Oracle® Governance, Risk and Compliance Manager

User's Guide

Release 7.8

Part No. E12561-01

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Oracle Governance, Risk and Compliance Manager User's Guide, Release 7.8

Part No. E12561-01

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Preface

Intended Audience

Welcome to Release 7.8 of the *Oracle Governance, Risk and Compliance Manager User's Guide.*

This guide is primarily intended for people who use GRC Manager to create hierarchical maps, create and manage business processes, contribute information to processes, and create and resolve issues regarding processes. It is also intended for management and for auditors who use GRC Manager to monitor, evaluate, and report business process activity. An appendix in this guide contains information about a configuration management tool for administrators.

See Related Information Sources on page xviii for more Oracle Applications product information.

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Related Information Sources

Governance, Risk and Compliance Manager Implementation Guide

This guide provides information required to install the GRC Manager application on a Microsoft Windows 2000 or 2003 Server running Oracle 9i server, Oracle 10g server, Microsoft SQL Server 2000, or Microsoft SQL Server 2005.

Do Not Use Database Tools to Modify Oracle Applications Data

Oracle STRONGLY RECOMMENDS that you never use SQL*Plus, Oracle Data Browser, database triggers, or any other tool to modify Oracle Applications data unless otherwise instructed.

Oracle provides powerful tools you can use to create, store, change, retrieve, and maintain information in an Oracle database. But if you use Oracle tools such as SQL*Plus to modify Oracle Applications data, you risk destroying the integrity of your data and you lose the ability to audit changes to your data.

Because Oracle Applications tables are interrelated, any change you make using an Oracle Applications form can update many tables at once. But when you modify Oracle Applications data using anything other than Oracle Applications, you may change a row in one table without making corresponding changes in related tables. If your tables get out of synchronization with each other, you risk retrieving erroneous information and you risk unpredictable results throughout Oracle Applications.

When you use Oracle Applications to modify your data, Oracle Applications automatically checks that your changes are valid. Oracle Applications also keeps track of who changes information. If you enter information into database tables using database tools, you may store invalid information. You also lose the ability to track who has changed your information because SQL*Plus and other database tools do not keep a record of changes.

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Introduction

This chapter covers the following topics:

- About This Guide

About This Guide

This guide provides information on how to use the Governance, Risk and Compliance Manager application with Oracle Content Server. For information on supported operating systems, supported databases, and installing GRC Manager, refer to the *Governance, Risk and Compliance Manager Installation Guide.*

The information contained in this document is subject to change as the product technology evolves and as hardware, operating systems, and third-party software are created and modified.

This guide includes the following topics:

Section Title	Description
Introduction	Introduces the contents of the *Governance, Risk and Compliance Manager User Guide*.
About GRC Manager	Provides an overview of the GRC Manager application, including descriptions of a business process life cycle, document types and states, and workflows.
Basic Application Operation	Describes basic GRC Manager operation including security, logging on and off the system, the matrix, how to search for documentation, and navigation tools for the user interface.

Section Title	Description
Managing Maps	Describes how to create and use organization maps, and how to start Data Collection, Approval, and Assessment workflows for business processes.
Managing Business Processes	Describes business processes and how to work with business processes, including create, edit, move, copy, and retire processes.
Managing Risks	Describes risks and how to create and document risks for business processes.
Managing Controls	Describes controls and how to create and document controls for business process.
Data Collection	Describes the Data Collection workflow and how to collect and document data for business processes.
Assessing Business Processes	Describes management assessment of business process controls and risks, and how to initiate and monitor assessments.
Audit Testing and Test Plans	Describes testing based on groups of controls from multiple processes, how to initiate and monitor control testing, and how to specify control groups for test plans.
Managing Issues	Describes issues and how to create and monitor issues for business processes.
Managing Action Items	Describes the Action Items workflow, how to create and how to manage an Action Item for a business process.
Managing Reports	Describes the different types of reports available in GRC Manager, including the Dashboard, and how to view and create reports about business processes.

Section Title	Description
Managing Templates and Libraries	Describes how to use templates for business processes, business process components, and attachments. Also describes how to use templates from the Master Process Library and Master Component Library.
Administering GRC Manager	Describes administration tasks, and the administration tool functions for managing elements, links, and control labels. Provides information on roles and permissions, and using Active Directory to authenticate users.
Testing Business Processes	This is a legacy feature from Stellent Sarbanes-Oxley Solution version 7.6 and 7.6.1. Describes testing of business process controls, how to create and document test instructions for a business process, how to start a Process Test workflow, and how to document test results.
Automation Integration for Controls	Describes GRCM integration with automation management systems such as GRC Controls (GRCC.)
Third Party Licenses	Describes the Third Party Licenses for all the third party products included with this product.

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About GRC Manager

This chapter covers the following topics:

- About Financial Compliance
- About Process Management
- Roles and Responsibilities
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- Maps
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- Assertions
- Risks
- Controls
- Tests
- Issues
- Assessments
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- Document States
- Business Process Document States
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- Workflows
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- Approval Workflow

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- Audit Testing and Process-based Testing Workflow

- Action Items Workflow

- Issues Workflow

- Supported Languages

About Financial Compliance

In the wake of some spectacular corporate failures and scandals around the world, law makers, regulators and investors are placing increasing mandates on business to improve transparency and controls over financial reporting. Laws such as the U.S. Sarbanes-Oxley Act, Canadian Bill 198, OMB Circular 123A, Japanese SOX (J-SOX), and the like are forcing organizations to adopt new and rigorous approaches to documenting and testing financial controls. Oracle's GRC Manager solution is designed to help reduce the cost and complexity of this process and to help organizations leverage their compliance efforts to create new process efficiencies.

Governance, Risk and Compliance Manager addresses Sarbanes-Oxley (SOX) as well as other financial reporting mandates prevalent across the world such as OMB A-123 in the United States' federal space, Multilateral Instrument-52-109 in Canada, J-SOX in Japan, KSOX in Korea, Financial Security Law in France, Turnbull Report in the United Kingdom, Corporate Governance Code in Germany or the Tabasklat Code in the Netherlands.

- The Sarbanes-Oxley Act of 2002 (SOX) is a United States federal law passed in response to a number of major corporate and accounting scandals. The Act contains 11 titles, or sections, ranging from additional Corporate Board responsibilities to criminal penalties, and requires the Securities and Exchange Commission (SEC) to implement rulings on requirements to comply with the new law.

- Bill 198 is an Ontario legislative bill effective 1 October 2003 that encompasses many areas. It is perhaps best known for clauses that provide equivalent legislation to the U.S. Sarbanes-Oxley Act to protect investors by improving the accuracy and reliability of corporate disclosures.

- OMB Circular A-123 is an U.S. Office of Management and Budget (OMB) Circular that defines the management responsibilities for internal financial controls in Federal agencies. It was issued by OMB's Office of Federal Financial Management on 21 December 2004 and addressed to all Federal Chief Financial Officers, Chief Information Officers, and Program Managers. Circular A-123 is a re-examination of the existing internal control requirements for Federal agencies and was initiated in light of the new internal control requirements for publicly-traded companies contained in the Sarbanes-Oxley Act of 2002. The Circular and the statute it

implements, the Federal Managers' Financial Integrity Act of 1982, are at the center of the existing Federal requirements to improve internal financial controls.

- "J-SOX" is an unofficial term which refers to the Japanese requirements similar to the Sarbanes-Oxley Act (SOX) Sections 302 and 404 in the United States. J-SOX requirements are incorporated in the legislated draft entitled "Financial Instruments and Exchange Law," which covers new enactments of, and amendments to, financial instruments and Securities and Exchange Laws. This law was put into effect June 14, 2006..

About Process Management

Managing an organization's business process documentation is essential to its longevity. Maintaining the accuracy to which business processes are executed and controlled allow a company to sustain consistency through change and to prove its effectiveness and stability to both government and industry compliance. GRC Manager provides the following functionality:

- Manages the synchronization between where business processes are executed and where business processes are monitored.

- Links documentation for business processes to accounts, and tracks risks, controls, and issues for each business process.

- Enables users to monitor, evaluate, and report on the status of processes whenever necessary.

- (Optional) Enables users to associate controls in GRC Manager to control automations by implementing control automation integration. For further information refer to Automation Integration for Controls, page C-xviii

Roles and Responsibilities

GRC Manager works with different roles and responsibilities in compliance with the Sarbanes-Oxley Act to enable users to perform the following types of tasks in managing business process information. Which tasks an individual user can perform depends on the user's assigned role and authorization to access and change information in GRC Manager.

- Create organization maps

- Create business processes

- Define assertions for business processes

- Define risks for business processes

- Define controls for business processes

- Define tests for controls for business processes

- Route business processes for data collection

- Route business processes for approval

- Route business processes for management assessment

- Route business processes for testing

- Revise, validate, and approve business processes

- Test controls for business processes and document the test results

- Set controls to "in scope" to be included for testing

- Create issues associated with business processes

- Remediate and close issues associated with business processes

- Assign action items to users

- Generate and review reports

- Monitor compliance status via the Executive Dashboard

The following table describes a representative set of role types with associated responsibilities and related skills for using GRC Manager, and where to find information about the skills in GRC Manager and Oracle Content Server documentation.

Note: For information on specific role names and permissions provided in GRC Manager by default, refer to Chapter A (Administering GRC Manager). An administrator can customize roles. Which specific roles to define and which user accounts to assign those roles depend on a company's unique business structure.

Role	Responsibility	Key Skills	Skills Information
Executive	• Provide direction • Review summary information • Accept responsibility for compliance	• Use the Executive Dashboard • Build and view reports • Review assessments of control operations and risk mitigation.	• Executive , page 13-6 • Creating Reports, page 13-3 • About Management , page 9-2
Department Head	• Contribute content • Build reports • Manage compliance schedule • Identify and create business processes and templates • Manage issues	• Create business processes • Create templates • Assign business process ownership • Open, route, and close issues	• Managing Maps, page 4-xviii • Creating Business , page 5-4 • Managing Issues, page 11-xviii

Role	Responsibility	Key Skills	Skills Information
Process Owner	• Contribute content • Create test scenarios • Manage risks • Manage controls • Approve processes • Build reports	• Solicit and collect data for business processes • Revise, validate, and approve business processes • Create risks and controls	• About Data , page 8-1 • Reviewing Data for , page 8-7 • Creating Risks, page 6-1 • Creating Controls, page 7-3
Tester	• Test business process controls and risks • Record results	• Test business process controls and risks • Assign Pass or Fail value	• About Business , page 5-2 • About Controls, page 7-1 • About Risks, page 6-1 • About Management , page 9-2 • About Audit Tests , page 10-2

Role	Responsibility	Key Skills	Skills Information
Administrator	• Maintain user IDs • Manage content server • Manage Governance, Risk and Compliance Manager application • Maintain database	• Create user IDs • Manage workflows • Manage element maintenance in application • Manipulate data in the content server	• Refer to *Governance, Risk and Compliance Manager Implementation Guide* • Refer to Oracle Content Server documentation • Administering GRC , page A-xviii • Refer to *Governance, Risk and Compliance Manager User Guide*
Reviewer	• Contribute content • Provide descriptions	• Assist in business process validation, approval, and assessment • Provide required data	• Reviewing Data for , page 8-7 • Contributing to a , page 8-5 • Assessing Process , page 9-10

Role	Responsibility	Key Skills	Skills Information
Auditor	• Audit business processes • Audit process controls by process • Audit groups of controls across many processes • Examine control tests	• Design test schemes • Initiate and manage control testing • Validate business processes and approve business processes • Inspect relevancy of controls	• About Audit Tests , page 10-2 • About Action Items, page 12-1 • Viewing Controls, page 7-6

Document Types

Document types are managed through GRC Manager. Documents are stored in a central repository (via Oracle Content Server) that provides version control, security, and automated actions that help to preserve, protect, and notify the organization to ensure business process continuity. The document types are as follows:

- Maps, page 2-9

- Business Processes, page 2-10

- Assertions, page 2-10

- Risks, page 2-10

- Controls, page 2-11

- Tests, page 2-11

- Issues, page 2-11

- Assessments, page 9-3

- Attachments, page 2-12

Some documents must be created before other documents can be created. Most documents can have attachments linked to them. Some documents are automatically part of a workflow. For example, each business process document must be directly

associated with a map document, at least with an Organization map. Each risk document, control document, and so forth must be associated with a specific business process document. Certain documents can be indirectly associated with other documents at the same level, for example, assertions with risks, and risks with controls.

