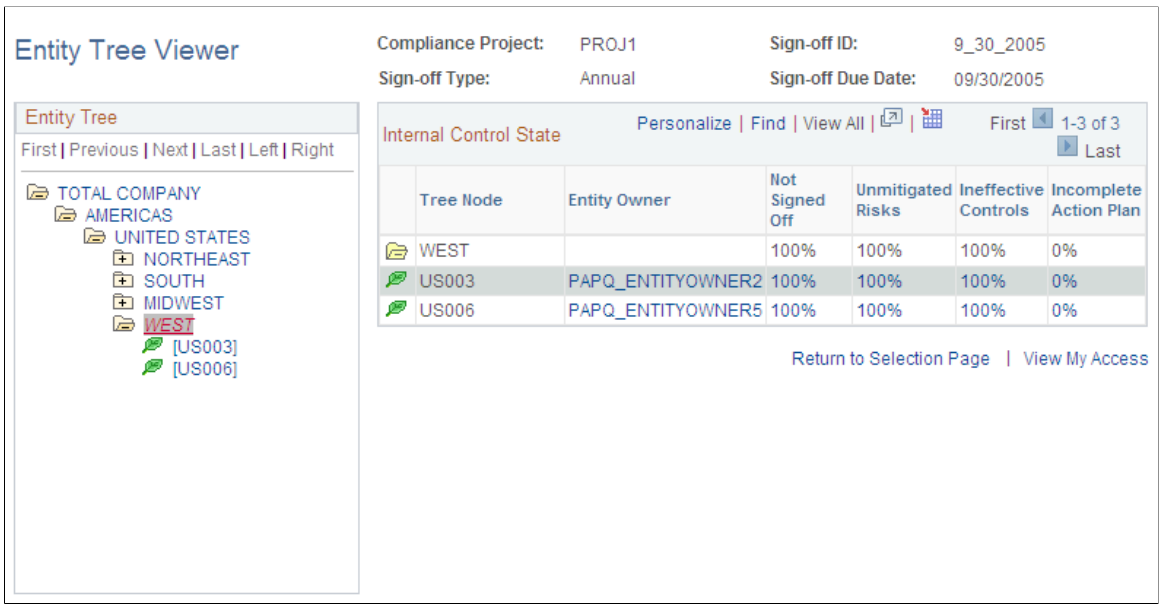
This example illustrates the initial state of the entity tree on the Entity Tree Viewer page.



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:

Image: Entity Tree Viewer page

This example illustrates the detail values of a tree node on the Entity Tree Viewer page.



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 View My Access - Instance Ppage.

Entity Tree Selection Page

Use the Entity Tree Selection page (EPQ_ENTREE_SELECT) to specify the compliance project and tree to use for the Entity Tree Viewer page.

Navigation

Internal Controls Enforcer, Tree Viewer, Entity Tree Viewer

Image: Entity Tree Selection page

This example illustrates the fields and controls on the Entity Tree Selection page. You can find definitions for the fields and controls later on this 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.

Entity Tree Viewer Page

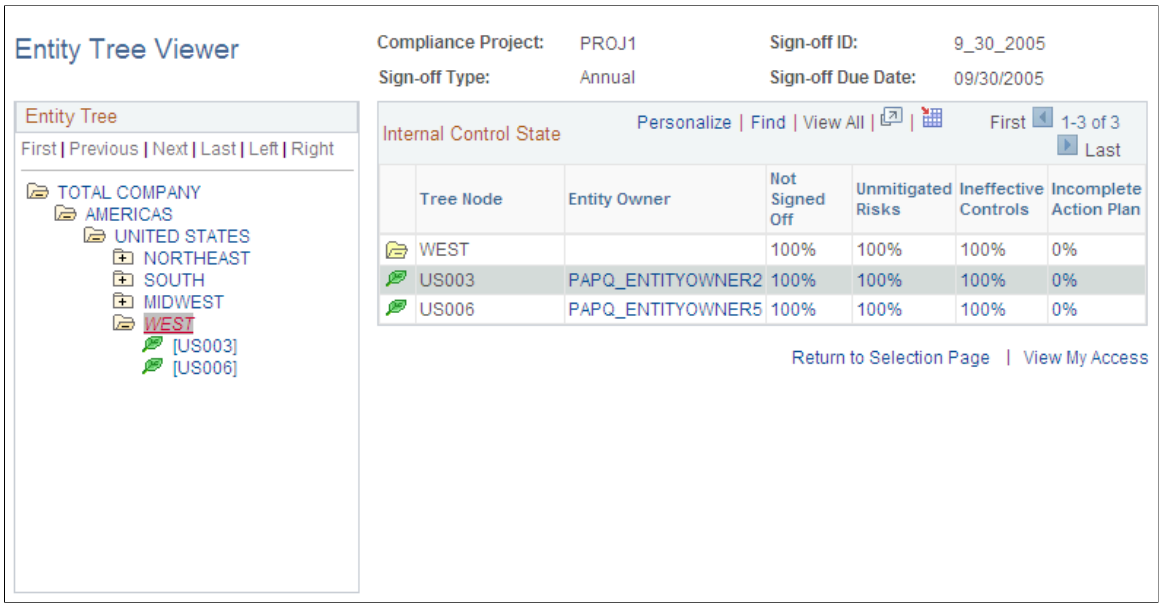
Use the Entity Tree Viewer page (EPQ_ENTITY_TREE) to review sign-off metrics for a compliance project summarized by entity.

Navigation

Click Go on the Entity Tree Selection page.

Image: Entity Tree Viewer page

This example illustrates the fields and controls on the Entity Tree Viewer page. You can find definitions for the fields and controls later on this 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.

Related Links

Internal Controls by Entity Page

Internal Controls by Entity Page

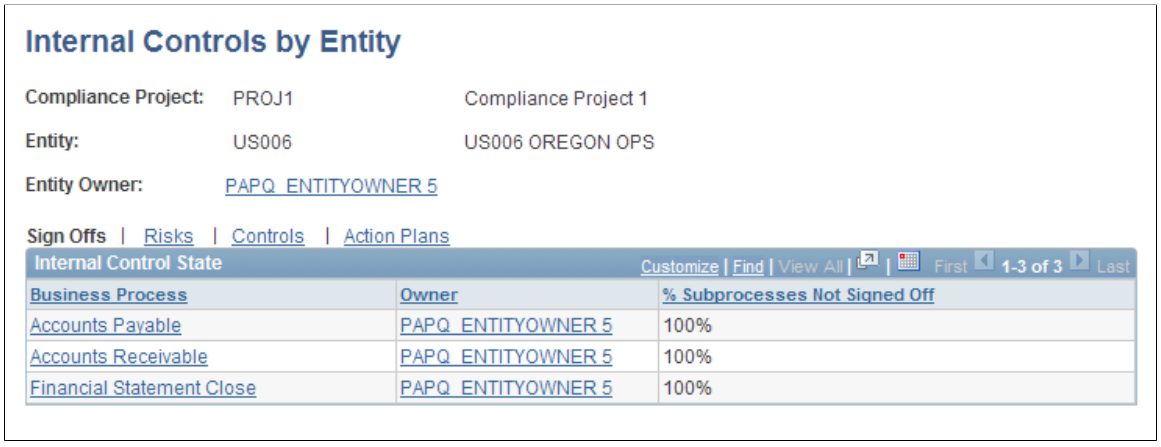
Use the Internal Controls by Entity page (EPQ_ENT_BPDETAIL) to review internal control metrics for the processes associated with an entity.

Navigation

Click a detail value on the Entity Tree Viewer page.

Image: Internal Controls by Entity page

This example illustrates the fields and controls on the Internal Controls by Entity page. You can find definitions for the fields and controls later on this 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 Internal Controls by Business Process Page.

Business Process Tree Selection Page

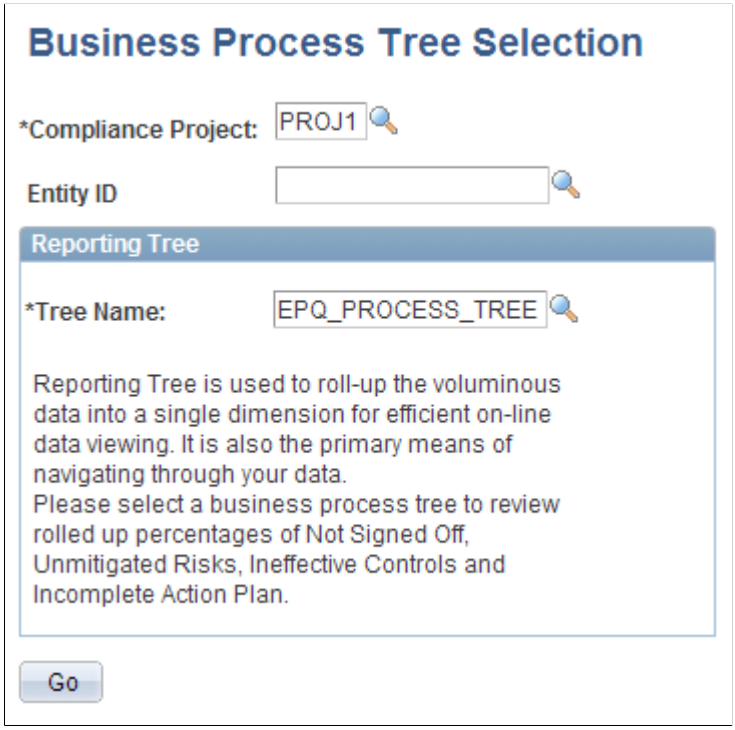
Use the Business Process Tree Selection page (EPQ_BPTREE_SELECT) to specify the compliance project, entity, and tree to use for the Business Process Tree Viewer page.

