ACTIVE Governance™

Control Monitors
Reference Guide

Software Version 7.2

Logical Apps

Document Version AG011-720B

3/29/07

Contents

Control Monitors

ACTIVE Governance both documents and enforces business controls, enabling users to demonstrate regulatory compliance and to promote operational efficiency. An ACTIVE Governance Platform fulfills the documentary purpose, maintaining a "control library" in which users describe and catalog controls as well as other items that establish the business context in which controls exist. The Platform also provides for the review of control-library items, and for reporting on their status.

Moreover, the Platform serves as a foundation for three modules that provide the capability to automate the enforcement of controls. One of these modules is ACTIVE Policy Governor™, which enables users to create "control monitors." Each of these employs one or more statements, written in structured query language (SQL), that define actions subject to control. It establishes a sequence in which the statements are evaluated and the records they return are designated as "suspect tasks." Each monitor, once configured, is attached to a control definition written in the ACTIVE Governance Platform.

Rather than create control monitors one by one, you can import "prepackaged" control monitors provided by LogicalApps. This manual discusses the process of importing monitors and preparing them for use. It also documents the monitors offered by LogicalApps. For each, it describes what the monitor does, the parameters it uses, and the values it returns. Each monitor returns two messages: A Suspect Description message encapsulates the issue addressed by the monitor, and is presented in a Task List generated for each reviewer in the Task Inbox of the ACTIVE Governance Platform. A Suspect Information message explains the issue more thor-

oughly, and appears in a Suspect Details posting to the Task Inbox. The value descriptions explain what you can expect to see in these messages.

✎ **Note**

Control monitors incorporate SQL statements that extract data from Oracle Applications database tables. The SQL statements within the prepackaged control monitors are of necessity written for standard implementations of Oracle Applications. If you have customized a table and then attempt to use a prepackaged control monitor that takes data from that table, the monitor may not work as intended.

Importing Control Monitors

LogicalApps provides zip files that contain control monitors. To import a set of control monitors, copy such a file to the computer that hosts an ACTIVE Governance instance, and then complete the following steps. (You can undertake this procedure only if the primary application role assigned to you in ACTIVE Governance is Author, Manager, Rule Builder, System Administrator, or AG Super User.)

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

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

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

4 Ensure that the Control Monitor radio button is selected. (Other import files may contain control-library elements, and for such a file this panel would display

appropriate radio buttons. For a typical Control Monitor import, however, the panel displays only a Control Monitor radio button.)

5 Click on the Next button. A third import panel appears:
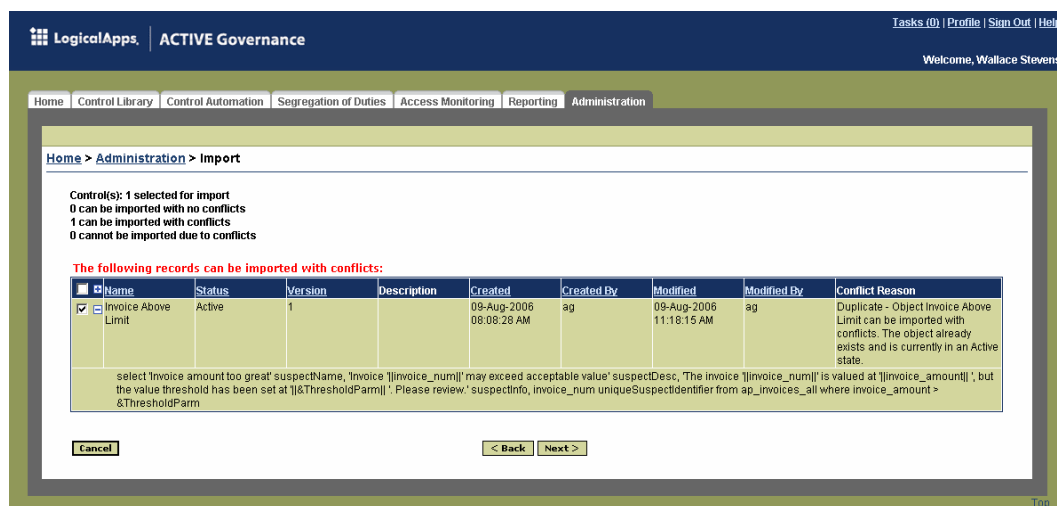
6 Review a grid in which each row provides information about one of the control monitors contained in the Import file: its name, status, version, description, creator, and most recent modifier, and the creation and modification dates. (Note that although the status of every monitor is Active, each monitor will be imported to your system in the Editing status.)

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

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

In each row, you can click on a +/- icon (also in the leftmost column) to display or hide the SQL Query written for the control monitor. (In the illustration, the SQL query is shown, below the columns that display other information about the control monitor.)

7 Click on the Next button. If you've selected monitors that conflict with monitors already existing on your system, a dialog box prompts you to confirm that you want to do so. Click on its OK button, and a final Import panel appears. It too provides a grid in which each row displays information about a successfully imported control monitor: name, status (now Editing rather than Active), version number, description, IDs of the creator and most recent modifier, and creation

and modification dates. Click on the Finish button to return to the Administration Home panel.

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

Preparing Control Monitors for Use

After you import a set of control monitors, you need to complete several steps in order to use them:

- Reset default values for mandatory parameters. A parameter is a placeholder for a value that the control monitor uses to calculate a result — for example, "Set of Books Name" in place of an actual set of books from which the control monitor selects suspects. While preparing the control monitor to run, a user supplies an actual value or accepts a default value. For a default value to be valid, it must be implementation-specific (in this example, it must be one of the sets of books defined for the particular system on which the monitor is to be run). LogicalApps intends its prepackaged monitors to be used by many clients, so default values written by LogicalApps cannot be specific to any one implementation, and so are not meaningful. Some parameters are mandatory; when no meaningful value is supplied, the monitor cannot return results. To ensure that prepackaged monitors return results when users accept default parameters, you need to reset the defaults for mandatory parameters to values that are meaningful for your company. (See "Configuring Parameters" in the *ACTIVE Policy Governor User's Guide*.)