The following figure shows type basic document types provided in a non-customized version of GRC Manager

Overview of Document Types
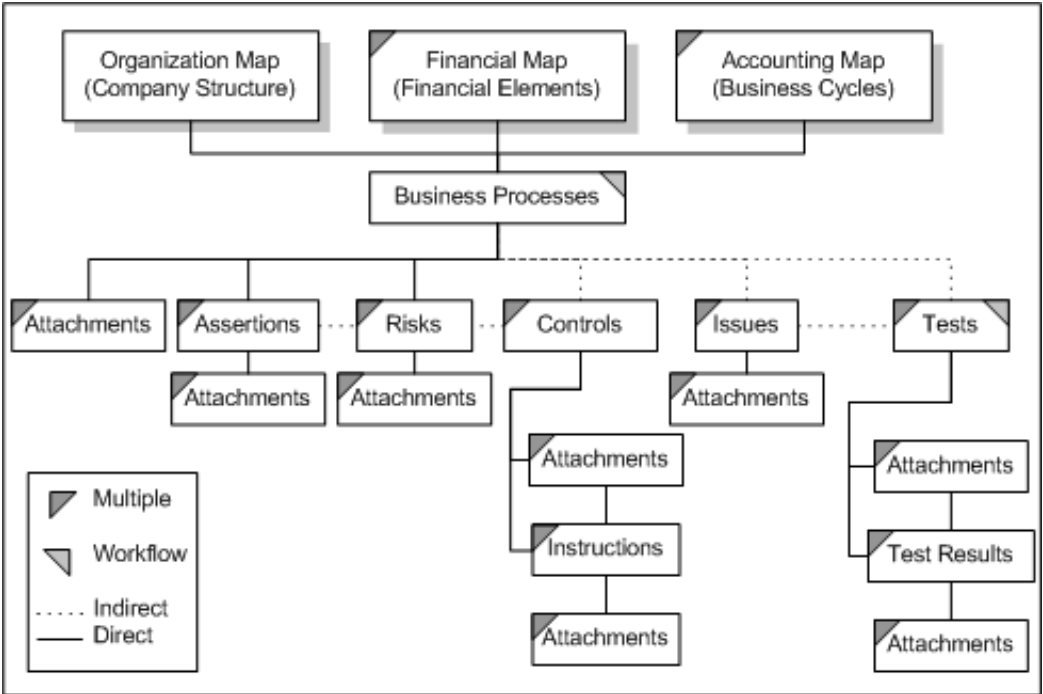
Maps

When a company begins to organize its business process information, certain high-level structures become apparent. These structures monitor financial impact, manage organizational ownership, and track the effect of high-level business processes. These structures can be viewed as containers for information. GRC Manager maps provide the means to manage these structures and assign them to downstream business processes and their supporting documentation (including risks, controls, and attachments).

Three maps are provided with the non-customized installation: Organizational, Financial, and Accounting. How those maps are used or revised is determined by a company.

Name	Description

Organizational Map	Specifies the management of Business Units, Divisions, Locations, or any logical sub-units within a company.
Financial Map	Specifies the management of financial elements, which can include regulated reporting, significant accounts, trial balance accounts names, General Ledger account numbers, and so forth.
Accounting Map	Specifies the management of accounting elements, which can include accounting cycles, significant accounts, or other containers that may require tracking for accounting purposes.

Business Processes

A business process is a documented function within an organization. A business process document is the controlling document within GRC Manager. It provides the attributes to track ownership, type of process, assertions, risks, controls, and associated supporting documentation. Business process documents are the direct owners (parents) of assertion, risk, control, test, issue, and Action Item documents, and can directly own attachment documents. This is the only document type that can be directly run through a Data Collection workflow or an Approval workflow.

Assertions

Every business process documented within an organization can contain one or more assertions (statements of presumed facts) about the status of the financial statements that the process affects. Assertions (also known as objectives) are part of an evaluation process that includes inspection of the controls and how they mitigate the risks regarding the assertions for the process being evaluated. These assertions are intended to provide guidance in assuring the accuracy of the financial statements for an organization.

Risks

Every business process documented within an organization contains risks that can affect the success of execution for the process. A risk document contains information about the risks for a specific business process. Risks are intended to alert appropriate resources to the potential for error or fraud. All risks must be governed and managed through control point assignment so that at least one control is in place to help mitigate

the associated risks for the business process.

Controls

Every business process documented within an organization contains control points that validate the steps during the function. A control document identifies the controls for a specific business process, and it is the document that is tested through the test run workflow for validity and occurrence. Control points include manual and automated tasks that can be identified through compliance initiatives and tracked through ongoing monitoring in terms of effectiveness and maturity.

> **Note:** Integration with control automation sources (such as GRCC) is available. For further information on implementing this control automation integration, refer to "Automation Integration for Controls".

Tests

Types of tests can include audit testing of only controls and process testing (a legacy feature). Every process that has controls is available to be tested within GRC Manager. A control can be a variety of tasks, which can include automated systems, sample transactions or data, or human intervention and review, and which is directed at mitigating a risk in a business process. The instructions for testing and validating a specific control are tracked through a test instructions document. Test instructions can be tracked by the control document, and can be entered into the system directly through the interface or by attaching supporting control documentation. Test instructions for management assessments use the same test instruction documents associated with specific controls.

The new "in scope" field, with its Y/N option, is used to indicate whether or not a control is in scope for testing.

Issues

When a process, its controls, or its risks are evaluated for effectiveness, issues or gaps can appear that require remediation. Issue documents are used to notify appropriate personnel who can correct the issue, change the process, or change the controls or risks if necessary, and then report on the status of the remediation until the issue is closed. An issue document contains attributes that identify an issue and its severity, including material weakness failures that could affect the financial reporting stability of the organization.

Assessments

A business process and its risks and controls require periodic review of how they are

defined and implemented to ensure that the appropriate level of documentation and control is in place. This process is called a *management assessment*, where an evaluation is made about the validity and effectiveness of controls, risks, and the business process to find out if any element is either missing or out of place. Every process with its controls and risks is available to be tested within GRC Manager. Assessment documents include the assessment cover and the assessment results for process operating and design, control operating and design, and risk operating and design.

Attachments

Business process, assertion, risk, control, test instruction, and issue documents within GRC Manager can use supporting documentation that is either too large or too formal to be stored in the interface format. *Attachments* are documents that can be used to store and link supporting documentation at the appropriate document level. Attachments can be any document format including URL references, Microsoft Office documents, Visio diagrams, or other formats available to an organization.

Attachment examples include the following documentation:

• Business process narrative

• Business process flow chart

• Control test instructions

• Test results sample set

• Supporting issue remediation documentation

Document States

As a business process moves through the GRC Manager system during its life cycle, it is placed into various states that determine the actions that can be performed to the process document. These states cannot be changed directly, but are modified by the application as various actions are performed. The various states a process document can be placed in depend on the type of document. Also, some states exist only as a process document is processed through a workflow.

The following diagram illustrates how a business process moves through the GRC Manager and how that is reflected in process document states. A business process begins with its creation and mapping to an organization unit, continues with defining documents for risks and controls, review and approval, testing, issues resolution, and potentially ends with retirement. There are four main states for a business process document: Initialized, Released, Edit, and Retired.

The following diagram shows a basic business process life cycle; a company can customize GRC Manager such that it does not match this description.

Life cycle of a business process
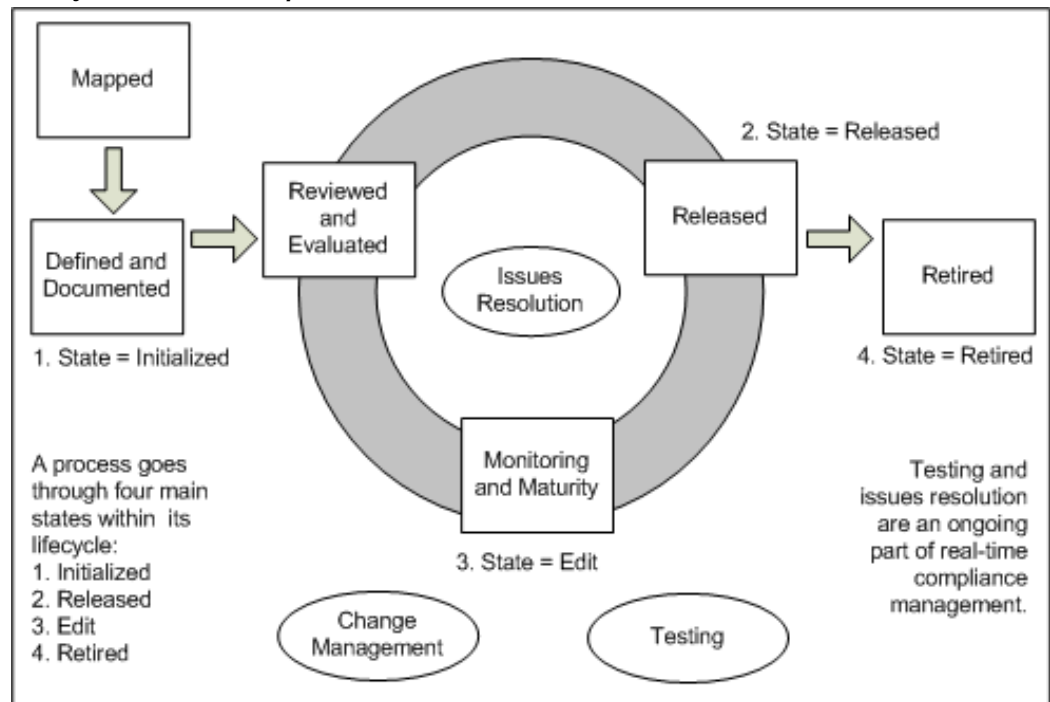
Life cycle of a business process

A business process document contains associated documentation that can be in various states depending on the process document status and application actions. These states are described in the more detail in the following topics:

- Business Process Document States, page 2-13

- Action Item Document States, page 2-14

- Test Document States, page 2-15

- Management Assessment Document States, page 2-16

- Issue Document States, page 2-16

Business Process Document States

A business process document can be placed in the states shown in the following table. Other documents that can inherit these states are control, risk, test instructions, and associated attachments.

State	Description
Initialized	A business process is defined, but has not been approved by the organization as being accurate and complete.
Edit	A released process is currently being edited.
Collection	A Data Collection workflow is being performed, where documentation is added to the business process. The business process can be in a current state of released or initialized to enter a Data Collection workflow.
Approval	An Approval workflow is being performed, where the business process is reviewed for accuracy. The business process can be in a current state of released to enter an Approval workflow.
Collection Rejected	A user is notified that the business process has been rejected, and the process is returned to the step at which it was initiated during a Data Collection workflow.
Approval Rejected	A user is notified that the business process has been rejected, and the process is returned to the step at which it was initiated.
Released	The process contains current data, is saved into the system, and all workflows have been approved.
Retired	A process is no longer actively in use, but is available as reference to historical process records.

Action Item Document States

An action item document can be placed in the states shown in the following table.

State	Description
Open	The Action Item document is currently available to be edited.
Closed	The Action Item document has been closed and is no longer in the workflow.
Cancelled	The Action Item has been cancelled.

Test Document States

A test document can be placed in the states shown in the following table.

State	Description
Prepare	The state of the test cover for a business process or audit of selected controls, where information is entered to specify the test parameters.
Validation	The state of the test cover for a business process or audit of selected controls, where the process is being validated for accuracy before testing.
Active Tests	The state of the test cover for a business process or audit test of selected controls that is currently being tested for control effectiveness.
Testing Completed	The state of the test cover for a business process or audit test of selected controls that has its control effectiveness testing complete and it is ready for a final, subjective review of the test results.
Failed	The state of the text cover for a business process or audit test of selected controls that has failed during Validation, Active Tests, or Testing Completed phases for a test run.

Management Assessment Document States

An assessment document can be placed in the states shown in the following table.