Navigation

Internal Controls Enforcer, Tree Viewer, Business Process Tree Viewer.

Image: Business Process Tree Selection page

This example illustrates the fields and controls on the Business Process Tree Selection page. You can find definitions for the fields and controls later on this page.



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.

Business Process Tree Viewer Page

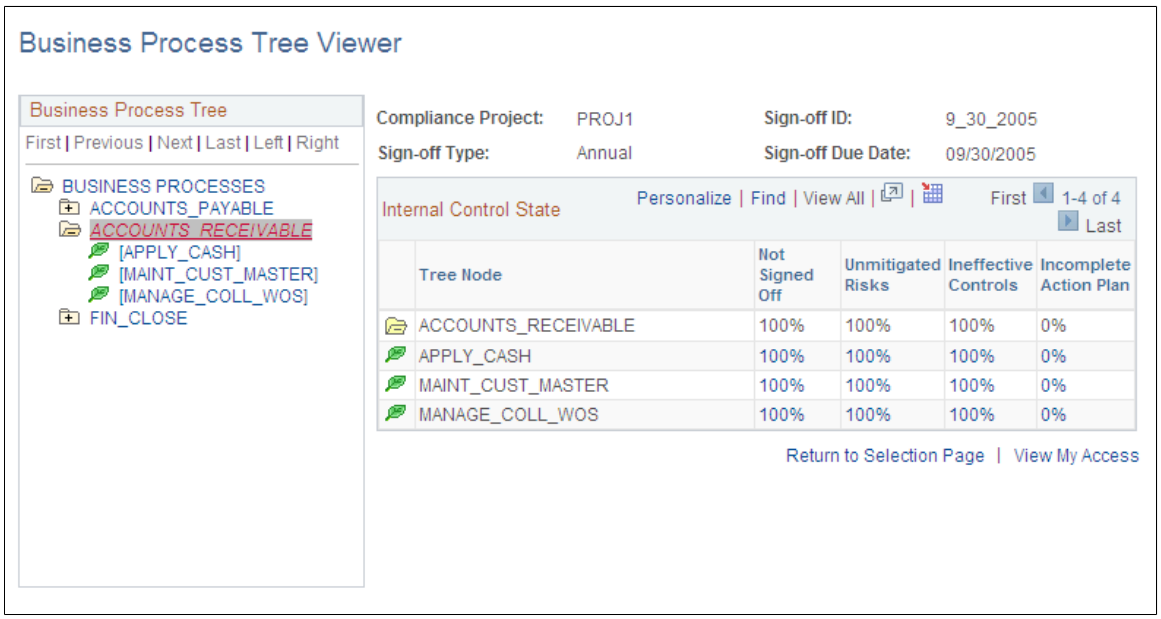
Use the Business Process Tree Viewer page (EPQ_PROCESS_TREE) to review sign-off metrics for a compliance project summarized by business process.

Navigation

Click Go on the Business Process Tree Selection page.

Image: Business Process Tree Viewer page

This example illustrates the fields and controls on the Business Process Tree Viewer page. You can find definitions for the fields and controls later on this 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.

Internal Controls by Business Process Page

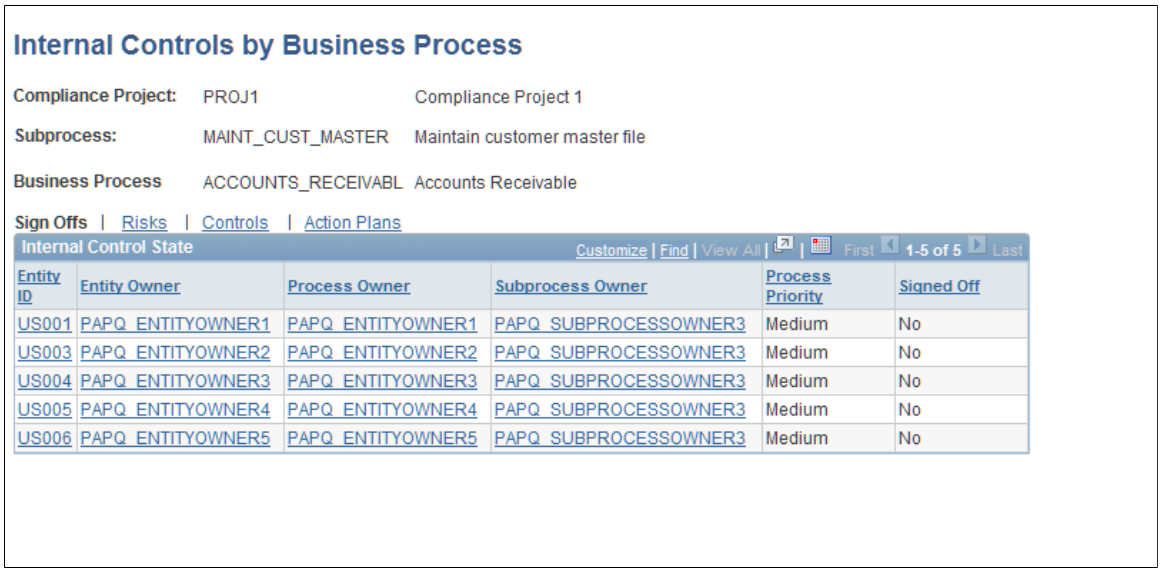
Use the Internal Controls by Business Process page (EPQ_BPTREE_DTL) to review internal control metrics for processes and subprocesses.

Navigation

Click a detail value on the Business Process Tree Viewer page.

Image: Internal Controls by Business Process page

This example illustrates the fields and controls on the Internal Controls by Business Process page. You can find definitions for the fields and controls later on this 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

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 Internal Controls Enforcer General Preferences Page.

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 Internal Controls Enforcer General Preferences Page.

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.

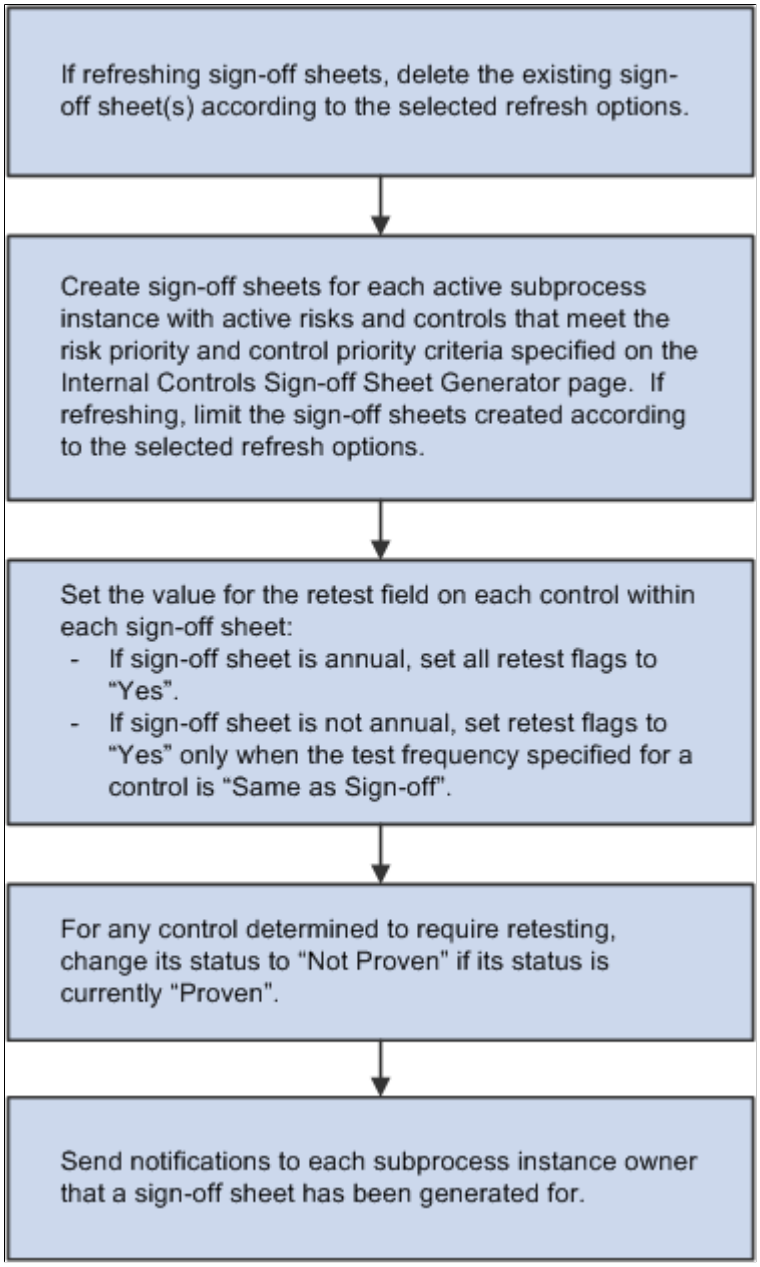
Sign-Off Sheet Generator Process Flow

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.

Image: Sign-Off Sheet Generator process flow

Process flow of the Sign-Off Sheet Generator Application Engine (EPQ_SO_GEN)



Managing the Internal Controls Certification Process

This topic discusses managing the Internal Control Certification process.

Pages Used to Manage the Internal Controls Certification Process

Page Name	*Definition Name*	*Usage*
Internal Controls Sign-off Sheet Generator Page	EPQ_SO_GEN	Create the sign-off sheets that are used for certifying internal controls.
Schedule Sign-off Generation Page	EPQ_SIGN_OFF_RUN	Define scheduled sign-off sheet generation.
Sign-off Sheet Generation History Page	EPQ_SO_HIST	Lists the events that have occurred for a sign-off sheet.
Internal Controls Sign-off Sheet Refresh Page	EPQ_SO_REFRESH	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 Page	EPQ_SO_REFRESH_RUN	Define scheduled sign-off sheet refreshes.