- Edit control-monitor steps. Specifically, in the Execute Query step for each monitor, set the DB Instance field to a database instance in which you want the monitor to run; the default value for this field is, of necessity, not valid for your system. In the Create Task step for each monitor, set the maximum number of suspects to be returned in each control-monitor run; the default value, imported with the control monitor, is 1. (See "Configuring Steps" in the *ACTIVE Policy Governor User's Guide*.)

- Activate the control monitors. From the Edit Definition panel for each prepackaged monitor, promote it from the Editing status (the default for any imported monitor) to the Active status. (See "Completing the Configuration" in the *ACTIVE Policy Governor User's Guide*.)

- Attach the monitors to controls. A control monitor can be run only if it is linked to a control as an "automation." You can attach a prepackaged monitor either to a control "seeded" by LogicalApps or to another that you've created. In either case you must ensure that the appropriate control exists and is fully configured on your instance of the ACTIVE Governance Platform, and then attach the control monitor to it. (See "Adding Automations to Controls" in the *ACTIVE Governance Platform User's Guide*).

- Check on workflows. Ensure they are configured so that suspect tasks distributed correctly to appropriate reviewers. (See "Configuring Monitors and Workflows" in the *ACTIVE Policy Governor User's Guide*.)

Determining Values for Commonly Used Parameters

Some parameters select the data records on which control monitors should operate by specifying items — such as sets of books, accounts, companies, or departments — that are configured in Oracle Applications. These parameters are used repeatedly by many control monitors. The following are guidelines for selecting appropriate values for these parameters.

- Set of Books or Set of Books Name: Supply the short name for the set of books from which a control monitor returns results. This is the value entered in the Short Name field on the Set of Books form in the General Ledger application, accessible from Setup > Financials > Books > Define.

- Segment: A control monitor may require you to supply any combination of Account Segment, Company Segment, and Department Segment. In each case, identify the segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter. In the General Ledger application, go to Setup > Financials > Flexfield > Key > Segments. This opens a Key Flexfield Segments form; in its Structures section, select the row corresponding to the appropriate chart of accounts, and then click on the Segments button. A Segments Summary form opens; in it, locate the row for the segment you want. The value to supply for the control-monitor parameter is the one shown in the column labeled *Column*; its format is SEGMENT*x*, where *x* is a number.

  For the Company Segment parameter, supply the segment that has been given the Balancing Segment Value attribute. Typically, this attribute is assigned to a segment called Company, but if your instance is configured to assign this attribute to another segment, select that segment instead.

- Account Name: This is a descriptive name for a natural or parent account, and it corresponds to an entry in the Description field on the Segment Values form. (Navigate to Setup > Financials > Flexfield > Key > Values. In a Find Key Flexfield Segment form, enter an appropriate application (for example, General Ledger) in the Application field, and click on the Find button. In the Segment Values form, place your cursor in the Independent Segment field and select the Account segment; in the Effective Values section, locate the row corresponding to the account you want and note the entry in the Description column.)

- Account Value: This is the identifying value for a natural or parent account, and it corresponds to an entry in the Value field on the Segment Values form. Locate this field as you would locate the Description field while determining an Account Name entry; it also resides in the Effective Values section.

- Company Value: This is the identifying value for a company (that is, an entity configured within the segment that has the Balancing Segment Value attribute in Oracle, and is chosen in the Company Segment parameter within a control monitor). Like an Account Value, it corresponds to an entry in the Value field on the Segment Values form. However, to display Company values you would select Company (or the name of the segment that has the Balancing Segment Value attribute) in the Independent Segment field.

- Vendor Type: An valid selection for this parameter must be one of those available in Type field on the Classification tab of the Suppliers form, accessible from Payables Manager > Suppliers > Entry.

In the following control-monitor descriptions, the names of each parameter that follows these conventions is marked by an bold type.

GL Account Test of Reasonableness

The GL Account Test of Reasonableness control monitor compares, over a specified period, the balance of a target account with that of a reference account in the general ledger. It calculates the target balance as a percentage of the reference balance and generates a suspect if (depending on a specified mathematical operator) that percentage either equals or varies from a specified percentage. For example, it might be configured to return a suspect if Receivables for the most recently completed month amount to less than 25 percent of Sales for the most recently competed quarter.

The control monitor can compare balances from "natural accounts" (entities defined within the Account segment in Oracle Applications), "parent accounts" (combinations of natural accounts, also defined within Oracle), or "account combinations" (for the purposes of this control monitor, the natural or parent accounts that apply to a specified set of companies).

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Suspect Account Name**: Enter the configured name for the natural or parent account you want to test. (This is the "target account" in the description above.)

- Suspect Account Type: Specify how you want to treat the target account: Enter *Debit* or *Credit.*

- **Suspect Account Value**: Enter the segment value configured for the natural or parent account to be tested.

- **Reference Account Name**: Enter the configured name for the natural or parent account that serves as a baseline in the test.

- Reference Account Type: Specify how you want to treat the reference account: Enter *Debit* or *Credit.*

- **Reference Account Value**: Enter the segment value configured for the natural or parent account that serves as a baseline in the test.

- Operator: Choose a mathematical operator that determines how the target balance, expressed as a percentage of the reference balance, is compared to a threshold percentage. Valid values include = (equals), < (less than), <= (less than or equal to), > (greater than), and >= (greater than or equal to).

- Threshold Percent: Enter the threshold to which the target-balance-to-reference-balance percentage is compared. If, for example, the target balance were 500,000 and the reference balance were 400,000, the following combinations of operator and threshold percentage would evaluate to true (and so generate a suspect): <126, =125, >124.