State	Description
Prepare	The state of the assessment cover document for an assessment of controls and risks for business processes, where information is entered to specify the assessment parameters.
Owner Assessment	The state of the assessment cover document while the process owner is assessing controls and risks, and documenting the results.
Owner Certification	The state of the assessment cover document while it is being certified by the business process owner.
Reviewer Certification	The state of the assessment cover document when it is being reviewed for certification.
Completed	The Assessment workflow has been completed. The assessment document result is stored in the content server and available for viewing.
Failed	The state of the assessment document for a management assessment that has failed during the Owner Assessment step or a Certification step in the Assessment workflow.
Cancelled	The state of the assessment document for a management assessment that has been cancelled while the Assessment workflow was active.

Issue Document States

An Issue document can be placed in the states shown in the following table.

State	Description
Open	The Issue document is currently open for resolution.
Closed	The Issue has been resolved and the document is no longer in circulation.
Hold	The Issue document is being held because of other constraints that prevent the Issue from being closed.
Cancelled	The Issue workflow has been cancelled.

Workflows

Workflows are sets of actions specified in Oracle that are used to automate the collection and management of GRC Manager business process documentation. Workflows specify how content is routed to users to perform various tasks, such as approving and testing processes. The GRC Manager workflows use email to notify users when they have content to act upon in a workflow.

The following sections summarize the workflows provided in a non-customized application. More information about each workflow is provided in the section that covers the workflow topic. For more general information on Content Server workflows refer to the *Workflow Implementation Guide*.

- Data Collection Workflow, page 8-2

- Approval Workflow, page 2-18

- Edit Workflow, page 2-18

- Assessment Workflow, page 2-18

- Audit Testing Workflow, page 2-19

- Action Items Workflow, page 2-19

- Issues Workflow, page 2-19

Data Collection Workflow

A Data Collection workflow occurs when an owner is assigned to a business process

and needs to populate the process with supporting documentation. The following flowchart illustrates how the workflow is structured. For more information refer to About Data , page 8-1.

Overview of Data Collection Workflow
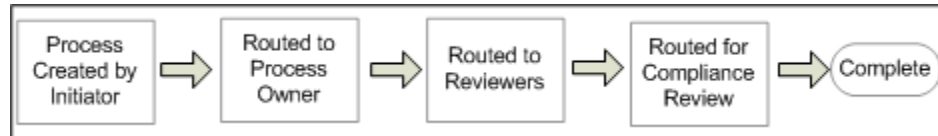
Approval Workflow

An Approval workflow can occur any time an administrator or process owner wants a review of a business process. The following flowchart illustrates how the workflow is structured. For more information refer to About Business Processes, page 5-2.

Overview of Approval Workflow
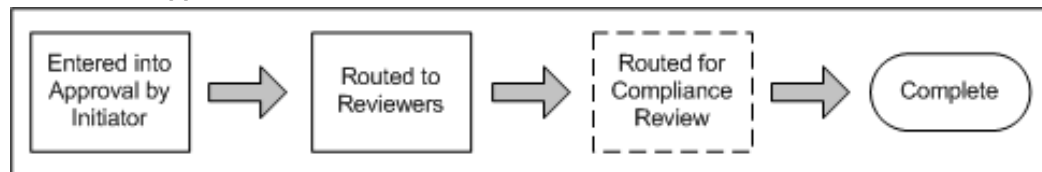
Edit Workflow

An Edit workflow occurs when the business process owner revises a business process to update its procedures, risks, or controls. The following flowchart illustrates how the workflow is structured.

Overview of Edit Workflow
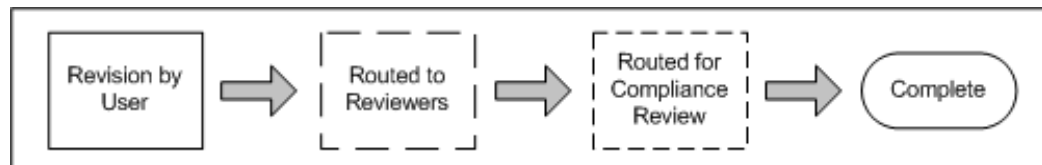
Assessment Workflow

An Assessment workflow occurs when a business process is routed for evaluation of its controls and related risks. The following flowchart illustrates how the workflow is structured. For more information refer to About Management Assessment, page 9-2.

Overview of Assessment Workflow
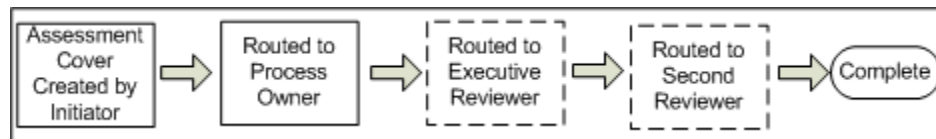
Audit Testing and Process-based Testing Workflow

An Audit Testing workflow occurs when selected controls from any number of business processes are routed for evaluation and testing. The following flowchart illustrates how the workflow is structured. For more information refer to About Audit Tests and Test Plans, page 10-2.

Overview of Audit Testing and Process-based Testing Workflow
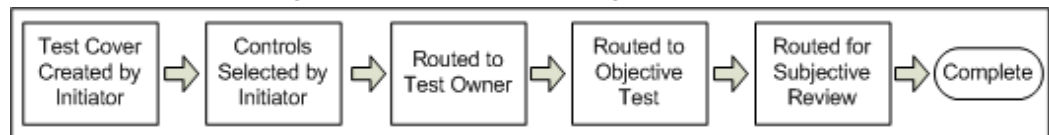
Action Items Workflow

An Action Items workflow occurs when a GRC Manager user assigns an action to another GRC Manager user. The item to be acted upon is defined by the user assigning the action. The following flowchart illustrates how the workflow is structured. For more information refer to About Action Items, page 12-1.

Overview of Action Items Workflow
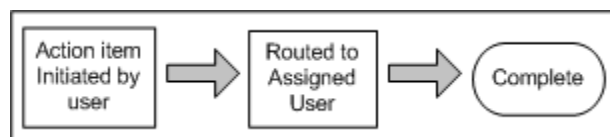
After an action item is closed or cancelled, you can have email notifications sent to the initiator or other related users. This feature is optional and must be set up in your e100Server.config file. Refer to the *Governance, Risk and Compliance Implementation Guide* for details.

Issues Workflow

An Issues workflow occurs when an issue has been generated for a business process. The following flowchart illustrates how the workflow is structured. For more

information refer to About Issues, page 11-2.

Overview of Issues Workflow

After an Issue is closed or cancelled, you can have email notifications sent to the initator or other related users. Note that this feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

Supported Languages

GRC Manager supports multiple languages in the user interface, where a user can override the default language through User Preferences. The languages delivered with GRC Manager include:

- Chinese Simplified

- Chinese Traditional

- Danish

- English US

- French

- French-Canadian

- German

- Italian

- Japanese

- Korean

- Portuguese

- Spanish

The administrator has the ability to change the display text by language, which is modified via Administrative Tools.

3

Basic Application Operation

This chapter covers the following topics:

- Security

- Logging In

- Logging Out

- My Inbox

- Searching Documents

- Performing a Basic Search

- Performing an Advanced Search

- Searching With Additional Fields

- Searching Using SQL

- Setting User Preferences

- Error Screens

- Governance, Risk and Compliance Manager Interface

- Home Page

- Standard Interface Functions

- Inbox Page

- Filter Criteria

- Search GRC Manager Page

- SQL Search Interface

- Search Results Page

- Preferences Page

Security

Security is important in protecting the privacy and integrity of information in GRC Manager. Security is handled by Oracle Content Server for the documentation created by GRC Manager and for user accounts enabling users to view, edit, and manage information in the application.

User accounts, IDs, and passwords are set up in Content Server by the system administrator, who may or may not be the same person as the administrator for the application. The administrator also assigns one or more GRC Manager roles to each user based on a user's need to work with content and to track activity for compliance. The GRC Manager administrator manages workflows, organization maps, templates, libraries, and also can manage business processes and process owner assignments.

Users are required to provide a user ID and password to log in to the content server and to the application. The security functions allow users to access only assigned functions and content. Functions that a user is not authorized to access do not appear in the interface for a user's account.

Logging In

To log in to the GRC Manager application, complete the following steps:

1. Open the Internet Explorer browser and enter the URL for the application. Your system administrator should supply you with the URL for GRC Manager.

    The Login page is displayed.

2. Enter your username and password that has been assigned to you by the system administrator.

3. Click **Login**.

    The Home Page, page 3-6 is displayed.

Logging Out

To log out of the GRC Manager application, complete the following steps:

1. In the application navigation panel, select **User—Logout**.

    A confirmation prompt is displayed.

2. Click **OK**.

    The Login page is displayed.

> **Note:** If Active Directory is used to authenticate users on the Content Server, then the Logout link is not visible. You can log out by closing the browser.

My Inbox

All users have access to a tray labeled My Inbox, located at the top of the GRC Manager navigation panel when a user is logged on to the application. To access the contents of the My Inbox tray, click the tray name. Each user's Inbox Page, page 3-14 provides information on all items (including Management Assessments, Action Items, Business Processes, tests, issues) that are currently assigned to the user for action. When a business process, test, or issue is assigned to a user to perform a task (such as reviewing a process), a link to the item is displayed in a list in the inbox. After a user performs the action required for the business process, test, or issue, the link in the list is automatically removed.

Searching Documents

The search feature within the GRC Manager application performs searches based upon the descriptive attributes (metadata) of each type of document. This section covers the following search topics:

- Performing a Basic Search, page 3-3

- Performing an Advanced Search, page 3-4

- Searching With Additional Fields, page 3-4

- Searching Using SQL, page 3-5

Performing a Basic Search

To perform a basic search, complete the following steps:

1. In the Search text box located in the upper right-hand portion of the application user interface, enter a portion of or all of the document title to search for, then click **Search**.

   A search is performed on the Title field for any document in the content server.

2. The Search Results Page, page 3-29 is displayed.

   > **Note:** By default, 200 results are displayed in the search results

page.

Performing an Advanced Search

To perform an advanced search, complete the following steps:

1. In the upper right-hand portion of the user interface, click **Advanced**.

    The Search GRC Manager Page, page 3-18 is displayed.

2. From the Document Type drop-down menu, click which specific type of document to search, or search all documents.

3. Fill in the search criteria page as needed. Valid values, a Directory Search screen, or a calendar are available where there is an arrow icon located to the right of a search field. Clicking the arrow displays selection information.

4. Click **Search** (located on the upper right-hand and lower right-hand parts of the Search GRC Manager Page).

The Search Results Page, page 3-29 is displayed.

To return to the Search GRC Manager Page, perform the following steps:

1. Click **New Search** for a new search.

2. Click **Back** to return to the Search GRC Manager Page with the previous search values displayed.

Searching With Additional Fields

Any field can be searched on any document, even if it is not displayed explicitly on the Search GRC Manager Page, page 3-18. To search for additional fields, perform the following steps:

1. To select a field and value to search for that is not displayed, use the All Other drop-down menu to select the field to search. The valid values for the field selected (if any) are displayed.

2. Select a value to populate the search field.

3. Click **Search** (located on the upper right- and lower right-hand portions of the Search GRC Manager Page.

The Search Results Page, page 3-29 is displayed

Searching Using SQL

To create a search that can use additional logic including AND, OR, (), and other available Boolean logic, use the Show SQL button.

1. On the Search GRC Manager Page, page 3-18, select the standard criteria to search for, including any fields that may require additional logic.

2. Click **Show SQL**.

    The WHERE clause for the search is displayed in the SQL Search Interface, page 3-28.

3. Modify the text as needed to meet the advanced criteria.

4. Click **Search**.

The Search Results Page, page 3-29 is displayed. If any of the changes made in the Show SQL area are invalid, an error message is displayed.

> **Note:** Using the Show SQL feature is only recommended to users who understand Boolean logic and have a basic understanding of SQL syntax.

Setting User Preferences

Users can choose the language in which GRC Manager is displayed in the browser. To change the language, perform the following steps:

1. Select **User—Preferences** from the navigation bar.

    The Preferences page is displayed.

2. Using the drop-down menu, select a language.

3. Click **Save**.

In addition to choosing a browser language, the administrator can also modify how display text (labels) appear. For details on the languages supported within GRC Manager, refer to Languages Supported, page 2-20. For information on modifying display text, refer to Managing Keys, page A-5.