Internal Controls Sign-off Sheet Generator Page

Use the Internal Controls Sign-off Sheet Generator page (EPQ_SO_GEN) to create the sign-off sheets that are used for certifying internal controls.

Navigation

Internal Controls Enforcer, Sign Off, Sign-off Setup, Sign-off Sheet Generator

Image: Internal Controls Sign-off Sheet Generator page

This example illustrates the fields and controls on the Internal Controls Sign-off Sheet Generator page. You can find definitions for the fields and controls later on this 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:

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.

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 *Generated.*

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 Test Plan Page.

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 *New.*

Cancel Sign-off Sheet Click to cancel generated sign-off sheets; the system changes the status of all existing sign-off sheets to *Canceled*. 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 Internal Controls Enforcer General Preferences Page.

Schedule Sign-off Generation Page

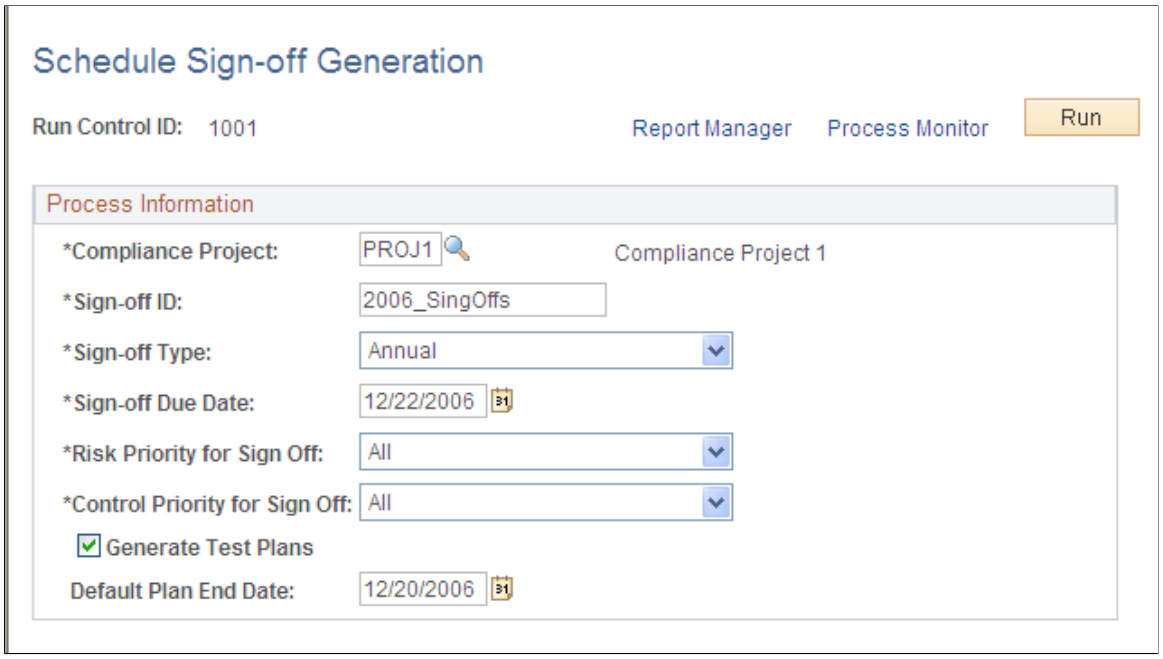
Use the Schedule Sign-off Generation page (EPQ_SIGN_OFF_RUN) to define scheduled sign-off sheet generation.

Navigation

Internal Controls Enforcer, Sign Off, Sign-off Setup, Schedule Sign-off Generation

Image: Schedule Sign-off Generation page

This example illustrates the fields and controls on the Schedule Sign-off Generation page. You can find definitions for the fields and controls later on this 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 Test Plan Page.
Run	Click to run the Sign-Off Sheet Generator process via process scheduler.

See the product documentation for *PeopleTools: Applications User's Guide*.

See the product documentation for *PeopleTools: Process Scheduler*.

Sign-off Sheet Generation History Page

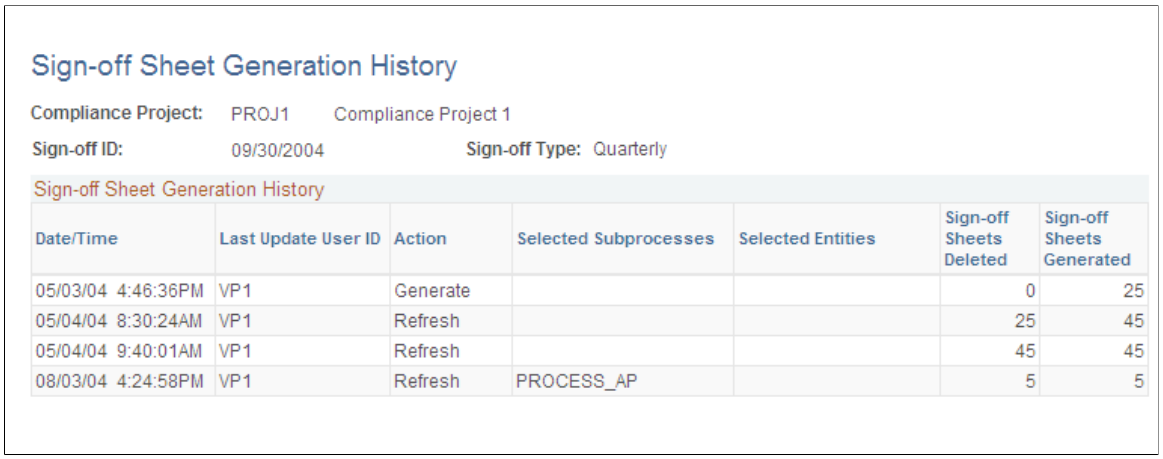
Use the Sign-off Sheet Generation History page (EPQ_SO_HIST) to lists the events that have occurred for a sign-off sheet.

Navigation

- 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.

Image: Sign-off Sheet Generation History page

This example illustrates the fields and controls on the Sign-off Sheet Generation History page. You can find definitions for the fields and controls later on this page.



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

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 Displays the action taken. Values are:

Generate: Indicates that sign-off sheets were generated.

Refresh: Indicates that sign-off sheets were refreshed.

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).

Internal Controls Sign-off Sheet Refresh Page

Use the Internal Controls Sign-off Sheet Refresh page (EPQ_SO_REFRESH) to regenerate existing sign-off sheets.

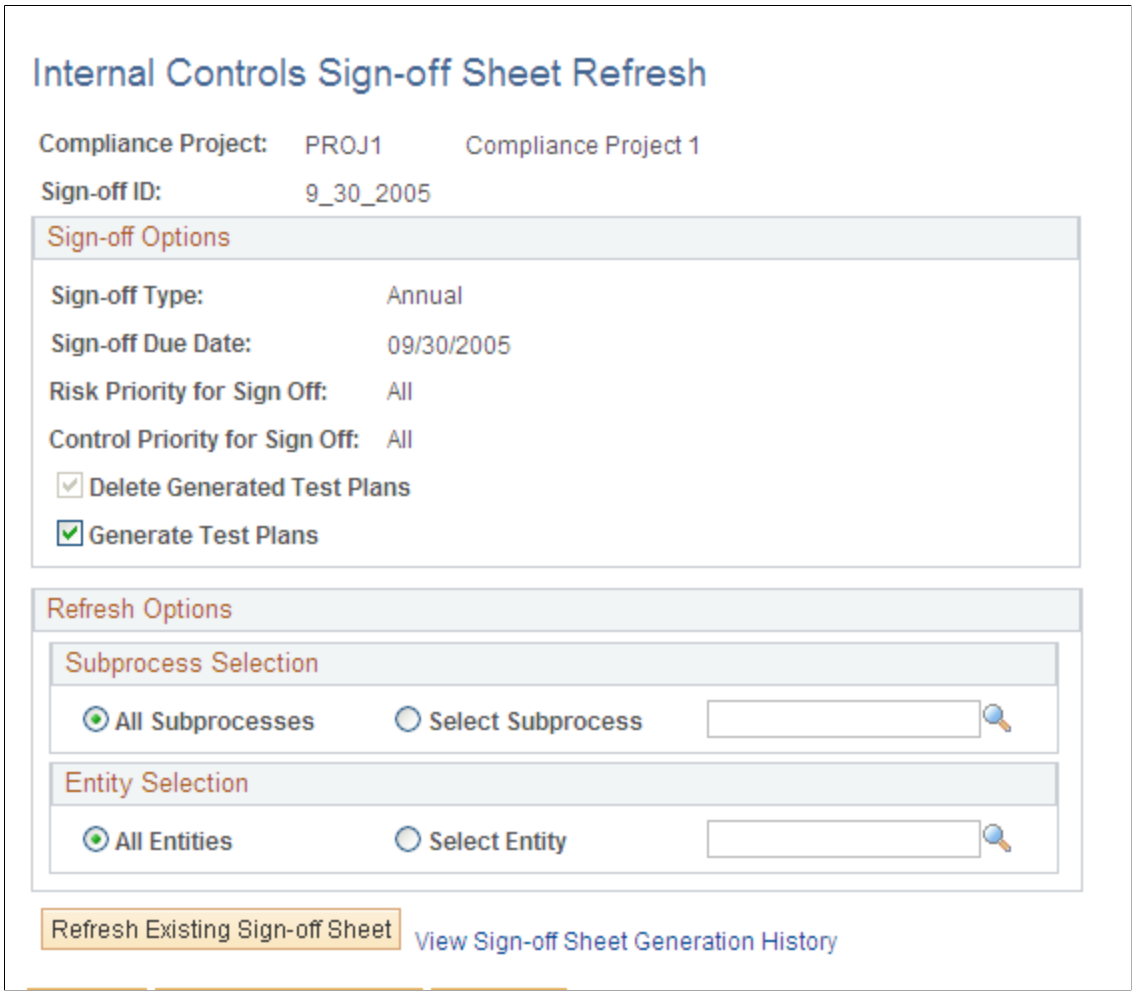
Any existing sign-off sheet activity or sign-off worksheet activity is lost. This enables you to recreate sign-off sheets if you have modified risks and controls after the sign-off sheets were initially created.