- Period Type: Select one of three values that define the period over which target and reference balances are compared. *Month:* Both the target and reference values are taken from the most recently completed month. *Quarter:* The target value is taken from the most recently completed month, and the reference value is taken from the most recently completed quarter. *Year:* The target value is taken from the most recently completed month, and the reference value is taken from the same month in the previous year.

You may also supply values for the following optional parameters:

- **Company From Value**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter; it defines the end of the range. The control monitor returns results for companies within that range, summing their account balances (target and reference) before calculating the target-to-reference percentage and comparing that with threshold percentage. You may use the Inclusion Value Set and Exclusion Value Set parameters with, or independently of, the From-To parameters to identify companies for which the monitor returns results. If you use none of these parameters, the control monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Company Inclusion Value Set: Specify a value set of companies for which the control monitor returns results — the monitor uses the sums of their target- and reference-account balances.

- Company Exclusion Value Set: Specify a value set of companies to be excluded from control-monitor results — the monitor uses the sums target- and reference-account balances for companies other than those included in this value set.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Test of reasonableness between* followed by target and reference account names (as selected in the Target Account Name and Reference Account Name parameters).

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency of the account balances, the period type (as set in the Period Type parameter), and a message that reports the parameter values you specified to construct the test of reasonableness.

AP Invoices Over Threshold

The AP Invoices Over Threshold control monitor returns a record of each Accounts Payable invoice that is valued in excess of a specified threshold. The monitor returns results for a specified set of books and time period.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which invoices must have been generated to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only invoices with more recent transaction dates.

- Threshold Amount: Enter a monetary amount over which an invoice must be valued for a record of it to be returned by this control monitor. The invoices subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

You may also supply values for the following optional parameters:

- **Vendor Type**: Choose a type of vendor (as configured in Oracle) for which the control monitor returns results.

- Vendor Exclusion Set: Specify a value set of vendors to be excluded from consideration by this control monitor. If no vendor value set is specified, then all vendors are subject to analysis (providing they satisfy values set by other parameters).

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *AP invoice over threshold*.

- Suspect Information: For each invoice, the name of the operating unit to which it belongs, the invoice number and date, the voucher number, the source (manual or automated method of invoice entry), the vendor name and type, and the amount and currency of the invoice.

AR Invoices Over Threshold

The AR Invoices Over Threshold control monitor returns a record of each customer invoice that is valued in excess of a specified threshold. The monitor returns results for a specified set of books and time period. Depending on parameter settings, it may narrow results further to invoices generated either manually or from a particular automated source; it can also exclude specified customers from analysis.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which invoices must have been generated to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only invoices with more recent transaction dates.

- Threshold Amount: Enter the monetary amount over which an invoice must be valued for a record of it to be returned by this control monitor. The invoices subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

You may also supply values for the following optional parameters:

- Invoice Batch Source: Specify the method by which invoices must be entered to be eligible for consideration by this control monitor — manual, or any automated invoice entry source defined for your system. If no batch source is specified, the monitor returns results for all sources.

- Exclude Customers Value Set: Specify a value set of customers to be excluded from consideration by this control monitor. If no customer value set is specified, then all customers are subject to analysis (providing they satisfy values set by other parameters).

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *AR invoice over*, followed by the threshold amount, as set by the Threshold Amount parameter, and formatted in the currency appropriate to the invoices under consideration.

- Suspect Information: For each invoice, the name of the operating unit to which it belongs, the invoice number, the transaction date, the source (manual or automated method of invoice entry), the name and customer number of the customer billed by the invoice, and the actual amount of the invoice.

Manual Journal Entries Over Threshold Amount

The Manual Journal Entries Over Threshold Amount control monitor generates a suspect when a manual entry is made to a journal that is ordinarily managed by a subledger, and that manual entry exceeds a specified threshold.

The control monitor can evaluate journals for "natural accounts" (entities defined within the Account segment in Oracle Applications), "parent accounts" (combinations of natural accounts, also defined within Oracle), or "account combinations" (for the purposes of this control monitor, the natural or parent accounts that apply to a specified set of departments or companies).

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Department Segment**: Enter the Department segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- Threshold Amount: Enter the monetary amount over which a manual entry must be valued for a record of it to be returned by this control monitor. The journals subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

You may also supply values for the following optional parameters:

- Account Type: Specify a type of account for which the control monitor returns results. Valid values include Asset, Expense, Liability, Ownership/Stockholder's Equity/Fund Balance, and Revenue. If no account type is specified, the control monitor returns results for all types.

- **Account Value From**: Enter the segment value for an account that is the first in a range of accounts. If you use this parameter, you must also set the Account Value To parameter, which defines the end of the range. The control monitor then returns results for companies within that range. You may use the Account Code Inclusion Value Set and Account Code Exclusion Value Set parameters (see below) in conjunction with, or independently of, the range parameters to identify accounts for which the monitor returns results. If you use none of these parameters, the control monitor returns values for all accounts.

- **Account Value To**: Enter the segment value for an account that is the last in a range of accounts for which the control monitor generates results. See the Account Value From parameter for details.

- Account Code Inclusion Value Set: Specify a value set of accounts for which the control monitor returns results.

- Account Code Exclusion Value Set: Specify a value set of accounts to be excluded from control-monitor results.

- **Company Value From**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor returns results for companies within that range. If you set a no range, the monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Department Code Inclusion Value Set: Specify a value set of departments for which the control monitor returns results. This parameter combines with the account and company range and value set parameters to filter records subject to the control monitor.

Return Values

This control monitor returns the following values:

- Suspect Description: A message stating the type of suspect manual journal entry (if one is specified for the Account Type parameter) and the value that identifies the account affected by the entry.

- Suspect Information: The name of the journal in which a suspect manual entry has been made, the period in which the entry was made (always the month prior to the month in which the control monitor is run), the value and description (name) of the account affected by the entry, the amount of the entry, and the username of the person who entered it.