Error Screens

If an error should occur while using GRC Manager, an error screen is displayed. Take notes on the function and page that you were using prior to receiving the error screen.

Print the screen and forward it along with a description of the work you were performing to your GRC Manager system administrator for assistance.

Do not continue to re-try the function until the problem has been resolved. In doing so, you may inadvertently create other problems or cause data to be corrupted.

> **Note:** Depending on a user's permissions, access to the interface can be limited in time. If you try to perform an action and the allowed period of time has ended, an authorization error message is displayed.

Governance, Risk and Compliance Manager Interface

This section covers the following topics:

- Home Page, page 3-6

- Standard Interface Functions, page 3-8

- Inbox Page, page 3-14

- Filter Criteria, page 3-17

- Search GRC Manager Page, page 3-18

- SQL Search Interface, page 3-28

- Search Results Page, page 3-29

- Preferences Page, page 3-30

Home Page

The GRC Manager application uses the Microsoft Internet Explorer (IE) browser to access and display its pages, functions, and content. No additional client software is necessary to operate the application. The home page is displayed when a user logs in to the application.

The user interface consists of three areas: a menu bar across the top of the display; a navigation bar consisting of trays on the left side of the display; and the largest portion which displays different content pages depending on the tray selection. The trays provide access to the functions that a user is authorized to perform. Selecting a tray will display the tray's interface page or expand the tray to show a list of options. The process of selecting trays and options from the highest to the lowest levels is called *drilling down* . The user interface enable users to view, create, update and monitor data for business processes.

The following example shows the complete set of standard tray selections provided for

the application. The trays an individual user will see will depend on the user's permissions. Also, GRC Manager can be customized so that trays may be labeled different or the tray selections may be different.

Trays	Description
My Inbox	View a list of documents currently assigned to the user. See also Inbox Page, page 3-14.
Business Processes	View and manage business processes. See also Business , page 5-22.
Action Items	View and manage action items assigned by users. See also Action Items Interface, page 12-4.
Audit Testing	View and test control documents in business processes. See also Audit Testing Interface, page 10-6.
Management Assessment	View and assess control documents in business processes. See also Management Assessment Interface, page 9-15.
Test Plans	View and group control documents in business processes for audit testing. See also Testing/Monitoring Interface, page B-13.
Scoping	View and manage scoping for controls and processes. See also Scoping
Testing/Monitoring	This is a legacy feature as of Financial Compliance Director version 7.7 and GRC Manager version 7.7.1. View and manage testing of business process controls. See also Testing/Monitoring Interface, page B-13.
Reports	View and print reports about business processes and business process documents. See also Reports Interface, page 13-8.
Organization	View and manage Organization maps. See also Organization Interface, page 4-22.

Trays	Description
Library	View and manage Master Process Library and Master Component Library templates. See also Template and Library Interfaces, page 14-33
Executive Tasks	View the Dashboard, which provides current and critical status information about business processes. See also Executive Dashboard , page 13-6.
Issues	View and manage issues assigned to business processes. See also Issues Interface , page 11-10.
Administrative Tools	Perform administrative tasks such as copying and maintaining processes, reassigning workflow, and performing mass updates. See also Managing Mass Updates, page A-16
User	• Setting User Preferences, page 3-5 enable you to change the language used in the display. • Log out of the application.

Standard Interface Functions

The following sections describe navigation and activation functions used in pages accessed via the user interface:

- Home Bar, page 3-9

- Menu Bar, page 3-9

- Tabs, page 3-9

- Page Numbers, page 3-10

- Page Control Buttons, page 3-10

- Sort Columns, page 3-14

Home Bar

The home bar across the top of the interface displays your navigation path into the application. You can click on each topic in the navigation path to return to that point in the interface.

Menu Bar

Menu bar selections are displayed above an Organization map whenever they can be selected in context with a map, as shown in the following example. Which menu bar selections are visible, or enabled, depend on the map view and the current action.

Tabs

Interface pages can have tabs displayed across the page that enable you to access or enter additional information about a business process. Each tab's contents has its own unique characteristics, depending on the data. If a tab is active, the tab color turns grey. Details are provided in the individual interface descriptions in this guide. Tabs are labeled depending on the interface and task.

The following tables lists the available tabs. Which tabs you can view depends on your permissions, the application, and the status of the business process you are accessing.

Tab Name	Description
Basics	Specifies basic information about the process, including owner, description, comments, and so forth.
Assertions	Specifies information about assertions regarding the status of the financial statements that the process affects.
Comments	Contains comments about the process that were entered by users.
Risks	Specifies information about the risks that affect the process.
Controls	Specifies information about the controls that mitigate the risks for the process.

Tab Name	Description
Matrix	Displays links to documents for assertions, risks, and controls that have relationships in the process.
Action Items	Specifies information about Action Items for the process
Process	Displays information about a business process being assessed for design and operating effectiveness.
Certification	Contains the certification questions and comments fields to be completed by the owners and reviewers.
Attachments	Specifies attached documentation that further defines and describes the process.
Issues	Specifies information about issues that affect the accuracy and completeness of the process.
History	Specifies information about past revisions of the process, and the risks, controls, and so forth that were a part of the process in the past.
Remediation	Specifies the actions required to remediate issues for the process. This tab is visible when an issue is created.
Test Instructions	Specifies the test instructions for the process. This tab is visible when creating a test cover.

Page Numbers

When a list is displayed on an interface page, a set of numbers appears in the lower left corner of the page. These numbers depict the total number of pages that make up the list. You can click on any page number in the list to show the topics for that page.

Page Control Buttons

Page control buttons will appear whenever they can be selected in context with the

topic. If a control button is not available or is not applicable to the user or the current business process the button color turns grey or the button is not visible.

The following table provides brief descriptions of the control buttons used in the application. Which buttons appear on a page or screen depends on the activity being performed.

> **Note:** Not all buttons appear on all pages or screens. Use this table for reference purposes only to determine the functionality of a button.

Control Button	Description
Add Assertion	Creates a new assertion for the selected business process.
Add Attachment	Adds any document that provides additional instructions, supporting data, or any other meaningful information.
Add Control	Creates a new control for the selected business process.
Add Action Item	Creates a new action item regarding a process and assigned to a user.
Add from Library	Enables component documents to be inserted into the selected business process from the Master Component Library.
Add from Template	Enables template documents to be inserted into the selected business process.
Add Issue	Creates a new issue for the selected business process.
Add Risk	Creates a new risk for the selected business process.
Add Test	Creates a new test instruction document for the selected control.
Approval	Starts an Approval workflow.
Approve Changes	Makes the specified changes to a process.

Control Button	Description
Cancel	Cancels the action that was selected. If any changes were made to a page, a screen will appear requiring that the changes be accepted or ignored.
Cancel Assessment	Cancels the cover page in the Prepare step for an Assessment workflow.
Cancel Changes	Cancels changes to the document.
Cancel Action Item	Cancels an Action Items workflow.
Close	Exits the current page and return to the previous page.
Close Issue	Changes the state of an issue to Closed.
Completed Assessments	Indicates to the Assessment workflow that all assessments have been completed successfully.
Create Linked Process	Creates a link between a master process and a copy of the master process.
Data Collection	Starts a Data Collection workflow.
Delete	Removes the selected subject.
Delete Workflow	Deletes the workflow.
Doc History	Displays history of previous actions taken upon a document.
Edit	Allows information about the selected subject to be changed.
Fail Assessment	Indicates to the Assessment workflow that an assessment has failed.
Hold Issue	Places an issue in a Hold state.

Control Button	Description
i	Depending on the context, this button can open a screen from which to select items (for example, user names or document titles), display a process profile, or display a report. Refer to the Quick Help link on the page on which you see this button for context specific help.
Initiate Assessment	Starts an Assessment workflow, or starts the Owner Assessment step in an Assessment workflow.
Initiate Testing	Starts a Testing workflow.
Invalid Controls	Confirms that controls in a test cover are not valid. Displays a confirmation screen for rejecting the controls included in the test cover. Clicking "Yes" cancels the test. An issue is generated and the test status is changed to "Failed."
Open	Opens the selected unit or process.
Past Revisions	Displays history of previous versions of a document.
Prepare Assessment	Starts the Management Assessment Wizard for selecting the types of assessment to perform on a business process.
Refresh Data	Refreshes the page to show current data.
Refresh from MCL	Updates component documents in the selected business process with new information from the master components in the Master Component Library.
Refresh from MPL	Updates business process document with new information from the master process in the Master Process Library.
Required Documentation	Allows templates of the required attachments to be inserted into the business process.

Control Button	Description
Restart Workflow	Restarts a workflow.
Retire	Changes the state of the selected subject to Retired to denote that it is no longer used.
Revise	Allows changes to a business process.
Route For Approval	Starts an Approval workflow.
Run Report	Creates a report based on the selected subject and optional selection criteria.
Save	Accepts any changes made to a subject. If there is incorrect data, an error window will appear that details the errors. Error corrections must be made before the changes are accepted.
Search	Searches for a set of documents.
Shared Linked Locations	Shares linked locations between components.
Show Filters	Displays criteria to filter information.
View Related Documents	Displays list of documents related to the primary document.

Sort Columns

If a list is displayed in a page, you can click on column headings to sort the list in either ascending or descending order. When you sort a column, a small arrow is displayed next to the column heading, indicating which column has been sorted and in what order (ascending or descending).

Inbox Page

The tray labeled My Inbox, located at the top of the GRC Manager navigation panel, is available when a user is logged on to the application. To access the contents of My Inbox click the tray name. The inbox lists all business processes, tests, issues, and action items that are currently assigned as tasks for the user. Information about a specific item can be accessed by clicking the document title.

The following table describes the types of documents that can appear in a user's inbox, the possible document states, and the tasks required of the user.

Document Type	Document State	Description and Tasks
Action Item	Open	An open action item that is ready to be acted upon by the assigned user.
Issue	Open	An open issue that is ready to be updated and closed.
Issue	Hold	An issue that has been placed on hold and is ready to be updated and closed.
Management Assessment Cover	Prepare Assessment	An assessment cover document is ready to be completed so the assessment can begin.
Management Assessment Cover	Owner Assessment	An assessment document is ready for the process owner to test the controls and risks and complete or fail the assessment.
Test Plan Test Cover	Prepare	A test plan cover for a test that must be completed before the test can be initiated.
Test Cover or Test Plan Test Cover	Validate	A test run that requires validating that the process and control documentation is correct and up-to-date.
Test Cover or Test Plan Test Cover	Active Tests	A test run that requires control testing and test results entries.
Test Cover or Test Plan Test Cover	Testing Complete	A test run that has its controls tested and reported, and requires a final evaluation for pass/fail status.

Document Type	Document State	Description and Tasks
Process	Edit	A business process that has been revised and required either more contribution or review and approval.
Process	Collection	A business process that is currently being documented or having its documentation updated, and requires either more contribution or review and approval.
Process	Collection Rejected	A business process that was in a Collection state, but the initial user has rejected the request.
Process	Approval	A business process that is currently being reviewed for accuracy and requires review and approval.
Process	Approval Rejected	A business process that was in an Approval state, but the initial user has rejected the request.

The list of business processes, tests, and issues in a user's inbox is displayed with the following information:

Column Header	Description
Type	Type of document.
Organization Path	The full path name of an Organization map including the name of the business process.
Title	Title of the process, test, or issue document, and also an active link. Click the title to access the page for the process, issue, or test that requires a task be performed by the user.

Column Header	Description
State	Current state of the document, which can be one of the following: • Active Tests • Approval • Approval Rejected • Collection • Collection Rejected • Edit • Open • Owner Assessment • Prepare • Prepare Assessment • Testing Complete • Validate.
Doc ID	Content ID assigned to the document in the content server.
Release Date	Date the document was released.
Current User	User currently assigned to the document.

Filter Criteria

When a list of business processes is displayed on a page, a Show Filters button is also displayed. The Show Filters button enables users to specify filter criteria to apply to the list of processes so that only the processes that match the criteria are displayed. Clicking the Show Filters button expands the page to list the available filter options, which can differ depending on the type of processes displayed. You can select or enter filter criteria and click Apply Filter or Refresh Data to display the list of processes that match

the filter criteria. Clicking the Hide Filters button collapses the list to show just the processes.