Navigation

- 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.

Image: Internal Controls Sign-off Sheet Refresh page

This example illustrates the fields and controls on the Internal Controls Sign-off Sheet Refresh page. You can find definitions for the fields and controls later on this 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.

Schedule Sign-off Refresh Page

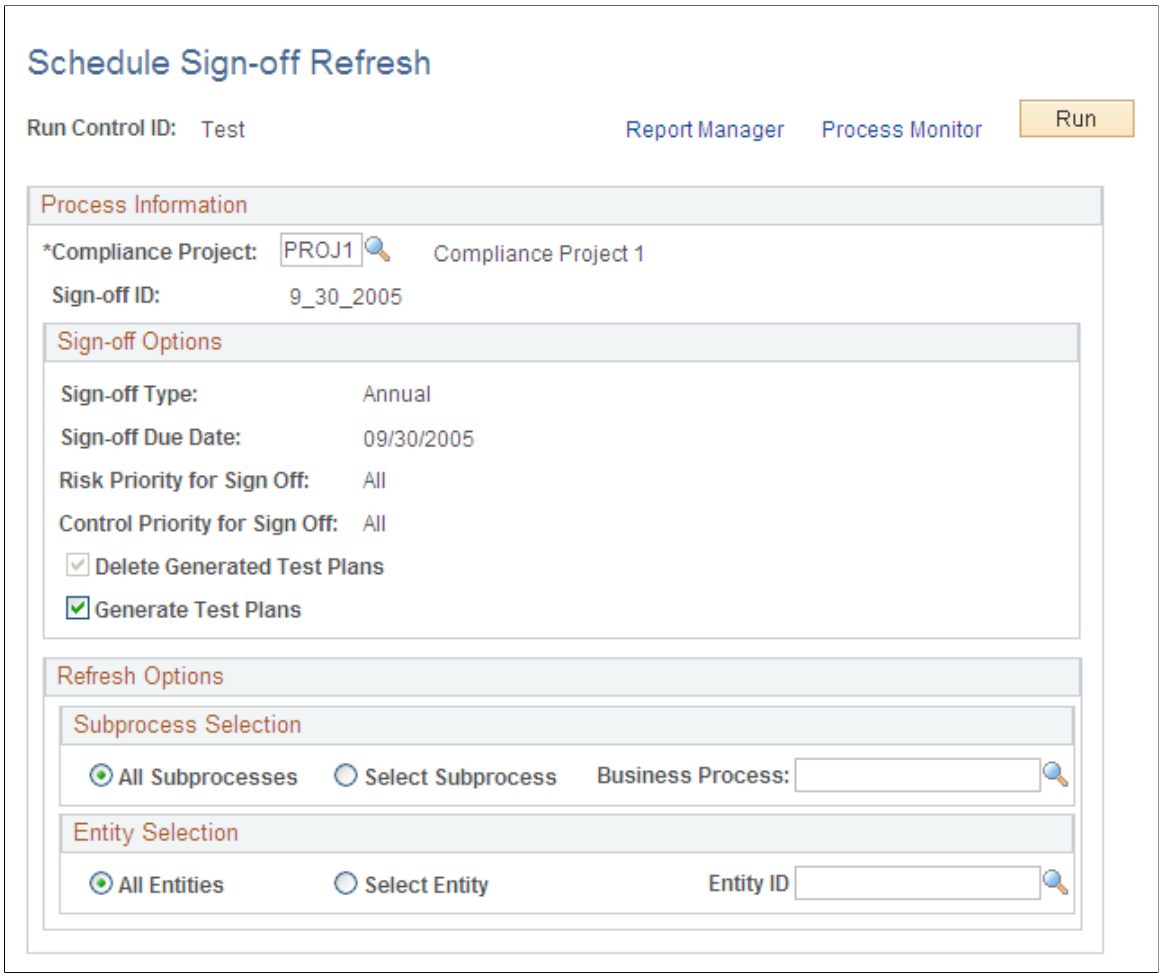
Use the Schedule Sign-off Refresh page (EPQ_SO_REFRESH_RUN) to define scheduled sign-off sheet refreshes.

Navigation

Internal Controls Enforcer, Sign Off, Sign-off Setup, Schedule Sign-off Refresh

Image: Schedule Sign-off Refresh page

This example illustrates the fields and controls on the Schedule Sign-off Refresh page. You can find definitions for the fields and controls later on this 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.

See the product documentation for *PeopleTools: Applications User's Guide*.

See the product documentation for *PeopleTools: 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 topic discusses methods to certify controls and sign off sub processes.

Pages Used to Sign Off Internal Controls

Page Name	*Definition Name*	*Usage*
Internal Controls Sign-off Worksheet Page	EPQ_WORKSHEET	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.

Page Name	Definition Name	Usage
Internal Controls Sign Off Page	EPQ_SIGN_OFF	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 Comment Page	EPQ_ADD_COMMENT	Enter sign off comments on the page. To access: • Click Add Reviewer Comments on the Internal Controls Sign Off page. • Automatically accessed whenever a business process owner denies a sign-off sheet.
View Reviewer Comments Page	EPQ_VIEW_COMMENT	View existing comments. Click View Reviewer Comments on the Internal Controls Sign Off page.
Control Change Comments Page	EPQ_CTL_CHG_SEC	Enter or review control change comments. Click on the Comments button for a Risk Control ID. See Internal Controls Sign-off Worksheet Page
Control Retest Comments Page	EPQ_CTL_RT_SEC	Enter or review control retest comments. Click on the Comments button for a Risk Control ID. See Internal Controls Sign-off Worksheet Page

Internal Controls Sign-off Worksheet Page

Use the Internal Controls Sign-off Worksheet page (EPQ_WORKSHEET) to view and update the status of subprocess controls.

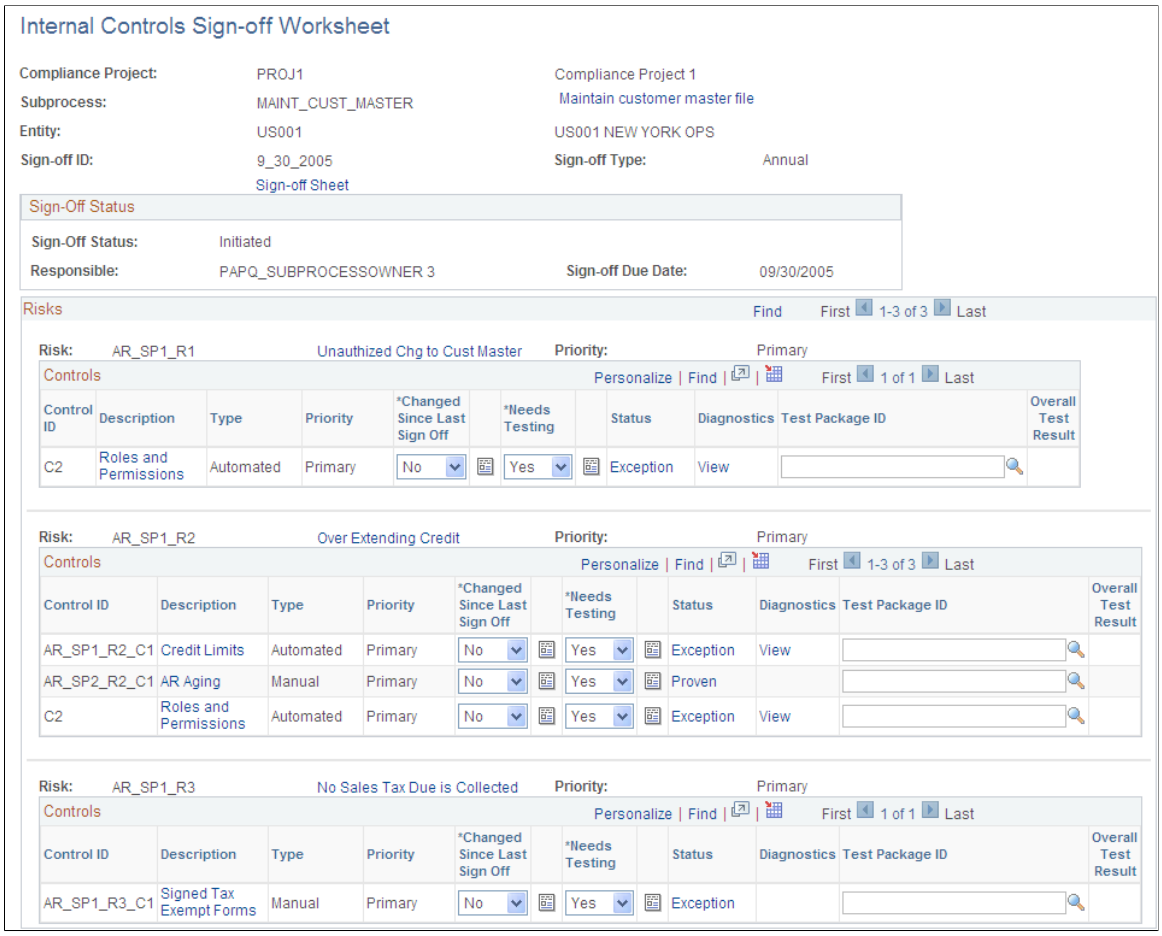
You can change the status of the controls by using this page, but you can't certify that the internal controls for a subprocess are proven; that action is performed by using the Internal Controls Sign Off page.