PO Over Threshold Amount

The PO Over Threshold Amount control monitor returns a record of each purchase order that is valued in excess of a specified threshold. The monitor returns results for a specified set of books and time period.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which purchase orders must have been generated to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only purchase orders with more recent dates.

- Threshold Amount: Set the monetary amount over which a purchase order must be valued for a record of it to be returned by this control monitor. The purchase orders subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

You may also supply a value for the following optional parameter:

- Exclude Vendors Value Set: Specify a value set of vendors to be excluded from consideration by this control monitor. If no vendor value set is specified, then all vendors are subject to analysis (providing they satisfy values set by other parameters).

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Purchase order over* followed by the threshold amount, as set by the Threshold Amount parameter.

- Suspect Information: For each purchase order, the name of the operating unit to which it belongs, the PO number, the name of the vendor to which it applies, the PO date and amount, and the names of users who created and approved the PO.

Sales Order Over Threshold Amount

The Sales Order Over Threshold Amount control monitor returns a record of each sales order that is valued in excess of a specified threshold. The monitor returns results for a specified set of books and time period.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which sales orders must have been generated to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only sales orders with more recent dates.

- Threshold Amount: Enter the monetary amount over which a sales order must be valued for a record of it to be returned by this control monitor. The sales orders subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

You may also supply a value for the following optional parameter:

- Customers Exclusion Set: Specify a value set of customers to be excluded from consideration by this control monitor. If no customer value set is specified, all customers are subject to analysis (providing they satisfy values set by other parameters).

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Sales order over threshold.*

- Suspect Information: For each sales order, the name of the operating unit to which it belongs, the order number, the line and shipment numbers, the customer's name and number, and the date, status, and amount of the order.

Sales Order Over Credit Limit

The Sales Order Over Credit Limit control monitor returns a record of each sales order that is valued in excess of the customer's credit limit.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which sales orders must have been created to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only sales orders with more recent dates.

You may also supply a value for the following optional parameter:

- Customers Exclusion Set: Specify a value set of customers to be excluded from consideration by this control monitor. If no customer value set is specified, then all customers are subject to analysis (providing they satisfy values set by other parameters).

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Sales orders that exceeded customer credit limit.*

- Suspect Information: For each sales order, the name of the operating unit to which it belongs, its number and date, the customer's name and credit limit, and the total value of the order.

Split Purchase Orders

Your firm may impose a limit on the value of purchase orders for a given vendor. If so, each of multiple POs for that vendor may remain within the limit, but collectively they may exceed it. To guard against this, the Split Purchase Orders control monitor returns results when two or more purchase orders are created for a single vendor within a specified set of books during a specified period, and the sum of their values is greater than a specified threshold amount. The control monitor generates one suspect task for each of the purchase orders that collectively exceed the threshold.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which POs must have been created to be eligible for consideration by this control monitor. For each PO, the control monitor calculates an age (the PO creation date subtracted from the system date), and determines if that age is less than the value of this parameter.

- Threshold Amount: Enter the monetary amount over which a vendor's purchase orders must collectively be valued for suspects to be generated by this control monitor. The POs subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

You may also supply a value for the following optional parameter:

- Operating Unit: Specify an operating unit for which the control monitor returns results. If no operating unit is specified, the control monitor returns results for all operating units.

Return Values

This control monitor returns the following values for each of the purchase orders that collectively exceed the threshold:

- Suspect Description: The phrase *Multiple purchase orders greater than*, followed by the threshold amount (as set by the PO Threshold Amount parameter).

- Suspect Information: The vendor name, purchase order number, full name of the user who created the purchase order, name of the operating unit to which the purchase order belongs; the time period during which POs must have been created, and threshold amount over which they must be valued (as set by the Number of Days and PO Threshold Amount parameters), to be considered suspect.

Duplicate Vendor Payments

The Duplicate Vendor Payments control monitor returns results when two or more payments are made to a single vendor within a specified set of books during a specified period, and the value of any of the payments is greater than a specified threshold amount. The control monitor generates at least one suspect task for each payment that exceeds the threshold; if payments cover more than one invoice, the control monitor generates one suspect for each invoice covered by the duplicate payments.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Operating Unit Name: Specify an operating unit for which the control monitor returns results.

- Threshold Amount: Enter the monetary amount over which a payment must be valued for suspects to be generated by this control monitor. Payments subject to analysis are assumed to be valued in a single currency, and this amount is assumed to be in the same currency.

- Number of Days: Enter a number that defines a period, in days, over which payments must have been made to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only payments with more recent dates.

Return Values

This control monitor returns the following values:

- Suspect Description: A statement identifying the vendor to which duplicate payments have been made, together with the threshold value that payment exceeds.

- Suspect Information: For each invoice associated with duplicate payments (any one of which exceeds the threshold), the set of books and operating unit to which it belongs, the name and site code of the vendor to which the payments have been made; the invoice amount; the payment type, number, issue date, and creator; and a table displaying information about all the invoices associated with the duplicate payments.

Fluctuation in Gross Margin by Amount

The Fluctuation in Gross Margin by Amount control monitor calculates the gross margin of an organization or a subdivision of that organization, both for the most recently completed month and for an earlier month, quarter, or year. It determines the differ-

ence between those gross margins and generates a suspect if that difference is greater than a specified threshold, which is expressed as an absolute monetary value.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Revenue Account**: Enter the segment value for the natural account or parent account that provides the revenue amount for the gross-margin calculations.

- **COGS Account**: Enter the segment value of the natural account or parent account that provides the cost-of-goods-sold amount for the gross-margin calculations.

- Threshold Amount: Enter a number that sets the maximum permissible fluctuation in gross margin. The control monitor calculates the difference between gross margins for the most recently completed month and for an earlier period (defined by the Period Type parameter), and returns a suspect if the absolute value of that difference is greater than this amount.