If a user has SRCH_All_Procs authorization, the default (initial) display will not contain any search results; to see results specify criteria and click the Apply Filter button or simply click the Refresh data button. If a user has SRCH_My_Procs authorization, the default display will automatically list all available processes. When you select filter criteria for a document type, that criteria will continue to be automatically applied for that document type until your GRC Manager session ends. The Business Process, Master Process Library, Master Control Library and the All Processes In Scope view lists all utilize the same document type, so any filter applied to one will be in effect for all until the filter is changed or cleared.

> **Note:** The filter criteria can be configured by the administrator to change the default display from all available processes to none. For more information refer to the Governance, Risk and Compliance Manager Implementation Guide.

For information on specific filter criteria for a specific GRC Manager page see the interface description for the page. .

Search GRC Manager Page

The Search GRC Manager Page is displayed when a user performs an advanced search and has selected a document type from the drop-down menu. Users can specify one or more criteria to be used in a search of business process documents that match the selected document type. The criteria fields displayed depend on the type of document selected to be searched. To access this page click the **Advanced** link located next to the Search field at the top of the frame. For more information refer to Searching Documents, page 3-3.

The following table describes all the possible criteria fields for searches. What criteria fields are displayed for a particular search depends on which document type is selected from the Document Type menu.

Feature	Description
Document Type menu	Lists the type of business process documents that is selected to be searched. Types of documents include the following: • All Types • Process • Risk • Control • Assertion • Test Instructions • Process Test Cover • Control Test • Issue • Action Item • Flowchart Attachment • Attachment • Test Plan Test Cover • Test Plan Test • Management Assessment Cover • Control Design Assessment • Control Operating Assessment • Process Design Assessment • Process Operating Assessment • Risk Design Assessment

Feature	Description
	• Risk Operating Assessment
Search button	Activates the search of business process documents based on the criteria specified on the page.

Feature	Description
All Other menus and field	Specifies a substring and other criteria. Substring selection also includes Exact, Begins With, and Ends With. All other criteria include the following:

Specifies a substring and other criteria. Substring selection also includes Exact, Begins With, and Ends With. All other criteria include the following:

- Document ID

- Revision ID

- Status: Used for the History tab of a document and by the content server to manage documents.

- Revision Label

- Author

- Create date

- Release Date

- Parent ID

- Parent Revision ID

- Root ID

- Related Doc ID

- Related Doc Rev ID

- Document State: Used to manage the state of a document; for example, Initialized or Closed.

- Dept Mgmt

- SP Team

- Fin Team

- Display Workflow Initiator

Some fields, such as date fields, may default to

Feature	Description
	an exact match when a search is performed.
Audit Type menus	Specifies a substring and audit type. Substring selection also includes Exact, Begins With, and Ends With. Audit Types include the following: • Operational • Financial Reporting The fields that offer a selection drop-down list for values are driven from the configuration file, so the values that you see may vary.
Business Cycle menu and field	Specifies a substring and text to search. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a screen of possible choices to be searched.
Class menu and field	Specifies a substring and control class. Substring selection also includes Exact, Begins With, and Ends With. Control class levels include the following: • Key • Monitoring • Secondary • Subordinate
Description menu and field	Specifies a substring and text in the Description field of business process documents. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a screen of possible choices to be searched.

Feature	Description
Design Effectiveness menus	Specifies a substring and design effectiveness level. Substring selection also includes Exact, Begins With, and Ends With. Design effectiveness levels include the following: • Effective • Ineffective
Display Workflow Initiator menu and field	Specifies a substring and workflow initiator by first and last name. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a Directory Search screen, which can be used to find a first or last name to specify a user.
Document title menu and field	Specifies a substring and document title. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a screen of possible choices to be searched.
Financial Element menu and field	Specifies a substring and financial element. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a screen showing the financial element map.
In Scope menu and field	Specifies whether or not a control is in scope for testing. Values are Yes or No. Substring selection includes Exact, Begins With, and Ends With.
Issue Level menus	Specifies a substring and issue level. Substring selection also includes Exact, Begins With, and Ends With. Issue Levels include the following: • Material Weakness • Significant Deficiency • Deficiency • Documentation Only

Feature	Description
Issue Originator menu and field	Specifies a substring and issue originator username. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a Directory Search screen, which can be used to find a first or last name to specify a user.
Issue Remedy Comp Date menu and field	Specifies a substring and date of completion for an issue remedy. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a calendar, which can be used to select a date for the search.
Issue Remedy Required menu and field	Specifies a substring and if an issue remedy is required. Substring selection also includes Exact, Begins With, and Ends With.
Issue Type menus	Specifies a substring and issue type. Substring selection also includes Exact, Begins With, and Ends With. Issue Types include the following: • Process • Evaluation
Method menus	Specifies a substring and method. Substring selection also includes Exact, Begins With, and Ends With. Objectives include the following: • Manual • Automated • Auto Monitoring • Control Automation

Feature	Description
Objective menus	Specifies a substring and objective. Substring selection also includes Exact, Begins With, and Ends With. Objectives include the following: • Completeness • Accuracy • Validity • Timeliness • Security
Organization menu and field	Specifies a substring and organization. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a screen showing the organization map.
Process Owner menu and field	Specifies a substring and process owner username. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a Directory Search screen, which can be used to find a first or last name to specify a user.
Process Title menu and field	Specifies a substring and business process title. Substring selection also includes Exact, Begins With, and Ends With.

Feature	Description
Risk Significance menus	Specifies a substring and risk significance level. Substring selection also includes Exact, Begins With, and Ends With. Risk Significance selections include the following: • 1 Low • 2 Med-Low • 3 Medium • 4 Med-High • 5 High
Risk Type menus	• Specifies a substring and risk type level. Substring selection also includes Exact, Begins With, and Ends With. Risk Type selections include the following: • Financial Fraud • Theft of Assets • Theft of Services • Regulatory Compliance • Breach of Security
Subclass menu and field	Specifies a substring and control subclass. Substring selection also includes Exact, Begins With, and Ends With. Control subclass levels include the following: • Compensating • Mitigating • Redundant

Feature	Description
Test Approach menus	Specifies a substring and test approach. Substring selection also includes Exact, Begins With, and Ends With. Test Approach selections include the following • Manual • Automated
Test Owner menu and field	Specifies a substring and test owner username. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a Directory Search screen, which can be used to find a first or last name to specify a user.
Test Period menu and field	Specifies a substring and test period. Substring selection also includes: Exact, Begins With, and Ends With.
Test Process Release Date menu and field	Specifies a substring and test process release date. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a calendar, which can be used to select a period of time for the search.
Test Period Start Date menu and field	Specifies a substring and test period start date. Substring selection also includes Exact, Begins With, and Ends With. The double arrows can be selected to display a calendar, which can be used to select a period of time for the search.
Test Result menus	Specifies a substring and test result. Substring selection also includes Exact, Begins With, and Ends With. Test Results include the following: • None • Pass • Fail • Cancel

Feature	Description
Test Type menus (Test Instructions)	Specifies a substring and test type. Substring selection also includes Exact, Begins With, and Ends With. Test Type selections include the following: • Inquiry • Observation • Examination • Performance
Test Type menus (Process Test Cover)	Specifies a substring and test type. Substring selection also includes Exact, Begins With, and Ends With. Test Type selections include the following: • Test All Processes • Test Updated Processes Only
Type menus	Specifies a substring and Type. Substring selection also includes Exact, Begins With, and Ends With. Type selections include the following: • Preventive • Detective • Corrective
Show SQL button	Displays a WHERE clause for SQL.
Search button	Activates the search of business process documents based on the criteria specified on the page.

SQL Search Interface

The SQL search interface is used to specify additional logic including AND, OR, (), and

other available Boolean logic in a search of business process documents. To access the interface, click the Show SQL button on the Search criteria page, which will expand to include the SQL interface. For more information refer to Searching Using SQL, page 3-5.

Feature	Description
Refresh SQL button	Refreshes the SQL logic based on changes made to the search criteria field.
Hide SQL button	Hides the SQL search page and displays the Search criteria page.
Search Criteria field	Enter additional SQL logic in this field.
Search button	Activates the search of business process documents based on the criteria specified on the page.

Search Results Page

The Search Results page displays the results of a basic or advanced search of business process documents. This page is accessed by clicking either the Search button or the Advanced search link at the top of an interface page, then performing a search. For more information refer to Searching Documents, page 3-3.

> **Note:** By default, a maximum of 200 results are displayed in the Search Results page.

Feature	Description
Document Type column	The type of document according to application designations.
Document Title column	The title for the business process document. Click the title link to display the document.
Process Owner column	The name of the owner of the business process document.
Document State column	The current state of the document.

Feature	Description
New Search button	Starts a new search of the documents.
Back button	Returns the user to the page where the search was started.

Each search result contains links depending on the state of the document and the type of document. To drill down into a search result, click the appropriate title link or parent document link button to view the result. The following table describes the search result links.

Document Types	Title Link	Edit Button
Process, Assertion, Risk, Control, Test Instruction, Action Item, Issue, Process Test Cover, Management Assessment Cover	Displays the process document page. The document can be edited if the controlling document is in a state of edit and you are the current user.	Displays the associated process definition page. To edit, click the Revise button and then go to the document to edit.
Control Result, Assessment Result	Displays the process document page. The document can be edited if the controlling document is in a state of edit and you are the current user.	Displays the associated test cover. The document can be edited if you are the current user.

Preferences Page

The Preferences page is used to select the language in which the application appears in the browser. A default value is set by the system administrator. To access this page, select the User tray and the Preferences link.

Feature	Description
Save button	Saves the changed language selection and applies it to the interface.
Cancel button	Cancels the changed language setting.

Feature	Description
Language Override Setting menu	Select a language from the menu.

4

Managing Maps

This chapter covers the following topics:

- About Maps
- Creating Maps
- Using Maps in View Mode
- Opening a Map in View Mode
- Moving Processes Within a Map
- Copying Processes Within a Map
- Sending Email to Business Process Users
- Using Maps in Edit Mode
- Opening a Map in Edit Mode
- Creating a Child Folder
- Deleting a Folder
- Renaming a Folder
- Copying a Folder Structure
- Assigning Permissions
- Moving a Folder to a Different Position
- Saving Changes to a Map
- Canceling Changes to a Map
- Copying Processes to another Organization Path
- Starting Workflows From an Organization Map
- Starting Data Collection for Multiple Processes
- Routing For Approval Multiple Processes In a Folder
- Starting an Assessment for Multiple Processes

- Starting a Test Run for Multiple Processes

- Organization Interface

- Organization Tray

- Map View Mode

- Map Edit Mode

- Copy Process (Single) Page

- Copy Process (Org Unit) Page

- Email Message Screen

- Element Maintenance Page

- Process Selection Screen

About Maps

A hierarchical data map is a visual representation of the structure of a data field. Maps are used for top-level management of business process data. Each business process must be assigned an organization path to a map in order to accurately track, access, and report on process documentation.

GRC Manager provides three types of maps: organization, audit, and financial. An organization map must be created before users can create and work with business processes. The audit and financial maps categorize business processes for reporting purposes.

> **Note:** The actual names of the map types can vary depending on how a company implements the application.

> **Note:** For information on configuring the map types see the *Governance, Risk and Compliance Manager Implementation Guide*.

Map Type	Description
Organization	Represents the organizational structure of a company.
Audit	Represents the accounting cycles of a company.

Map Type	Description
Financial	Represents the accounts as tracked for financial reporting.

An optional fourth hierarchical data map is not configured by default, but a company can choose to implement a fourth map.

Permission— Only users with the SOAICAdmin (GRC Manager administrator) role or the SOAGlobalICAdmin (GRC Manager senior administrator) role have permission to create and manage maps.

Maps can be accessed in two modes:

- **Map View Mode**—Most users can access a map in View mode to see business processes associated with a map unit (or folder). Users with the SOABPCreator (business process creator) role can assign a location in a map when creating a business process, and (if authorized) can move processes within a map. Administrators can move or copy processes within a map, send email to business process owners, and initiate testing and management assessment. See Using Maps in View Mode, page 4-4 and Creating , page 4-3.