Navigation

- Internal Controls Enforcer, Sign Off, Sign-off Worksheet
- Click the Worksheet link on the Internal Controls Sign Off page.

Image: Internal Controls Sign-off Worksheet page

This example illustrates the fields and controls on the Internal Controls Sign-off Worksheet page. You can find definitions for the fields and controls later on this 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 If the current sign-off status is *Initiated,* select *Yes* to indicate that this control has changed since the last sign off, or *No* if it has not changed.

If the sign-off status is *Subprocess Signed Off, Signed Off,* or *Canceled,* this field is display-only.

Needs Testing If the current sign-off status is *Initiated,* select *Yes* to indicate that this control needs to be tested, or *No* if it does not.

If the sign-off status is *Subprocess Signed Off, Signed Off,* or *Canceled,* this field is display-only.

When the system generates sign-off sheets, it automatically sets this field to *yes* when the control's test frequency is set to *Same as Sign Off*.

The control frequency is set by using the Control Definition page.

See Control Definition Page.

 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 *View;* otherwise this field is blank. Click *View* 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 Test Packages.

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 *Failed*; if all of the tests within the test package pass, then the overall test result is set to *Passed.*

Click the result value to access the Test Plan Package page, where you can view the details of the test package results.

See Test Plan Package Page.

Related Links

Understanding Subprocess Management

Internal Controls Sign Off Page

Use the Internal Controls Sign Off page (EPQ_SIGN_OFF) to enables subprocess owners and, optionally, business process owners to certify that the internal controls for a subprocess are proven.

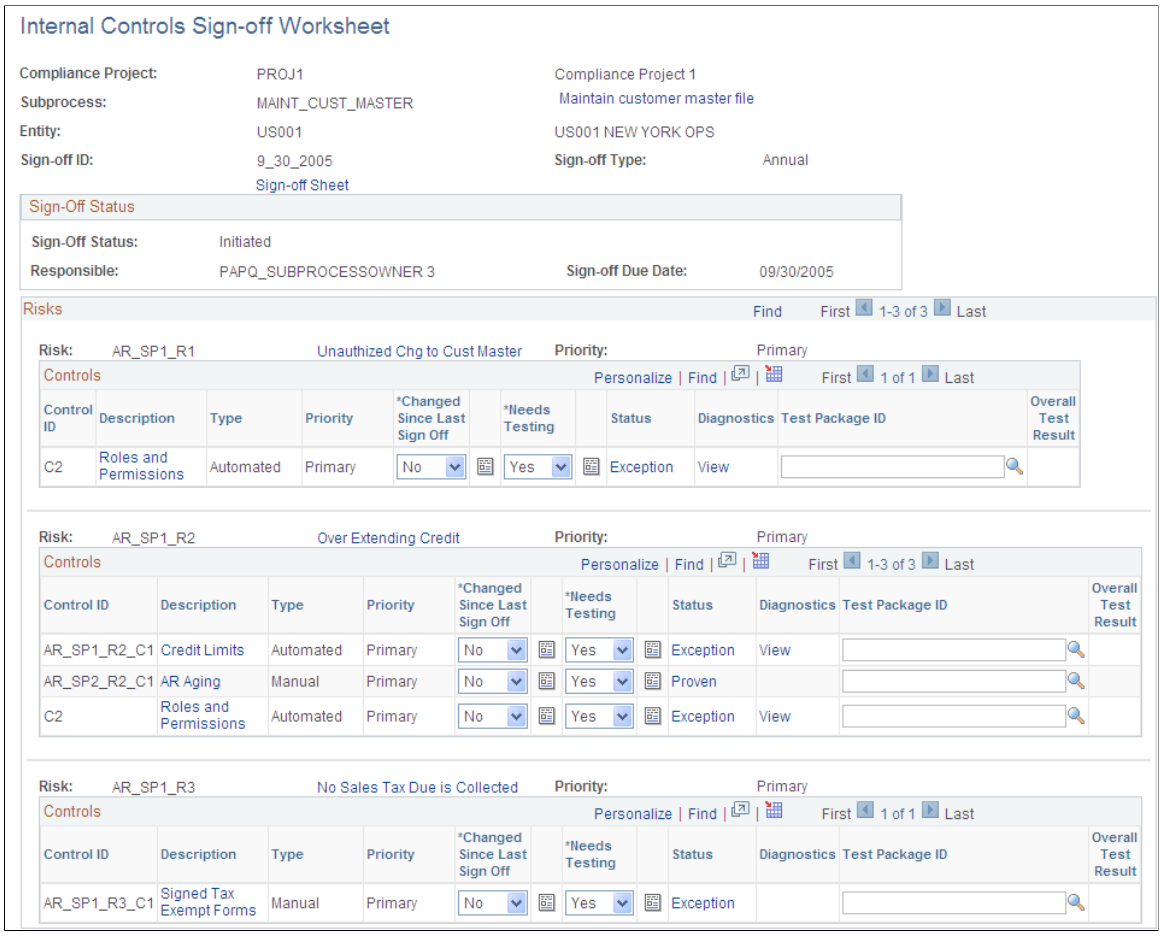
Only the sign-off status is updated by using this page; the status of the associated controls is maintained by using the Internal Controls Sign-Off Worksheet page and other related pages.

Navigation

- Internal Controls Enforcer, Sign Off, Sign-off Sheet
- Click the Sign-off Sheet link on the Internal Controls Sign Off page.

Image: Internal Controls Sign Off page

This example illustrates the fields and controls on the Internal Controls Sign Off page. You can find definitions for the fields and controls later on this 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 *View;* otherwise this field is blank. Click *View* 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

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 Interaction Hub 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 Setting Up Preferences.

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.

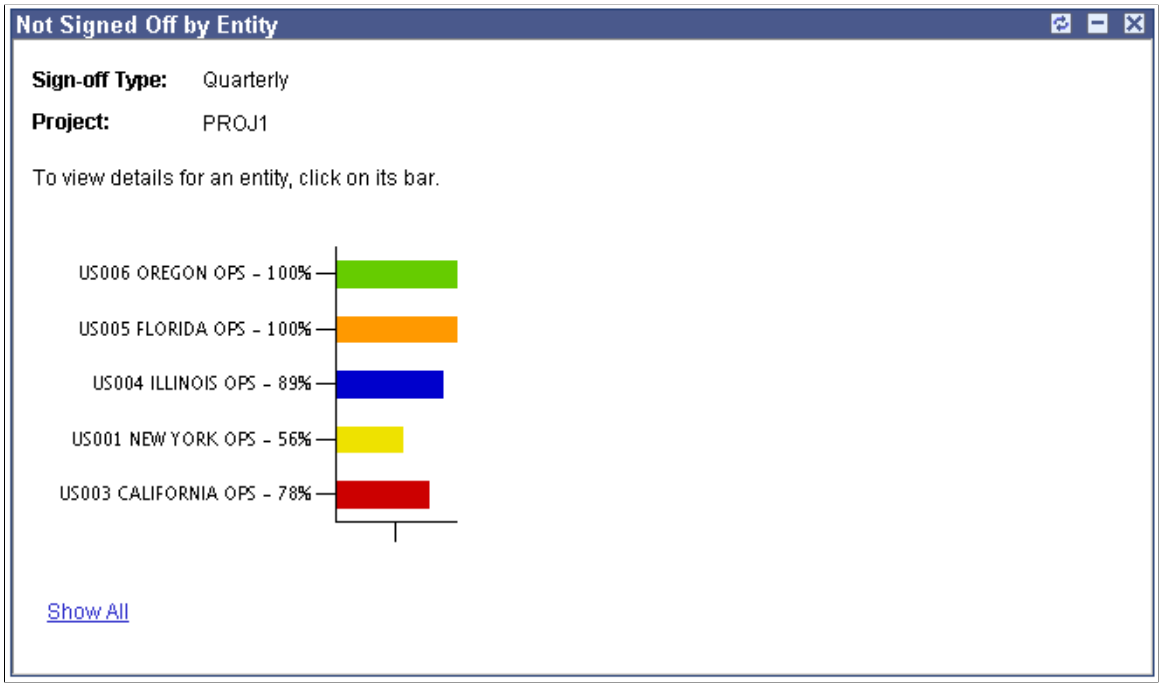
- Business Process Status pagelet.
- Report Business Conduct pagelet.

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.

Image: Not Signed Off by Entity pagelet

This example illustrates the percentage of sign-off sheets by entity on the 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.