- Period Type: Assign the earlier period whose gross margin is compared to that of the most recently completed month. Select one of the following three values. *Month:* The month prior to the most recently completed month. *Quarter:* The most recently completed quarter. *Year:* The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- **Company From Value**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor then returns results for companies within that range, tracking their gross margin fluctuation and comparing it with the threshold amount. If you do not set a range, the control monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Account Exclusion Set: Specify a value set of natural accounts to be excluded from processing. It applies only if the Revenue Account and COGS Account

parameters specify parent accounts, and you want the gross-margin calculations to exclude one or more of the natural accounts contained within those parent accounts.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Fluctuation in gross margin by amount*.

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency in which gross profit is expressed, and the amount of the fluctuation between the most-recent and earlier gross margins.

Fluctuation in Gross Margin by Percent

The Fluctuation in Gross Margin by Percent control monitor calculates the gross margin of an organization or a subdivision of that organization, both for the most recently completed month and for an earlier month, quarter, or year. It determines the percentage difference between those gross margins and generates a suspect if that difference is greater than a specified threshold, which is expressed as a percentage.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Revenue Account**: Enter the segment value for the natural account or parent account that provides the revenue amount for the gross-margin calculations.

- **COGS Account**: Enter the segment value of the natural account or parent account that provides the cost-of-goods-sold amount for the gross-margin calculations.

- Threshold Percent: Enter a number that sets, as a percentage, the maximum permissible fluctuation in gross margin. The control monitor calculates the difference between gross margins for the most recently completed month and for an earlier period (defined by the Period Type parameter), expresses that difference as a percentage of the earlier-period gross margin, and returns a suspect if absolute value of the percentage difference is greater than this value.

- Period Type: Assign the earlier period whose gross margin is compared to that of the most recently completed month. Select one of the following three values. *Month:* The month prior to the most recently completed month. *Quarter:* The most recently completed quarter. *Year:* The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- **Company From Value**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor then returns results for companies within that range, tracking their gross margin fluctuation and comparing it with the threshold amount. If you do not set a range, the control monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Account Exclusion Set: Specify a value set of natural accounts to be excluded from processing. It applies only if the Revenue Account and COGS Account parameters specify parent accounts, and you want the gross-margin calculations to exclude one or more of the natural accounts contained within those parent accounts.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Fluctuation in gross margin by percent.*

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency in which gross margin is expressed, and the percentage difference in the fluctuation between the most-recent and earlier gross margins.

Fluctuation in Gross Margin Percent

The Fluctuation in Gross Margin Percent control monitor calculates gross margin percentage of an organization or a subdivision of that organization, both for the most recently completed month and for an earlier month, quarter, or year. Gross margin percentage is the ratio of gross margin to revenue, as expressed by the following formula: *((Revenue – Cost of Goods Sold) / Revenue) * 100.* The control monitor calculates the difference between the most-recent and earlier gross margin percentages and generates a suspect if that difference is greater than a specified threshold, which is expressed as a percentage.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Revenue Account**: Enter the segment value for the natural account or parent account that provides the revenue amount for the gross-margin calculations.

- **COGS Account**: Enter the segment value of the natural account or parent account that provides the cost-of-goods-sold amount for the gross-margin calculations.

- Threshold Percent: Enter a number that sets, as a percentage, the maximum permissible fluctuation in gross margin percent. The control monitor calculates the difference between gross margin percentages for the most recently completed month and for an earlier period (defined by the Period Type parameter), and returns a suspect if absolute value of the difference is greater than this value.

- Period Type: Assign the earlier period whose gross margin is compared to that of the most recently completed month. Select one of the following values. *Month:* The month prior to the most recently completed month. *Quarter:* The most recently completed quarter. *Year:* The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- **Company From Value**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor then returns results for companies within that range, tracking their gross margin fluctuation and comparing it with the threshold amount. If you do not set a range, the control monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Account Exclusion Set: Specify a value set of natural accounts to be excluded from processing. It applies only if the Revenue Account and COGS Account parameters specify parent accounts, and you want the gross-margin calculations to exclude one or more of the natural accounts contained within those parent accounts.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Fluctuation in gross margin percent.*

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency in which gross margin is expressed, and the difference in gross margin percentages for the most-recent and earlier gross margins.

Fluctuation in Net Profit – Amount

The Fluctuation in Net Profit – Amount control monitor calculates the net profit of an organization or a subdivision of that organization, both for the most recently completed month and for an earlier month, quarter, or year. It determines the difference between those net profits and generates a suspect if that difference is greater than a specified threshold, which is expressed as an absolute monetary value.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- Set **of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Revenue Account**: Enter the segment value for the natural account or parent account that provides the revenue amount for the net-profit calculations.

- **COGS Account**: Enter the segment value of the natural account or parent account that provides the cost-of-goods-sold amount for the net-profit calculations.

- Threshold Amount: Enter a number that sets the maximum permissible fluctuation in net profit. The control monitor calculates the difference between net profits for the most recently completed month and for an earlier period (defined by the Period Type parameter, and returns a suspect if the absolute value of that difference is greater than this amount.

- Period Type: Assign the earlier period whose net profit is compared to that of the most recently completed month. Select one of the following three values. *Month:* The month prior to the most recently completed month. *Quarter:* The most recently completed quarter. *Year:* The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- **Company From Value**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor then returns results for companies within that range, tracking their net profit fluctuation and comparing it with the threshold amount. If you do not set a range, the control monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Account Exclusion Set: Specify a value set of natural accounts to be excluded from processing. It applies only if the Revenue Account and COGS Account parameters specify parent accounts, and you want the net-profit calculations to exclude one or more of the natural accounts contained within those parent accounts.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Fluctuation in net profit by amount*.

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency in which net profit is expressed, and the amount of the fluctuation between the most-recent net profit and earlier net profit.