- **Map Edit Mode**—Only administrators can access a map in Edit mode. Administrators can create child folders for a business processes, delete or rename a folder, and copy a folder structure or move a folder in a map. See Using Maps in Edit Mode, page 4-9 and Copying , page 4-16.

Creating Maps

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task

> **Note:** The *Governance, Risk and Compliance Manager Implementation Guide* describes the startup configuration for the three map types. Although you can create more maps of each type, only one map of each type can be configured for active use in the application.

To create a map, complete the following steps:

1. Select the Organization tray on the left pane of the application, then select **Create Map**.

   The Create Map screen is displayed.

2. Enter a name for the new map in the name field.

3. Select the type of map (for example, Organization, Financial, Audit) from the "Select type of map" menu.

4. Click **Create**.

   A blank map with only one folder is displayed. The name of the map is displayed above the folder. Underneath the map name, the type of map and current mode (Edit or View) are displayed. A map is automatically created in Edit mode.

   > **Note:** A Templates folder is automatically created in an organization map.

5. To give the folder a meaningful name select the folder and click **Rename** in the top menu bar.

6. At the user prompt enter the new name for the folder, then click **OK**.

7. Create a new child folder within the map by selecting the top folder and then selecting **New Child** from the top menu bar.

8. At the prompt enter a meaningful name for the new folder, then click **OK**.

9. Repeat steps 7 and 8 to create as many child folders as needed. You can create child folders within child folders by selecting a child folder and clicking **New Child**.

10. To save your changes to the map, click **Save** in the menu bar.

    The Save Map screen is displayed.

11. Select **Save and check in**.

    The map page is displayed in Map View Mode, page 4-23.

    > **Note:** To cancel the Save Map screen and continue editing the map without saving, click Return to the map in the screen.

Using Maps in View Mode

Using a map in View mode enables you to view the business processes associated with the map's folder, move or copy business processes to other locations in the map, and send email to users associated with selected processes.

- Opening a Map in View Mode, page 4-5

- Moving Processes Within a Map, page 4-5

- Copying Processes Within a Map, page 4-6

- Sending Email to Business Process Users, page 4-8

Opening a Map in View Mode

Using a map in View mode enables you to view the business processes associated with a map folder. To open a map in View mode, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

   > **Note:** Click a folder icon to expand or collapse the folder contents.

3. Double click a folder title. If the folder contains business processes, they are displayed in a list on the right-hand side of the page.

4. To view a business process, click its title.

   The Process Page, page 5-36 is displayed.

Moving Processes Within a Map

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role, or be the business process creator, to perform this task.

To move one or more business process within a map, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. Double click a folder title to view the business processes in it.

   Business processes are displayed in a list on the right-hand side of the page.

4. Select the check box next to each business process you wish to move to another location in the map. The check box in the title bar for the list of processes enables you to select or deselect all the business processes.

> **Note:** You can move only those business processes that are set to a document state of Initialized or Released.

5. Select **Move Business Processes** on the menu bar.

   A screen containing a smaller version of the map is displayed.

6. In the screen select the new home folder for the business processes, and click **OK**.

   A confirmation screen is displayed that states that changes cannot be undone.

7. Click **Yes** to move the business processes, or **No** to cancel the move.

Copying Processes Within a Map

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

To copy a business process within a map, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. Double click a folder title to view the business processes in it. Business processes are displayed in a list on the right-hand side of the page.

4. Select the check box next to the business process you wish to copy to one or more locations.

   > **Note:** You can only copy business processes that have a document state of either Initialized or Released.

5. Select **Copy** from the menu bar.

   The Copy Process (Single) Page, page 4-27 is displayed.

6. To select the locations in the map to which you wish the business process copied, click the Info icon next to the **Copy to locations** text box. Copying from or to a template organization path location is not allowed, so you won't see those elements in the popup org map selection display.

   The organization map is displayed.

7. Select the check box next to all of the locations for the copies.

8. Click **OK**.

    The locations selected are displayed in the **Copy to locations** text box.

9. Three options exist for copying a business process to determine the users who are assigned to perform tasks for the process. Select the appropriate action based on the following definitions:

    • **Prompt for owners**—This option displays an Owner Selection page for each location that will receive a copy of the business process. In a later step you will specify the owner or owners for each copy of the business process.

    • **Re-use same owners**—This option copies the existing owners of the original business process to each copied process.

    • **Leave owners blank**—This option removes any values assigned in the owners fields for each copied business process. Manual assignment for owners is required after the copy is complete.

10. To include the following types of related documents for the business process, select the check box next to **Select all related documents**:

    • Assertion

    • Risk

    • Control

    • Test Instruction

    • Attachment (if enabled)

        To view a list of all the related documents that will be copied if you check the **Select all related documents** box, click **View related documents**. To close the list of related documents, click **Hide related documents**.

11. To maintain links to Master Component Library (MCL) component source documents for any MCL linked components, select the **Keep source links** check box.

12. When ready to copy the business process, click **Copy**.

13. If the **Prompt for owners** option is selected, you are prompted for the various owners for the process for each location. To select the owners for the copied business processes, do the following:

    1. Click the Info icon next to an owner field.

The employee search screen is displayed.

2. Enter any known information for the employee you want to assign as the process Noteowner, either in the First Name or Last Name fields, and click **Search**.

   A list of results is displayed.

3. Click the name of the employee to be assigned to the associated owner field for the process.

   The name is populated into the field.

4. Repeat this procedure for each of the owners to be assigned to the business process.

5. When complete, click **Continue** to select owners for the next location.

   A confirmation prompt is displayed.

   > **Note:** If you select **Prompt for owners**, you can leave all of the fields blank and still click **Continue** to copy the process to the location.

   > **Note:** If you select Skip, then process will not be copied to the specified location, even if some of the people assignments are filled in. This gives you the option of skipping one location without having to go back to the beginning and start over with the selection.

6. Click **OK**.

14. The Copy command can take a while to execute depending on the number of locations for the copies and number of related documents to be copied. When finished, a Status screen is displayed with the results of the copy action.

Sending Email to Business Process Users

The Send Email option enables a GRC Manager administrator to send email to users associated with selected business processes. This is useful for short notifications, not lengthy email messages.

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

To send email, complete the following steps:

1. Open an Organization map in View mode and double click a folder to display the business processes.

2. Using the check boxes, select one or more released business processes.

3. Click **Send Email** in the top menu bar.

   The Email Message Screen, page 4-30 is displayed.

4. Select the users to receive the email. Users can be process owners and test owners (and control owners, if supported) associated with the selected business processes.

5. Enter appropriate information in the Subject field.

6. Enter the email message in the Body field. The field is limited to 100 characters.

7. Click **OK**.

   An email is sent to the selected users.

Using Maps in Edit Mode

Using a map in Edit mode enables you manage maps to create child folders for a business processes, delete or rename a folder, and copy a folder structure or move a folder in a map.

- Opening a Map in Edit Mode, page 4-9

- Creating a Child Folder, page 4-10

- Deleting a Folder, page 4-11

- Renaming a Folder, page 4-12

- Copying a Folder Structure, page 4-13

- Assigning Permissions, page 4-14

- Moving a Folder to a Different Position, page 4-15

- Saving Changes to a Map, page 4-15

- Canceling Changes to a Map, page 4-16

Opening a Map in Edit Mode

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

To open a map when in Edit mode, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. To edit the map, click **Edit** in the menu bar.

   The map is displayed in Map Edit Mode, page 4-25. You can now make changes to the map.

Creating a Child Folder

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

To create a child folder in a map when in Edit mode, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. Click **Edit** in the menu bar.

   The map is displayed in Map Edit Mode, page 4-25.

4. Click a folder title to specify where the child folder will be located.

5. Click **New Child** in the menu bar.

   A user prompt is displayed with an open field for a name for the new folder.

6. Enter a name for the new folder, then click **OK**.

   A new child folder is created and the icon and name displayed on the map.

7. Click **Save**.

   A dialog box is displayed.

8. Click **Save and check in** to save the new child folder and check it in to the Content Server.

9. To close the map and return to the main page, click **Close**.

Deleting a Folder

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

> **Note:** If a folder or any of its child folders contain business processes, you will not be allowed to delete the folder.

To delete a folder in a map when in Edit mode, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

    The Select Map screen is displayed.

2. Select a map, then click **Open**.

    The map is displayed in Map View Mode, page 4-23.

3. Click **Edit** in the menu bar.

    The map is displayed in Map Edit Mode, page 4-25.

4. Select a folder to delete.

5. Click **Delete** in the menu bar.

    A confirmation prompt is displayed.

6. Click **OK**.

    All child folders are deleted along with the folder.

7. Click **Save**.

    A dialog box is displayed.

8. Click **Save and check in** to save the changes and check them in to the Content Server.

9. To close the map and return to the main page, click **Close**.

    > **Note:** A deleted folder and its child folders are in memory exactly the same as when folders are copied. You can use the Paste option to place a deleted folder in a new location. After pasting a folder to a new location, the contents are still in memory and can be pasted in another location.

Renaming a Folder

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

> **Note:** A duplicate folder name cannot be entered at the same tree level. You can enter a duplicate folder name at a different level in the organization tree. For example, a folder can have a child folder with the same name.

> **Note:** Renaming an organization map folder that contains business processes under it might not be allowed if some processes are not in a Released or Initialized state, or are locked for testing.

To rename a folder in a map when in Edit mode, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

    The Select Map screen is displayed.

2. Select a map, then click **Open**.

    The map is displayed in Map View Mode, page 4-23.

3. Click **Edit** in the menu bar.

    The map is displayed in Map Edit Mode, page 4-25.

4. Select a folder to rename.

5. Click **Rename** in the menu bar.

    A prompt is displayed with an open field for the new folder name.

6. Enter the new name for the folder.

7. Click **OK**.

    A confirmation screen is displayed indicating that changes cannot be undone.

8. Click **Yes** to rename the folder, or click **No** to cancel the action.

9. Click **Save**.

    A dialog box is displayed.

10. Click **Save and check in** to save the changes and check them in to the Content Server.

11. To close the map and return to the main page, click **Close**.

Copying a Folder Structure

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

> **Note:** Only the folder structure is copied, not the business processes in the child folders.

To copy a folder structure in a map when in Edit mode, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. Click **Edit** in the menu bar.

   The map is displayed in Map Edit Mode, page 4-25.

4. Select a business process folder to copy. All child folders will be copied as well.

5. Click **Copy Folder** in the menu bar to copy the folder structure to the clipboard.

   The Select Map screen is displayed.

6. Select a destination in the map by clicking a folder.

7. Click **Paste Folder** in the menu bar. You should be able to see the folder structure located under the destination folder.

   After pasting a folder to a new location, the contents are still in memory and can be pasted in another location.

8. Click **Save**.

   A dialog box is displayed.

9. Click **Save and check in** to save the changes and check them in to the Content Server.

10. To close the map and return to the main page, click **Close**.

> **Note:** If you try to copy and paste a folder structure at the same

level as the original folder, the copy will be pasted with a different name, because two folders cannot have the same name at the same level in the map. If this happens, you can rename the copy folder to give it a meaningful name.

Assigning Permissions

Organization map folders can be assigned a user who has permission to create new business processes in specific organization map locations. A user assigned to the map folder permission should also have the SOABPCreator role in order to have permission to create business processes. Without the map permission, a SOABPCreator can create a process, but cannot save it because the user won't be able to assign an organization path, which is a required field for saving a process. Only one user (other than the administrators) can be assigned permission to a specific folder in a map.

> **Note:** This task applies only to maps

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task

To assign permission to a user for a specific folder structure in a map, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. Click **Edit** in the menu bar.

4. The map is displayed in Map Edit Mode, page 4-25.

5. Select a folder (this automatically includes its child folders).

6. Click **Assign Permission** in the menu bar.

   A Directory Search screen is displayed.

7. On the search screen enter the name of the user you want to assign permission and select **Search**.

8. Select the desired name from the search results.

   A pop-up window is displayed indicating that the assignment was successful.

9. Click **OK**.

The assigned user name is displayed in the upper right section of the screen, just beneath the folder name.