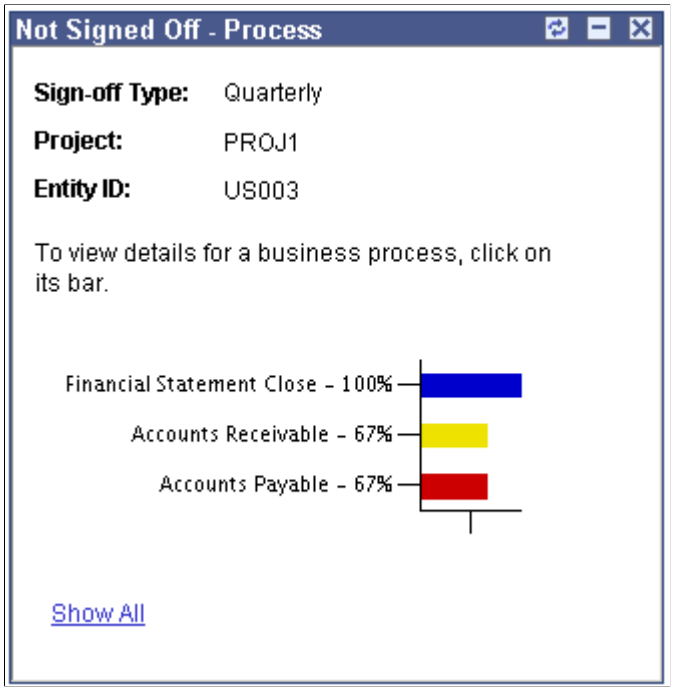
By clicking the Show All link, you can access a page that shows this information for all entities.

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.

Image: Not Signed Off - Process pagelet

This example illustrates the percentage of sign-off sheets by business process on the 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.

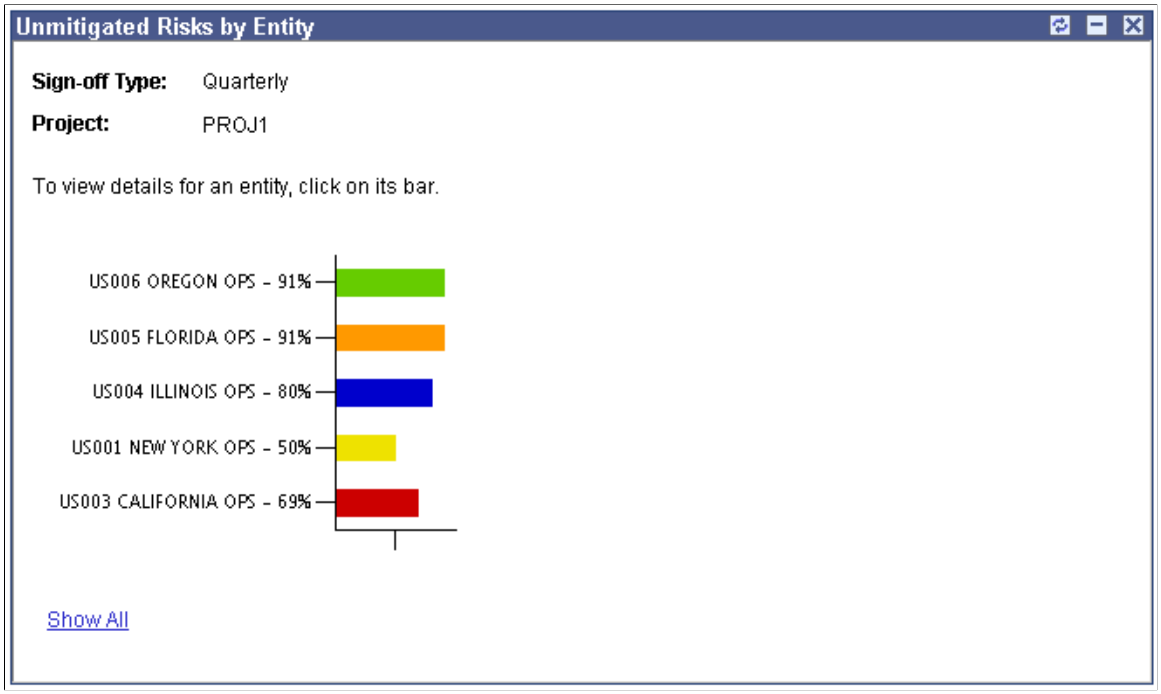
By clicking the Show All link, you can access a page that shows this information for all business processes.

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.

Image: Unmitigated Risks by Entity pagelet

This example illustrates the percentage of unmitigated risks by entity on the 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.

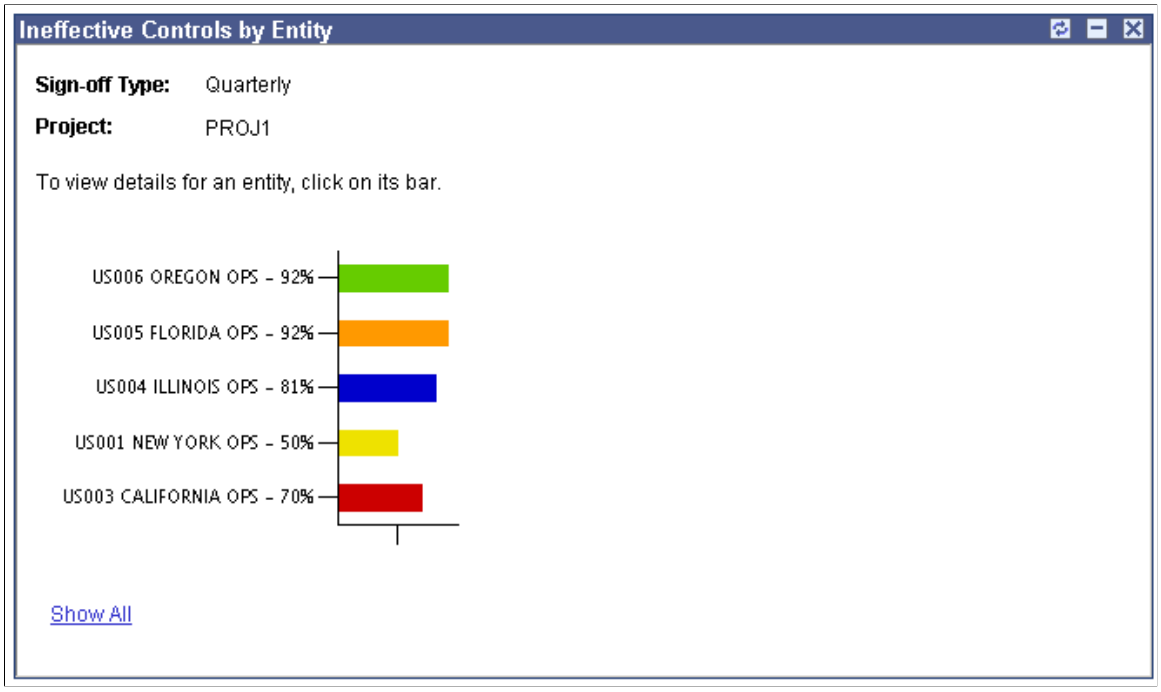
By clicking the Show All link, you can access a page that shows this information for all entities.

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.

Image: Ineffective Controls by Entity pagelet

This example illustrates the percentage of ineffective controls by entity on the 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.

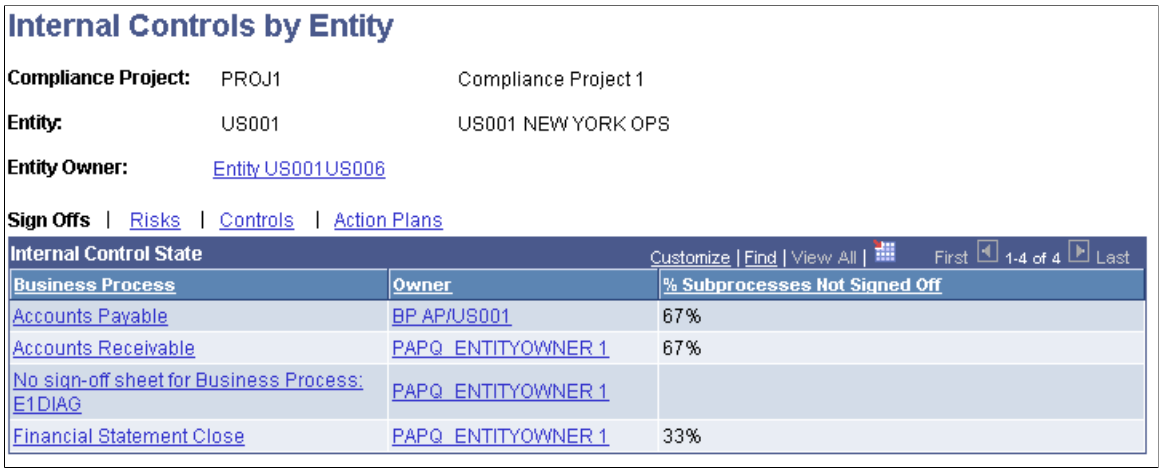
By clicking the Show All link, you can access a page that shows this information for all entities.

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.

Image: Internal Controls by Entity page

This example illustrates the fields and controls on the Internal Controls by Entity page. You can find definitions for the fields and controls later on this 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.

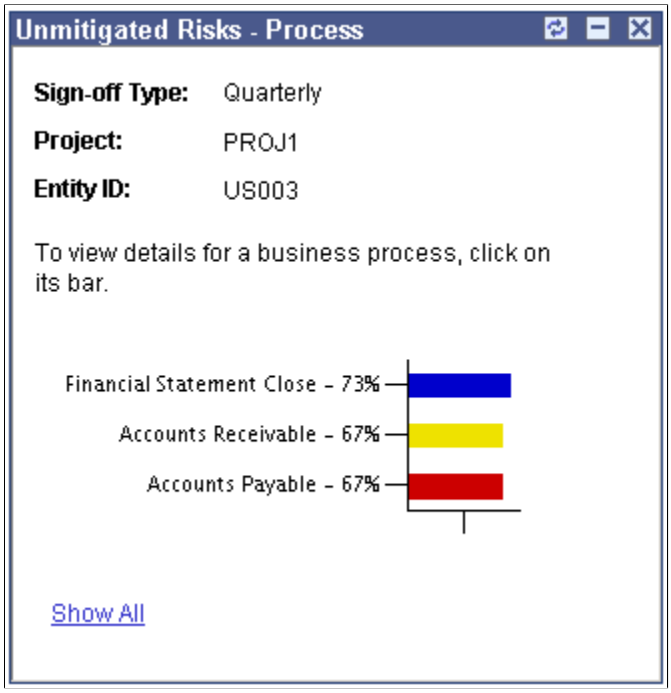
Business Process — Click on the business process description to access the Internal Controls by Business Process page, where you can view details for the subprocesses within that business process.