Fluctuation in Net Profit – Percent

The Fluctuation in Net Profit – Percent control monitor calculates the net profit of an organization or a subdivision of that organization, both for the most recently completed month and for an earlier month, quarter, or year. It determines the percentage difference between those net profits and it generates a suspect if that difference is greater than a specified threshold, which is expressed as a percentage.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Revenue Account**: Enter the segment value for the natural account or parent account that provides the revenue amount for the net-profit calculations.

- **COGS Account**: Enter the segment value of the natural account or parent account that provides the cost-of-goods-sold amount for the net-profit calculations.

- Threshold Percent: Enter a number that sets, as a percentage, the maximum permissible fluctuation in net profit. The control monitor calculates the difference between net profits for the most recently completed month and for an earlier period (defined by the Period Type parameter), expresses that difference as a percentage of the earlier-period net profit, and returns a suspect if absolute value of the percentage difference is greater than this value.

- Period Type: Assign the earlier period whose net profit is compared to that of the most recently completed month. Select one of the following three values. *Month:* The month prior to the most recently completed month. *Quarter:* The most recently completed quarter. *Year:* The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- **Company From Value**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor then returns results for companies within that range, tracking their net profit fluctuation and comparing it with the threshold amount. If you do not set a range, the control monitor returns values for all companies.

- **Company To Value**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company From Value parameter for details.

- Account Exclusion Set: Specify a value set of natural accounts to be excluded from processing. It applies only if the Revenue Account and COGS Account parameters specify parent accounts, and you want the net-profit calculations to exclude one or more of the natural accounts contained within those parent accounts.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Fluctuation in net profit by percent.*

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency in which net profit is expressed, and the percentage difference in the fluctuation between the most-recent and earlier net profits.

Fluctuation in Financial Statements Accounts

The Fluctuation in Financial Statements Accounts control monitor tracks the balance or period net activity of a financial-statement line item, comparing values for the most recently completed month and for an earlier month, quarter, or year. It generates a suspect when these values differ by more than a specified threshold value. In this context, a "financial statement" is a balance sheet or income statement. The threshold is a combination of percentage and absolute monetary value — for example, a new value that is greater or less than an old value by both $250,000 and 6 percent.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- **Account Segment**: Enter the Account segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Company Value Segment**: Enter the Company segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- **Department Code Segment**: Enter the Department segment configured for the chart of accounts associated with the set of books you selected in the Set of Books parameter.

- Account Balance or Period Net Activity: Determine whether you want the control monitor to track fluctuation in account balance or in period net activity. Enter ACCOUNT_BALANCE for the former or any other value for the latter.

- Threshold Amount: Enter a monetary amount which, in combination with a threshold percentage, defines the maximum permissible fluctuation in line-item value. The control monitor calculates the difference between balance or period-net-activity values for the most recently completed month and for an earlier period (defined by the Period Type parameter), and returns a suspect if the absolute value of that difference is greater than this amount and if the value of a Threshold Percent parameter is also exceeded.

- Threshold Percent: Enter a percentage which, in combination with an absolute threshold, defines the maximum permissible fluctuation in line-item value. The control monitor calculates the difference between balance or period-net-activity values for the most recently completed month and for an earlier period (defined by the Period Type parameter), expresses that difference as a percentage of the earlier-period value, and returns a suspect if absolute value of the percentage difference is greater than this value and if the value of a Threshold Percent parameter is also exceeded.

- Period Type: Assign the earlier period whose balance is compared to that of the most recently completed month. Select one of the following three values. *Month:* The month prior to the most recently completed month. *Quarter:* The most recently completed quarter. *Year:* The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- Line Item: Create a label to identify the line item for which this control monitor calculates results. That line item corresponds to a set of accounts as defined by the following From-To, Parent, Exclusion, and Inclusion parameters. Although the Line Item parameter is optional, the label it creates is used in the Suspect Description message returned by the monitor, so supplying a value for this parameter is advisable.

- **Account Value From**: Enter the segment value for an account that is the first in a range of accounts. If you use this parameter, you must also set the Account Value To parameter, which defines the end of the range. The control monitor returns results for companies within that range. You may use the Account Inclusion Value Set, Account Exclusion Value Set, and Parent Account Value parameters (below) in conjunction with, or independently of, the range parameters to identify accounts for which the monitor returns results. If you use none of these parameters, the control monitor returns values for all accounts.

- **Account Value To**: Enter the segment value for an account that is the last in a range of accounts for which the control monitor generates results. See the Account Value From parameter.

- Account Inclusion Set: Specify a value set of accounts for which the control monitor returns results.

- Account Exclusion Set: Specify a value set of accounts to be excluded from control-monitor results.

- **Parent Account Value**: Enter the segment value of a parent account for which the control monitor returns results.

- **Company Value From**: Enter the segment value for a company that is the first in a range of companies. If you use this parameter, you must also set the Company To Value parameter, which defines the end of the range. The control monitor returns results for the accounts you've defined in the previous five parameters, as they apply to the companies within the range you define here. If you do not set a range, the control monitor returns values for all companies.

- **Company Value To**: Enter the segment value for a company that is the last in a range of companies for which the control monitor generates results. See the Company Value From parameter for details.

- Department Inclusion Set: Specify a value set of departments for which the control monitor returns results. This parameter combines with the account and company range and value set parameters to filter records subject to analysis by the control monitor.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *GL fluctuations for line item*, followed by the label created in the Line Item parameter.

- Suspect Information: The name of the set of books for which the control monitor has returned results, the currency in which balance or period net activity is expressed, and the amount of the fluctuation between the most-recent and earlier values.

Inventory – Purchase Price Variance

The Inventory – Purchase Price Variance control monitor calculates the average unit costs for items during a target period, using unit costs taken from purchase orders as the items are received into inventory. It generates a suspect for each item whose average cost exceeds its configured standard cost by a specified percentage.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines the target period, in days. The monitor subtracts the number of days from the system date to determine a "starting date" value, selects purchase orders with more recent dates, and uses unit costs of items from those POs to calculate average costs that are compared with standard costs.