Moving a Folder to a Different Position

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task

To move a folder (and its child folders, but not the business processes) to a different position under the same parent folder, complete the following steps:

1. Select the Organization tray, then click **Open Map**.

   The Select Map screen is displayed.

2. Select a map, then click **Open**.

   The map is displayed in Map View Mode, page 4-23.

3. Click **Edit** in the menu bar.

4. The map is displayed in Map Edit Mode, page 4-25.

5. Select the folder you want to move.

6. Click the up or down green arrow in the menu bar to move the folder up one position or down one position under the same parent folder.

Saving Changes to a Map

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

To save any changes to a map when in Edit mode, including changing the default language for the map names, complete the following steps:

1. Select **Save** from the menu bar.

   A dialog box is displayed.

2. Click **Save and check in**.

   The map is saved and opened up in View mode.

   > **Note:** To cancel the dialog box action and continue editing the map without saving, click **Return to the map**.

Canceling Changes to a Map

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

To cancel changes to a map when in Edit mode, complete the following steps:

1. Select **Cancel** from the menu bar.

    A screen is displayed.

2. Click **Undo the check out**.

    The map is closed without saving any changes.

Copying Processes to another Organization Path

Permission: You must have the SOAICAdmin role or the SOAGlobalICAdmin role to perform this task.

> **Note:** Only business processes that are in an Initialized or Released state can be copied to another organization unit.

To copy business processes from one organization path to another organization path, complete the following instructions:

1. Select the Administrative Tools tray.

2. Click **Copy Processes**.

    The Copy Process (Org Unit) Page, page 4-28 is displayed.

3. Specify an organization unit from which to copy processes. Clicking the Info icon will display a Select Map screen for locating an organization unit.

4. Select an organization unit to receive the copied processes. Clicking the Info icon will display a Select Map screen for locating an organization unit.

5. Three options exist to determine the users who are assigned to perform tasks for processes. Select the appropriate action based on the following definitions:

    1. **Prompt for owners**—This option displays an Owner Selection page for each location that will receive a copy of a business process. In a later step you will specify the owner or owners for each copy of the business process.

    2. **Re-use same owners**—This option copies the existing owners of each original business process to each copied process.

3. **Leave owners blank**—This option removes any values assigned in the owners fields for each copied business process. Manual assignment for owners is required after the copy is complete.

6. To maintain links to Master Component Library (MCL) component source documents for any MCL linked components, select the **Keep source links** check box.

7. To view all business processes in the organization unit that will be copied, click **View process list**.

    A list of all business processes in the organization unit is displayed.

8. If you wish to copy only some of the business processes within the organization unit, select the check boxes for the processes.

9. When ready to copy the business process, click **Copy**.

10. If the **Prompt for owners** option is selected, you are prompted for the various owners for the process for each location. To select the owners for the copied business processes, do the following:

    1. Click the Info icon next to an owner field.

        The employee search screen is displayed.

    2. Enter any known information for the employee you want to assign as the process owner, either in the First Name or Last Name fields, and click **Search**.

        A list of results is displayed.

    3. Click the name of the employee to be assigned to the associated owner field for the process.

        The name is populated into the field.

    4. Repeat this procedure for each of the owners to be assigned to the business process.

    5. When complete, click **Continue** to select owners for the next location.

        A confirmation prompt is displayed.

        > **Note:** f you select **Prompt for owners**, you can leave all of the fields blank and still click **Continue** to copy the processes to the organization unit.

> **Note:** f you select **Skip**, then processes will not be copied to the specified organization unit, even if some of the people assignments are filled in.

6. Click **OK**.

   The Copy command can take a while to execute depending on the number of documents to be copied. When finished, a Status screen is displayed with the results of the copy action.

Starting Workflows From an Organization Map

Four types of workflows can be started from an organization map: Data Collection, Approval, Assessment, and Testing. When a workflow is initiated from an organization map in View mode, it enables a user to select a group of processes from a folder (business unit), or select all the processes in a folder. Workflows also can be initiated from an open business process as long as the process meets the criteria for the workflow (for example, the process is in an Initialized or Released state).

The following topics show how to start a workflow from an organization map for groups of processes:

- Starting Data Collection for Multiple Processes, page 4-18

- Routing For Approval Multiple Processes In a Folder, page 4-19

- Starting an Assessment for Multiple Processes, page 4-20

- Starting a Test Run for Multiple Processes, page 4-21

Starting Data Collection for Multiple Processes

> **Note:** A process must be in a state of Released or Initialized to be started into process collection.

To send multiple business processes through the Data Collection workflow, complete the following steps:

1. From an organization map select a folder and double click the title to display the list of processes for that unit. For information about maps refer to About Maps, page 4-2.

2. Select all business processes by checking the box at the top of the process list, or individually select business processes from the list by checking the boxes located

next to each process title.

3. Click **Process Collection**.

    A confirmation prompt is displayed.

4. Select either **Execute recursively Yes** or **Execute recursively No** to indicate whether or not to start data collection recursively. Selecting recursively means that the business processes in any subfolders will also be started, otherwise only the business processes in the selected folder will be started.

5. Click **Yes** to continue, or **No** to cancel the request.

    If Yes is selected, the business processes are entered into the Data Collection workflow. A status prompt is displayed to show the processes that have been entered into the Data Collection workflow. Processes that successfully started are in a state of Collection

    > **Note:** f a process did not enter into workflow, check to see if it is a valid process that is in a state of Initialized or Released and that it has a process owner assigned (the Owner field in the Business ProcessCover has no entry).

    For more information see About Data Collection, page 8-1.

Routing For Approval Multiple Processes In a Folder

To route all business processes in a folder for approval, complete the following steps:

1. From an organization map in View mode select and select a folder.

2. Double click the folder title to view its business processes.

3. Select the desired processes by clicking the check box for each process, or click the check box at the top of the list to select all the processes.

4. On the menu bar click **Route for Approval.**

    A confirmation screen is displayed.

5. Select either **Execute recursively Yes** or **Execute recursively No** to indicate whether or not to execute the approval recursively. Selecting recursively means that business processes in subfolders are also routed for approval; otherwise only business processes in the selected folder will be routed.

6. Click **Yes** to continue or **No** to cancel.

    • If Yes is clicked, a message box is displayed that lists the business processes and

whether or not they were routed for approval.

- If a process does not have an owner assigned to it (the Owner field in the BP Cover has no entry), the process does not start. Business processes that are successfully routed should now be in an Approval state.

For more information see Approval Workflows for <user> Page, page 5-28.

Starting an Assessment for Multiple Processes

> **Note:** Business processes must be approved and in the Released state for the Assessment workflow to be initiated. Management assessment can only be initiated when a process is not locked by another workflow.

To start an assessment of controls and risks for multiple business processes, complete the following steps:

1. Select **Organization—Open** to open a dialog box and select an organization map.

2. Select a folder and double click the folder title to display the list of business processes for that organization unit.

3. Select individual processes by checking the boxes next to each process title, or select all the processes by checking the box at the top of the process list.

4. Click **Initiate Assessment** in the top menu bar.

    An Assessment Dialog Box, page 9-22 is displayed.

5. Enter or select information in the screen for filtering the scope of the assessment:

    - Period (fiscal)

    - Assessment Type: Operational or Design

    - Risks to Assess: All Risks, Risks >= n

    - Controls In Scope: Yes, No, or leave blank to include all controls

    - Controls to Assess: Key, Monitoring, Secondary, Subsidiary

6. Select a radio button for **Yes** or **No** for whether to skip the Preparation step in the workflow.

    - If Yes, the Management Assessment Cover pages (one for each process) will be sent to the Management Assessment—Assessment Inbox for each process

owner.

- If No, the Management Assessment Cover pages (one for each process) will be sent to the Management Assessment—Preparation Inbox for each process owner.

7. Click **Yes** to create the Management Assessment Cover Page, page 9-24.

   A confirmation prompt is displayed indicating how many assessments have been created (one for each business process).

8. Click **OK**.

   The assessment documents are entered into the Assessment workflow and an email notification is sent to the process owners. The processes are now in an Owner Assessment state, and the assessment documents are automatically assigned the name of the organization map and a number (in sequential order).

   For more information see About Management Assessment, page 9-2.

   > **Note:** If you click Cancel, the processes are not sent for assessment and the Assessment dialog box is closed.

   > **Note:** If the Assessment workflow did not start, check to see if all the processes are valid (in the Released state) and that they have assigned process owners

Starting a Test Run for Multiple Processes

> **Note:** This is a legacy feature as of version 7.7 of Financial Compliance Director and version 7.7.1 of GRC Manager

> **Note:** A business process must be in the Released state for the Testing workflow to be initiated.

To start a test run for multiple business processes, complete the following steps:

1. From an Organization map, select a folder and double click the folder title to display the list of business processes for that unit.

2. Select individual processes by checking the boxes next to each process title, or select all the processes by checking the box at the top of the process list.

3. Click **Initiate Testing**.

   The Multiple Processes Test Run Screen, page B-21 is displayed.

4. Enter or select information for the fields in the screen.

5. Click **Yes**.

   A confirmation prompt is displayed.

   - If you click **Yes**, the processes that are available for testing are entered into the Testing workflow. A status screen is displayed to show the processes that are now in the workflow.

   - If you click **Cancel**, the process is not sent for testing and the Test Cover page is closed.

     > **Note:** If the Testing workflow did not start for a business process, check to see if it is a valid process that is in the Released state and that it has an assigned process owner and test owner.

For more information see About Testing Business Processes, page B-2.

Organization Interface

This section describes the Organization tray and its options:

- Organization Tray, page 4-22

- Map View Mode, page 4-23

- Map Edit Mode, page 4-25

- Email Message Screen, page 4-30

- Element Maintenance Page, page 4-30

- Process Selection Screen, page 4-31

Organization Tray

The Organization tray provides access to maps that represent the hierarchical structure of data in GRC Manager, organized by finance, accounting cycles, and company organization. It enables users to drill down to the various business processes that are mapped to those organization structures, and to initiate specific workflows. For GRC Manager administrators, the Organization tray also provides access to

management functions for editing maps, copying business processes, and sending email to process owners.

Organization Options	Description
Open Map	Displays the Select Map screen, which lists available maps. Select a map to open it.
Create Map	Displays the Create Map screen, used to name a new map and select the type of map to create (for example, Organization, Financial, Audit, Legal). This option is available only to users with permission to create maps.
Copy Processes	Displays the Copy Process (Org Unit) screen, used to specify a business process to copy from one Organization unit to another Organization unit. This option is available only to users with permission to copy processes.
Maintain Processes	Displays the Element Maintenance page, used to add or remove elements from the Financial and Cycle map fields of one or more business processes. This option is available only to Governance, Risk and Compliance Manager administrators.
Configuration Admin	Displays the Configuration Administration Page, page A-19, used to manage lists, fiscal periods, control labels, and custom fields in the application configuration. This option is available only to Governance, Risk and Compliance Manager administrators.

Map View Mode

Maps in View mode are used to access and manage hierarchical data structures (such as organization, financial, and audit maps), which are used to organize business processes. Depending on a user's permissions, an organization map can be used to initiate certain workflows for business processes, and a map in View mode can be used to copy and move business processes within a map.

If additional maps have been created, only the map configured for application use can be used to perform actions on business processes. Additional maps might be created when a modified map is being prepared for use.

To access an existing map, select the Organization tray, then the Open Map option. A pop-up screen enables users to select from a list of existing maps, and the selected map is automatically opened in View mode. To view business processes within a map, double click the title of a folder within a map. For more information refer to Opening a Map in View , page 4-5.

Feature	Description
Edit menu item	Changes the state of one or more selected business processes to Edit, so the processes can be changed.
Close menu item	Closes the organization map view.
Move Business Processes menu item	Moves selected business processes from one location in the organization map to another location in the map.
Copy menu item	Copies selected business processes from one location in the organization map to other locations in the map.
Send EMail menu item	Displays a page that can be used to send email to predefined users based on the map and business process: • Process owner • Test owner • Control owner (if enabled) This menu item is available only from an organization map in View mode.
Data Collection menu item	Initiates a Data Collection workflow for selected business processes. This menu item is available only in an organization map.
Route for Approval menu item	Initiates an Approval workflow for selected business processes. This menu item is available only in an organization map.
Initiate Testing menu item	Initiates a Testing workflow for selected business processes. This menu item is available only in an organization map.