Unmitigated Risks - Process Pagelet

Enables business process owners to view the percentage of unmitigated risks by business process for the active sign-off sheet.

Image: Unmitigated Risks - Process pagelet

This example illustrates the percentage of unmitigated risks by business process on the 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.

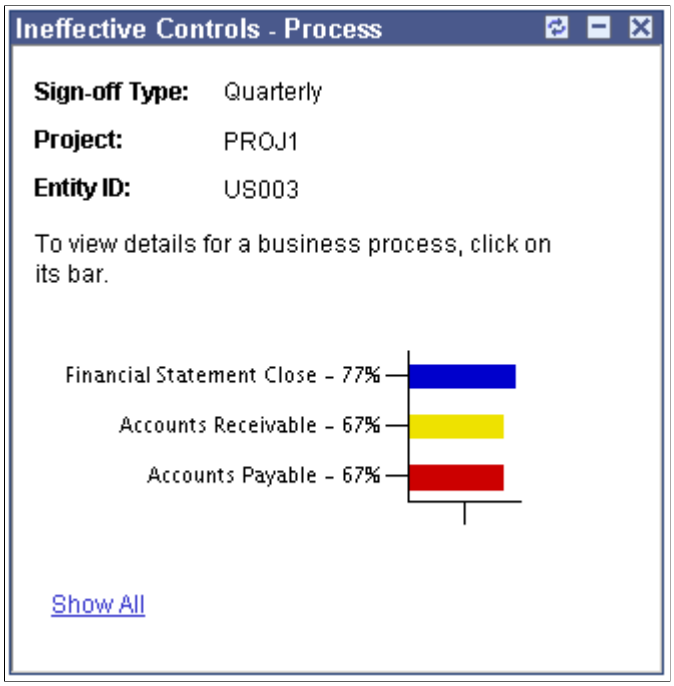
By clicking the Show All link, you can access a page that shows this information for all business processes.

Ineffective Controls - Process Pagelet

Enables business process owners to view the percentage of ineffective controls by business process for the active sign-off sheet.

Image: Ineffective Controls - Process pagelet

This example illustrates the percentage of ineffective controls by business process on the 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.

Image: Internal Controls by Business Process page

This example illustrates the fields and controls on the Internal Controls by Business Process page. You can find definitions for the fields and controls later on this 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.

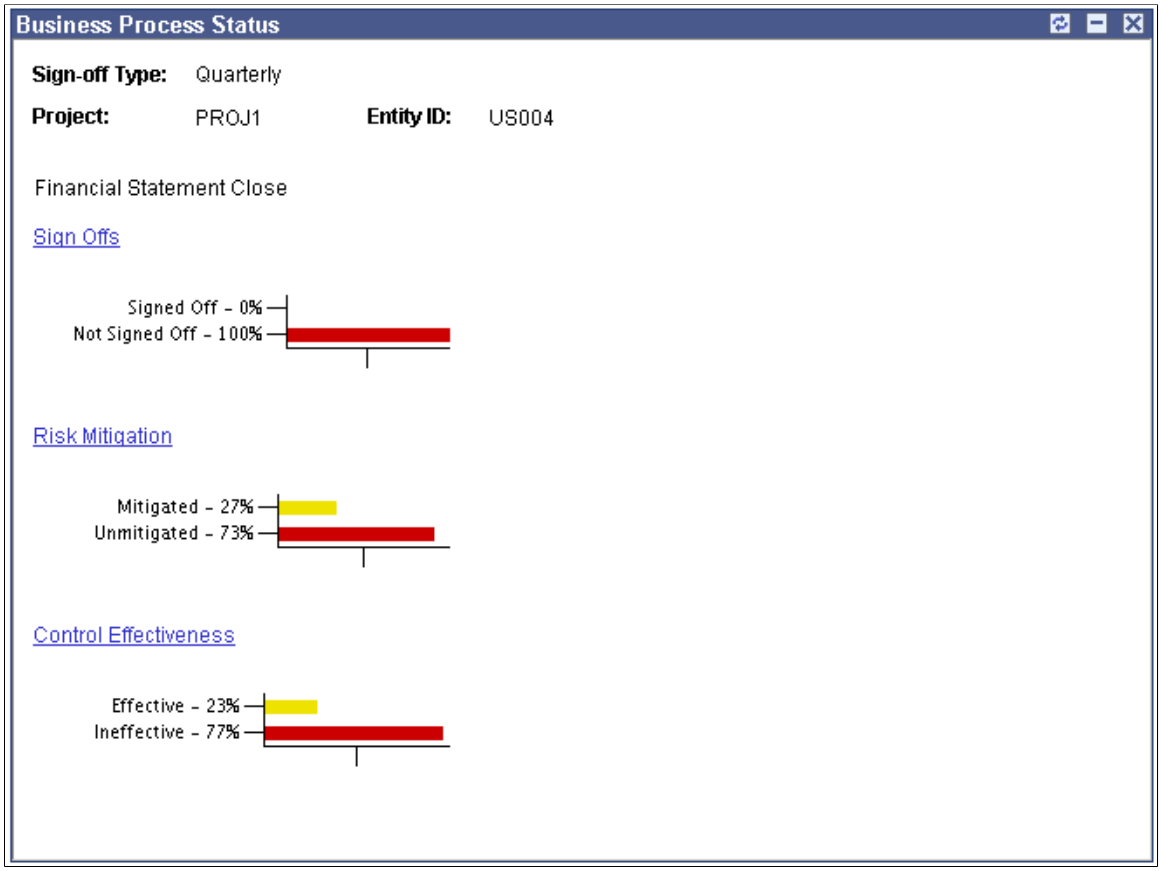
Action Plans — Click this link to view metrics about the action plans for each subprocess associated with this business process.

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.

Image: Business Process Status pagelet

This example illustrates the fields and controls on the Business Process Status pagelet. You can find definitions for the fields and controls later on this page.



The business process for which these percentages appear is established by using the Pagelet User Preferences - Business Processes Status page.

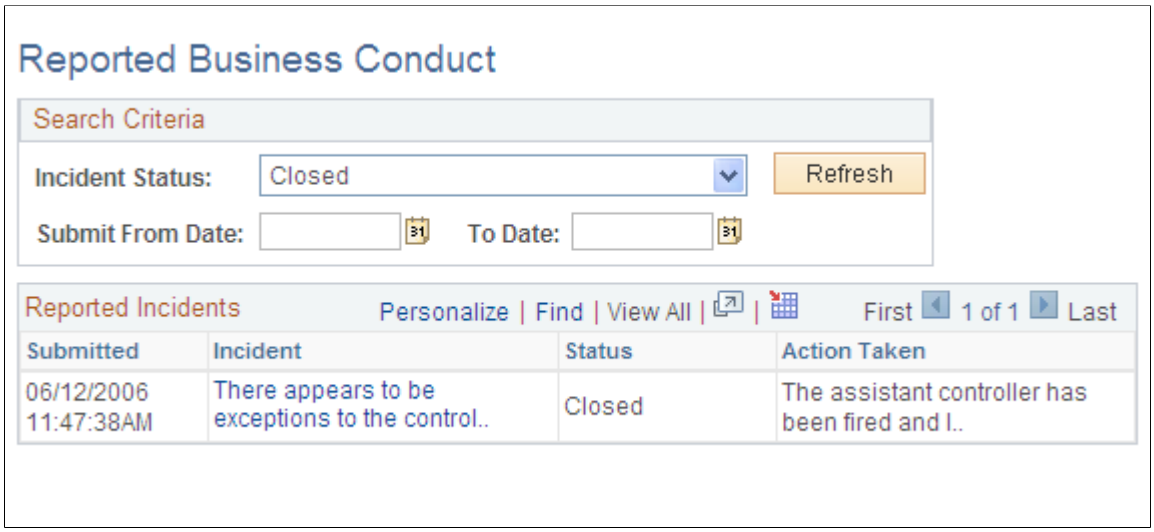
Sign Offs	Click this link to access the Internal Controls by Business Process page, where you can view sign off details for the subprocesses within this business process.
Risk Mitigation	Click this link to access the Internal Controls by Business Process page, where you can view metrics about the unmitigated 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.

Image: Report Business Conduct pagelet

This example illustrates the fields and controls on the Report Business Conduct pagelet. You can find definitions for the fields and controls later on this page.



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 Reported Business Conduct Page.

Chapter 13

Reporting Business Conduct Violations

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 Report Business Conduct Pagelet.

Reviewing Submitted Incidents

This topic discusses viewing reported incidents and updating an incident.

Pages Used to Review Submitted Incidents

Page Name	*Definition Name*	*Usage*
Reported Business Conduct Page	EPQ_VW_RPT_INCID	View submitted business conduct incidents.
Incident Details Page	EPQ_INCIDNT_DTL	Review the history of an incident, update its status, and indicate any action taken.