- Threshold Percent: Enter a number that sets, as a percentage, the maximum permissible purchase price variance. The control monitor calculates the difference between average cost (during the period defined by the Number of Days parameter) and standard cost, expresses that difference as a percentage of standard cost, and returns a suspect if the percentage difference is greater than this value.

You may also supply values for the following optional parameters:

- Organization Name: Enter the name of an inventory organization for which the control monitor returns results. If you do not specify an inventory organization, the monitor returns results for all organizations.

- Item Exclusion Value Set: Specify a value set of items to be excluded from control-monitor results.

- Item Category Inclusion Value Set: Specify a value set of item categories for which the control monitor returns results.

- Item Category Exclusion Value Set: Specify a value set of item categories to be excluded from control-monitor results.

- Vendor Exclusion Value Set: Specify a value set of vendors to be excluded from consideration by this control monitor. If no vendor value set is specified, then all vendors are subject to analysis.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Purchase price variance over a threshold percentage.*

- For each item with an average cost that varies excessively from standard, the name of the set of books, inventory organization, and category to which the item belongs, and its vendor; the purchase order number and line on which the item was received; the name and description of the item; the receipt date, receipt number, and quantity; the unit price, standard unit cost, amount of variance for the quantity that has been received; and the purchase price variance.

DSO Fluctuations by Percent

The DSO Fluctuations by Percent control monitor tracks Days Sales Outstanding (DSO), comparing values for the most recently completed month and for an earlier month, quarter, or year. DSO measures the number of days required to collect receivables, and is calculated according to the following formula: *(total outstanding receivables × number of days)/(sales over that number of days).* The control monitor generates a suspect if the difference between current and earlier DSO values is greater than a specified threshold, which is expressed as a percentage.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number of days to be used in the DSO calculation.

- Threshold Percent: Enter a number that sets, as a percentage, the maximum permissible fluctuation in DSO. The control monitor calculates the difference between DSO values for the most recently completed month and for an earlier period (defined by the Period Type parameter), expresses that difference as a percentage of the earlier-period DSO, and returns a suspect if absolute value of the percentage difference is greater than this value.

- Period Type: Assign the earlier period whose DSO is compared to that of the most recently completed month. Select one of the following three values. *Month*: The month prior to the most recently completed month. *Quarter*: The most

recently completed quarter. *Year*: The same month as the most recently completed month, but for the prior year.

You may also supply values for the following optional parameters:

- Operating Unit: Specify an operating unit for which the control monitor returns results. If no operating unit is specified, the control monitor returns results for all operating units.

- Non Credit Payment Terms: Enter the name of a value set of noncredit payment terms to exclude transactions conducted under those terms from DSO calculations. (Payment terms are values entered in the Name field of Payment Terms form accessible from Receivables > Setup > Transactions.) If you do not enter a value set, the control monitor performs DSO calculations on all transactions, regardless of payment terms.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *DSO fluctuation above threshold.*

- Suspect Information: The amount of fluctuation in DSO.

AP Invoice SOD Violation

The AP Invoice SOD Violation control monitor returns a record of each Accounts Payable invoice that has been approved by the user who created it. (The abbreviation *SOD* stands for *segregation of duties*.) The monitor returns results for a specified time period and a specified set of books; results may be narrowed further to invoices within a specified operating unit.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which invoices must have been created to be eligible for consideration by this control monitor. For each invoice, the control monitor calculates an age (the invoice date subtracted from the system date), and determines if that age is less than or equal to the value of this parameter.

You may also supply a value for the following optional parameter:

- Operating Unit: Specify an operating unit for which the control monitor returns results. If no operating unit is specified, the control monitor returns results for all operating units.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *AP invoice SOD violation by* followed by the user name of the person who issues and approved an invoice selected by the control monitor for investigation.

- Suspect Information: The number and date of the invoice to be investigated, the name of the vendor associated with it, its amount, the given name and surname of the user who created and approved it, the name of the operating unit to which the invoice belongs, and the investigation period (set by the Number of Days parameter).

SOD Violation Between AP Invoices and PO Documents

The SOD Violation Between AP Invoices and PO Documents control monitor generates a suspect task when a single user originates a purchase order after having entered invoices that the PO is intended to pay. The control monitor generates a distinct suspect task for each invoice and purchase order involved in the conflict.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which invoices must have been generated to be eligible for consideration. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only invoices with more recent transaction dates.

You may also supply values for the following optional parameters:

- Threshold Amount: Enter a number that expresses a monetary amount; for the control monitor to generate a suspect, the collective value of the invoices must exceed this amount. If no threshold amount is specified, the control monitor uses zero, and the value of the invoices does not affect the generation of suspects.

- Operating Unit: Specify an operating unit for which the control monitor returns results. If no operating unit is specified, the control monitor returns results for all operating units.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Invoices and POs created by the same user.*

- Suspect Information: For each invoice or purchase order involved in a conflict, the number and date of the PO, and the username of its approver; the voucher

number; the number, date and amount of the invoice; and the username of the user who created both the PO and the invoice.

Sales Order FOB Validation

The Sales Order FOB Validation control monitor generates a suspect when the FOB terms on a sales order differ from the customer defaults, indicating that the terms have been overridden on the sales order. The monitor returns results only if the order is received during a target period and if its value equals or exceeds a threshold amount.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines the target period, in days. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only sales orders with more recent dates.

- Threshold Amount: Enter a monetary amount; the value of a sales order must be equal to or greater than that amount for a record of it to be returned by this control monitor.

You may also supply values for the following optional parameters:

- Operating Unit: Specify an operating unit for which the control monitor returns results. If no operating unit is specified, the control monitor returns results for all operating units.

- Customer Profile: Enter a customer profile name to have the control monitor return results for customers who belong to that profile.

- Customer Inclusion Set: Specify a value set of customers for which the control monitor returns results.