Reported Business Conduct Page

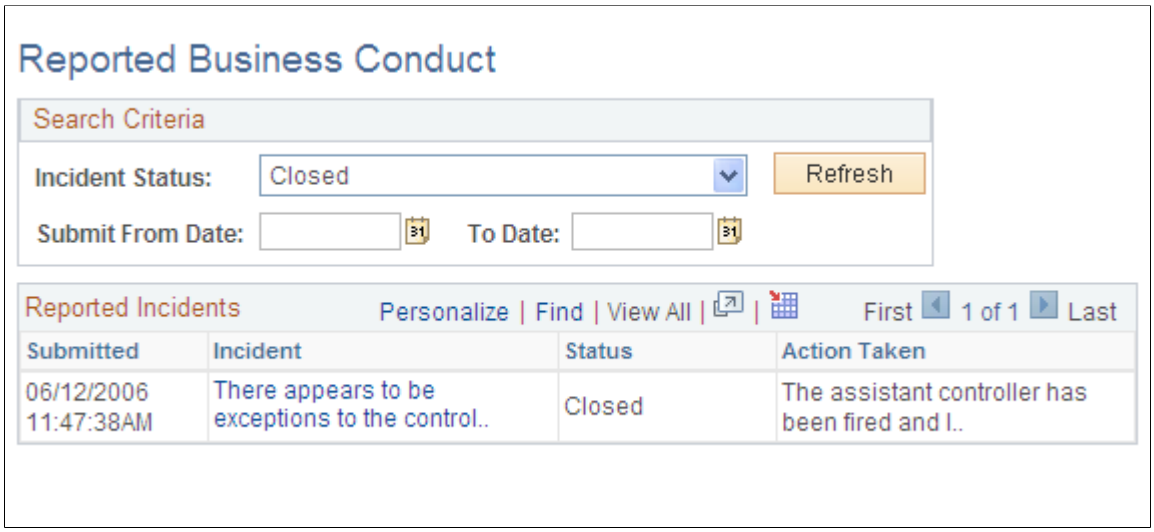
Use the Reported Business Conduct page (EPQ_VW_RPT_INCID) to view submitted business conduct incidents.

Navigation

Internal Controls Enforcer, Business Conduct Alert, Reported Business Conduct

Image: Reported Business Conduct page

This example illustrates the fields and controls on the Reported Business Conduct page. You can find definitions for the fields and controls later on this 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.

Incident Details Page

Use the Incident Details page (EPQ_INCIDNT_DTL) to review the history of an incident, update its status, and indicate any action taken.

Navigation

Click the text for an incident in the incident column on the Reported Business Conduct page.

Image: Incident Details page

This example illustrates the fields and controls on the Incident Details page. You can find definitions for the fields and controls later on this 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.

Chapter 14

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.

See the product documentation for *PeopleTools: Security Administration*, "Administering User Profiles."

See the product documentation for *PeopleTools: Workflow Technology*.

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

Information Type	*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

Information Type	*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

Information Type	*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

Information Type	*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

Information Type	*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

Information Type	*Description*
Event Description	A user changes the Assigned To field on the Action Plan page and saves the change.

Information Type	*Description*
Action Description	The system sends the person identified in the Assigned To field a notification.
Notification Type	Email or worklist.

Workflow Objects

Information Type	*Description*
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

Information Type	*Description*
Event Description	A user changes the business process or subprocess instance owner within the Process Instance Definitioncomponent, 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

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
Activity	EPQ_BPI_ROUTING

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
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

Information Type	*Description*
Event Description	User clicks Submit on the Internal Control Sign Off page.

Information Type	*Description*
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

Information Type	*Description*
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

Information Type	*Description*
Event Description	Business process owner selects *Denied* 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

Information Type	*Description*
Business Process	EPQ_USER_NOTIFY
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

Information Type	*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

Information Type	*Description*
Business Process	EPQ_USER_NOTIFY

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
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

Information Type	*Description*
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

Information Type	*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.

Workflow Objects

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
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

Information Type	*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

Information Type	*Description*
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.

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

Information Type	*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

Information Type	*Description*
Calling Application	EPQ_PLN_ALRT Application Engine Program
PeopleCode	EPQ_PLN_ALRT.Notify.Step03
Role	Email address associated with user profile of business process instance owner.

Chapter 15

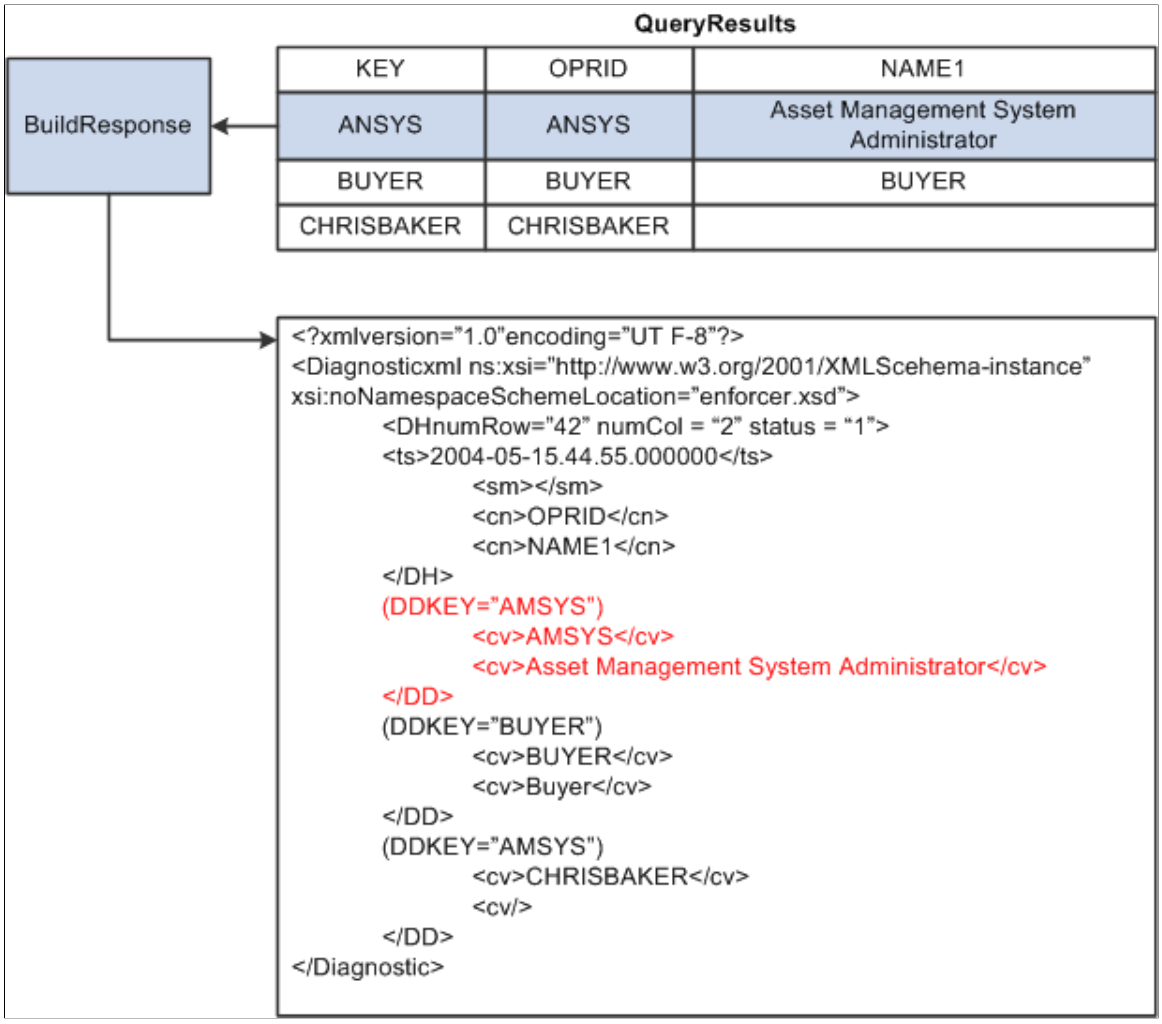
Adding Diagnostics

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.

Image: Key column use in BuildResponse function

The following diagram shows an example of how the system uses the key column.



Note: A red paper is available on My Oracle Support that provides guidelines about how to define *new* diagnostic source types.

See PeopleSoft Internal Controls Enforcer Diagnostics Red Paper on My Oracle Support.

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 Define SQL Reference Page.

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 setRsponse 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.

Chapter 16

PeopleSoft Internal Controls Enforcer Reports

Understanding 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.

Note: For samples of these reports, see the PDF files that are published on CD-ROM with your documentation

See the product documentation for *PeopleTools: Applications User's Guide*.

See the product documentation for *PeopleTools: BI Publisher for PeopleSoft*.

See the product documentation for *PeopleTools: Process Scheduler*.

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
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

Report ID and Report Name	Description	Navigation	Run Control Page
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
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
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

Report ID and Report Name	Description	Navigation	Run Control Page
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
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

Report ID and Report Name	Description	Navigation	Run Control Page
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
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	Specify the entities to include in the report. Options are: *All Values:* Select to include all entities. *Selected Values:* 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
Element Option	Specify the elements to include in the report. Options are: *All Values:* Select to include all elements. *Selected Values:* 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
Process Owner Option	Specify which business process owners to include in the report. Options are: *All Values:* Select to include all business process owners. *Selected Values:* 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
Risk Option	Specify the risks to include in the report. Options are:

All Values: Select to include all risks.

Begins With: 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.

Selected Values: 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.

Control Option

Specify the controls to include in the report. Options are:

All Values: Select to include all controls.

Begins With: 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.

Selected Values: 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.

Test Status Option

Specify the test plans to include in the report, based on their current status. Options are: *Cancelled, Completed, Not Started,* and *Started.*

Action Plan Status

Specify the action plans to include in the report, based on their current status. Options are: *Cancelled, Completed, Not Started,* and *Started.*

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.