- Customer Exclusion Set: Specify a value set of customers to be excluded from control-monitor results.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Suspect sales orders with inconsistent FOB terms.*

- Suspect Information: For each suspect order, the set of books and operating unit to which it belongs, its number and date, the customer name and location, the amount of the order, and the conflicting FOB terms from the sales order and from records of the customer's default values.

Sales Order Payment Terms Validation

The Sales Order Payment Terms Validation control monitor returns records when the payment terms on a sales order differ from the customer defaults, indicating that the terms have been overridden on the sales order. The monitor returns results only if the order is received during a target period and if its value equals or exceeds a threshold amount.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines the target period, in days. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only sales orders with more recent dates.

- Threshold Amount: Enter a monetary amount; the value of a sales order must be equal to or greater than that amount for a record of it to be returned by this control monitor.

You may also supply values for the following optional parameters:

- Operating Unit: Specify an operating unit for which the control monitor returns results. If no operating unit is specified, the control monitor returns results for all operating units.

- Customer Profile: Enter a customer profile name to have the control monitor return results for customers who belong to that profile.

- Customer Inclusion Set: Specify a value set of customers for which the control monitor returns results.

- Customer Exclusion Set: Specify a value set of customers to be excluded from control-monitor results.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Sales orders with inconsistent payment terms*.

- Suspect Information: For each suspect order, the set of books and operating unit to which it belongs, its number and date, the customer name, location, and profile, the amount of the order, and the conflicting payment terms from the sales order and from records of the customer's default values.

Different Vendor Payment Terms on Purchase Orders

The Different Vendor Payment Terms on Purchase Orders control monitor identifies purchase orders for a given supplier with payment terms that differ from the default payment terms for that supplier.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- **Set of Books Name**: Enter the short name for the set of books from which the control monitor returns results.

- Number of Days: Enter a number that defines a period, in days, over which purchase orders must have been created to be eligible for consideration by this control monitor. The monitor subtracts this value from the system date to determine a "starting date" value, then selects only purchase orders with more recent dates.

You may also supply a value for the following optional parameter:

- Vendor Exclusion Value Set: Specify a value set of vendors to be excluded from consideration by this control monitor. If no vendor value set is specified, all vendors are subject to analysis (providing they satisfy values set by other parameters).

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Different payment terms for PO and vendor site level.*

- Suspect Information: The set of books and operating unit to which the purchase order applies; the number, date, amount and creator of the purchase order; the vendor to which the PO was issued, and the vendor site; and the conflicting payment terms from the purchase order and from records of the vendor's default values.

Dormant Inventory Items

The Dormant Inventory Items control monitor identifies items that have remained inactive in inventory for an excessive time (items for which transactions have not been recorded during a period of at least a specified number of days). The monitor returns results for a specified inventory organization, and may focus on a specified subinventory within that inventory organization. It may include or exclude disabled subinventory from analysis; it can also exclude specified inventory items from analysis.

Parameters

As you run this control monitor, supply values (or accept the defaults) for the following mandatory parameters:

- Number of Days: Enter a number that defines the minimum time, in days, that an inventory item must remain dormant to be marked as a suspect by this control

monitor. For each item, the monitor calculates a period of dormancy (the most recent transaction date subtracted from the system date), and determines if that period is greater than or equal to the value of this parameter. It excludes transaction type 24 (cost update) from consideration.

- Inventory Org Name: Select the inventory organization from which the control monitor returns results. Specify a name as entered in the Name field on the Organization Setup form in Oracle Applications.

You may also supply values for the following optional parameters:

- Sub Inventory Name: Select a subinventory from which the control monitor returns results. Specify a name as entered in the Name field on the Subinventories Setup form in Oracle Applications, or leave the parameter blank. In the latter case, the monitor returns values for all subinventories in the specified inventory organization.

- Exclude Item Value Set: Specify a value set of inventory IDs to be excluded from consideration by this control monitor. If no value set is specified, then all inventory IDs are subject to analysis.

- Disabled Inventory: Choose whether the monitor returns results for disabled subinventories. Enter the value *Y* for yes or *N* for no; you can leave the parameter blank, which is equivalent to selecting yes.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Dormant item*, followed by the identifying number for the item and its description.

- Suspect Information: The ID number and description for the dormant item, its most recent transaction date, the inventory organization and subinventory where it is located, its quantity, and the number of days for which it has been dormant.

Dormant User IDs

The Dormant User IDs control monitor identifies active users who have not logged on to Oracle Applications for a period longer than a specified number of months. An active user is defined as one whose end date has not passed.

Parameters

As you run this control monitor, supply a value (or accept the default) for the following mandatory parameter:

- Number of Months: Enter a number that defines, in months, a period of permissible inactivity. For each user, the control monitor calculates a period of actual inactivity (the user's last log-on date subtracted from the system date), and

identifies the user as a suspect if that value is greater than or equal to the value of this parameter.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Dormant application user*.

- Suspect Information: The label *Application User Name* followed by the user's name and description (or by the value *No Description* if none has been configured for the user), and the date of the user's last log-on.

Terminated Employees with Active User IDs

The Terminated Employees with Active User IDs control monitor generates a suspect task for each person who has been issued a termination date that has passed, whose "current employee flag" is set to a value other than *yes*, but whose user account remains active (has an end date in the future). The monitor checks for duplicate employee records and excludes an employee who has any record without a termination date. The monitor returns results for employees terminated within a specified period.

Parameters

As you run this control monitor, supply a value (or accept the default) for the following mandatory parameter:

- Number of Months: Enter a number that defines, in months, a period during which employees must have been terminated to be eligible for consideration. The control monitor subtracts this value from the system date to determine a "starting date" value, then selects only employees whose termination dates are more recent.

Return Values

This control monitor returns the following values:

- Suspect Description: The phrase *Terminated employee with active application user ID*.

- Suspect Information: For each employee, the full name, the termination date, and the user name and description (if any) for the employee's user account.