Feature	Description
Initiate Assessment item	Initiates a Management Assessment workflow for selected business processes.
Map title	Title of the map, followed by the mode: View or Edit.
Current language of the map menu	If available, you can change the language in which maps are displayed by selecting a language from the menu. The default language will be used when the local translation is not available. To specify the default language for map names, go to Edit mode and use the Set Default button.
Folders column	Icons representing the folder structure and names in the map.
Doc ID column	Content identification number for a document.
Doc Title column	Title of a business process.
Doc State column	Current state of a business process.
In Scope column	For an Organization map type, indicates if the process includes controls that are in scope for testing.

Map Edit Mode

Maps in Edit mode are used to manage hierarchical units (also called folders) within an organization. To access an existing map, select the Organization tray and the Open Map option. A pop-up screen enables users to select from a list of maps, and the selected map is automatically opened in View mode. To edit a map, click **Edit** in the menu bar. For more information refer to Using Maps in Edit Mode, page 4-9.

When creating a new map, a pop-up screen enables users to name the new map and select the type of map, which is then displayed in Edit mode. For more information refer to Creating Maps, page 4-3.

Feature	Description
New Child menu item	Creates a new child folder under the selected folder.
Delete menu item	Deletes a selected folder.
Rename menu item	Renames a selected folder.
Copy Folder menu item	Copies a selected folder and its child folders.
Paste Folder menu item	Pastes a copied folder and its child folders in another location in a map.
Assign Permission menu item	Assigns business processes creation permission for a folder to the specified user. Process creation permission must also be assigned to the user by adding the SOABPCreator role to that user. This menu item is available only to users who are authorized to assign permissions.
Up arrow	Moves a selected folder up in the order of folders in a parent folder.
Down arrow	Moves a selected folder down in the order of folders in a parent folder.
Save menu item	Saves changes to a map and its folders.
Cancel menu item	Cancels changes to a map and its folders.
Map title	Title of the map, followed by the map mode: View or Edit.
Current language of the map menu	If available, you can change the language in which maps are displayed by selecting a language from the menu. The default language will be used when the local translation is not available. Use the Set Default button to specify the default language.
Folders column	Icons representing the folder structure and names of the organization map.

Feature	Description
Doc ID column	Content identification number for a document.
Title column	Title of a document.
Doc State	Current state of a document.
In Scope column	For an Organization map type, indicates if the process includes controls that are in scope for testing.

Copy Process (Single) Page

The Copy Process (Single) page is used to copy a business process to one or more locations within an organization map. To access this page, open an organization map, select a business process, and select **Copy Process** from the menu bar. For more information refer to Copying , page 4-6.

Feature	Description
Process heading	Title of the business process to be copied.
From location heading	Organization path name for the business process to be copied.
Copy button	Copies the process to the specified locations. A warning screen is displayed regarding the copy process. Once a process is copied, it cannot be undone.
Copy to locations field	The location or locations in a map to which the business process will be copied. To select the location paths from the organization map, click the Info icon to the right of the field. Copying from or to a template organization path location is not allowed, so you won't see those elements in the popup organization map selection display.

Feature	Description
Prompt for owners check box	Specifies that the user is prompted to specify an owner for each copy of the business process.
Re-use same owners	Specifies that each copy of the business process is assigned the same owner as the original process.
Leave owners blank check box	Specifies that no owners are assigned to the copies of the business process.
Select all related documents check box	Includes the following types of related documents for the business process: • Assertion • Risk • Control • Test Instruction
Keep source links check box	Maintain the source links for components that are linked to the Master Component Library.
View related documents button	Displays a list of related documents grouped by document type and title.
Hide children documents	Hides the list of related documents.
Copy button	Copies the business process to the specified locations. A warning screen is displayed regarding the copy process. Once a process is copied, it cannot be undone.

Copy Process (Org Unit) Page

The Copy Process (Org Unit) page is used to copy one or more business processes from one organization path to another organization path. To access this page, select the Administrative Tools tray, then click the Copy Processes link. For more information refer to Copying Processes to , page 4-16.

Feature	Description
Copy button	Copies the business processes to the specified organization unit. A warning screen is displayed regarding the copy process. Once the processes are copied, it cannot be undone.
Org unit to copy from field	Organization unit from which to copy business processes. To select a path from the organization map, click the Info icon to the right of the field.
Org unit to copy to field	Organization unit to which the business processes are copied. To select a path from the organization map, click the Info icon to the right of the field.
Prompt for owners radio button	Specifies that the user is prompted to specify an owner for each copy of a business process.
Re-use same owners radio button	Specifies that each copy of a business process is assigned the same owner as the original process.
Leave owners blank check box	Specifies that no owners are assigned to the copies of the business process.
Keep source links check box	Maintains the links in business processes using source components (if any) in the Master Component Library, so that updates to library components are propagated to the linked components.
View process list button	Displays a list of source business processes affected by the copy action. The list contains only processes that are in a state of Initialized or Released.
Copy button	Copies the business processes to the specified organization unit. A warning screen is displayed regarding the copy process. Once the processes are copied, it cannot be undone.

Email Message Screen

The Email Message screen is used to send email to selected categories of users based on an organization map and its business processes. To access this screen, select **Send Email** from the top menu bar on an Organization map in View mode. For more information refer to Sending Email to Business Process Users, page 4-8.

Object	Description
To field	Select the check box or boxes for the categories of users who will receive the email: • Process owner • Test owner • Control owner (if supported)
Subject field	Enter a subject line for the email.
Body field	Enter an email text message.
OK button	Sends the email message to the selected user categories.
Cancel button	Cancels the email message and closes the screen.

Element Maintenance Page

The Element Maintenance page is used by administrators to add or remove elements for financial or accounting cycle maps. To access this page, select the Administrative Tools tray and click the Maintain Processes link.

Feature	Description
Maintenance Type radio button	Specifies which field of the selected processes to modify.

Feature	Description
Elements to Add field	Specify elements of the selected map type to add to the associated field of the selected processes. To view a list of elements click the Info icon to the right of the field.
Elements to Remove field	Specify elements of the selected map type to remove from the associated field of the selected processes. To view a list of elements click the Info icon to the right of the field.
Select Processes button	Displays a screen for selecting business processes to be affected.
Update button	Updates the fields on the selected processes with the specified changes.

Process Selection Screen

The Process Selection screen is used to select business processes to be affected by the change in elements specified on the Element Maintenance page. To access this screen, click the Select Processes button on the Element Maintenance Page, page 4-30.

Control Group Features	Descriptions
Cancel button	Cancels any changes and closes the screen.
By Cycle field	Specify an accounting cycle for search criteria.
By Org Unit field	Specify an Organization unit for search criteria.
By Title field	Specify a business process title for search criteria.
By Element field	Specify an element for search criteria.
Search button	Displays a list of processes that match the criteria. List information includes the organization path and process title.

Control Group Features	Descriptions
Apply button	Applies the selected business processes to the list of processes to update on the Element Maintenance page.

5

Managing Business Processes

This chapter covers the following topics:

- About Business Processes

- Business Process Documents

- Business Process Life Cycle

- Creating Business Processes

- Creating a Business Process

- Adding Assertions

- Adding Risks

- Adding Controls and Test Instructions

- Adding Attachments

- Adding Reviewers

- Adding Management Assessment Reviewers

- Revising Business Processes

- Edit Workflow Overview

- Revising Processes

- Revising Assertions

- Revising Risks

- Revising Controls and Test Instructions

- Revising Attachments

- Revising Reviewers

- Retiring Business Processes

- Using Attachments

- When to Use Attachments

- Adding an Attachment

- Adding Multiple Attachments

- Revising an Attachment

- Retiring Attachments

- Using Templates

- Business Processes Interface

- Business Process Tray

- Business Processes for <user> Page

- Released Processes for <user> Page

- Retired Processes Page

- Edit Workflows for <user> Page

- Collection Workflows for <user> Page

- Approval Workflows for <user> Page

- Business Process Page

- Basics Tab

- Process Page

- BP Assertion Page

- Assertion Page

- Assertions Tab

- Matrix Tab

- Directory Search Screen

- Attachments Tab

- Attachment Screen

- Reference Screen

- Attachments Screen

- History Tab

About Business Processes

A business process is a documented policy or activity that must be monitored to ensure compliance with the Sarbanes-Oxley Act of 2002 (also referred to as SOX). Business processes are essential for tracking required information. All business processes are linked to units (folders) in organization maps. For example, a business process document can be created for a payroll unit in the organization map, and the process will contain documented information on assertions, risks, controls, attachments, and test

instructions. The user who creates or owns the business process can specify assertions, risks, controls, test instructions, and file attachments. Reviewers can review and approve the information, and testers can test the controls and save the test results in the business process documentation. All the information is tracked through the business process, which is linked to a unit in a map. When a user creates a report, the documents stored and tracked for an organization's business processes are searched to compile the required information.

Additional information is provided in these topics:

- Business Process Documents, page 5-3

- Business Process Life Cycle, page 5-4

Business Process Documents

A business process tracks information using documents for the following types of information:

- **Assertion**—A statement about the status of the financial statements that a business process affects. For more information refer to Creating a Business Process, page 5-5.

- **Risk**—A negative impact that may occur for a given business process. For more information refer to Managing Risks, page 6-xviii.

- **Control**—A control point on a given business process set in place to mitigate a specific set of risks for that process. For more information refer to Managing Controls, page 7-xviii.

- **Issue**—A concern about a given business process or risk that can cause a business process Remediation workflow to be initiated. For more information refer to Managing Issues, page 11-xviii.

- **Attachment**—Any file type or URL reference that is allowed by the Windows operating system that becomes part of a business process's definition. For more information refer to Using Attachments, page 5-15.

- **Assessment**—A management assessment of the design and operational effectiveness of a business process, its controls and risks. For more information refer to Assessing Business Processes, page 9-xviii.

- **Action Item**—An action assigned by a user to another user regarding a specific business process. For more information refer to Managing Action Items, page 12-xviii.

Business Process Life Cycle

The life cycle of a business process includes these basic stages:

1. A GRC Manager administrator or business process creator creates a business process, documenting assertions, risks, controls, test instructions, attaching appropriate files, and assigning workflow reviewers for the process.

2. The business process is sent through a Data Collection workflow, where the process is routed to the process owner and reviewers to examine and to add or edit the documentation and provide data.

3. The business process owner revises the process documentation based on reviewer feedback. The owner then sends the process through an Approval workflow, where the process is routed to reviewers to approve or reject the process. When the process is approved, it is released into the system and becomes active.

4. The set of controls referenced on the Test Cover are sent through a Testing workflow to test the controls for the risks associated with the process. If revisions to the process are necessary, then the process is sent through an Approval workflow.

5. The business process owner can send a process through an Assessment workflow, where the process and its controls and risks are reviewed ,to assess its design and operational effectiveness

6. If a business process or parts of a process become obsolete, the process owner or GRC Manager administrator can retire a process or certain process documentation. The process documentation remains in the system, but the process is no longer actively used to track information.

Workflows can be initiated for reasons and at times not included in this general life cycle description. For example, a process test could result in an issue that the process owner would remediate, then the process owner could initiate an Approval workflow for the revised process or initiate an Assessment workflow because the revised process has changed significantly.

Creating Business Processes

The procedures in this section describe how to create a business process document and its associated documents.

> **Note:** You can use templates for creating business processes and attachments. For information refer to Using Templates, page 5-21.

This section covers the following topics:

- Creating a Business Process, page 5-5

- Adding Assertions, page 5-6

- Adding Risks, page 5-7

- Adding Controls and Test Instructions, page 5-7

- Adding Attachments, page 5-7

- Adding Reviewers, page 5-8

Creating a Business Process

To add a new business process to an organization map, complete the following steps:

> **Note:** Only users with the role of administrator or SOABPCreator have permission to create a business process. An SOABPCreator must have permission to create business processes in specific organization paths. To assign an SOABPCreator such permission, an administrator must edit the organization map. For more information refer to Assigning Permissions, page 4-14.

1. Select the Business Processes tray, and click **Add New Process**.

   The Business Process Page, page 5-29 is displayed with the Basics tab enabled.

2. Enter a title for the new business process.

3. Select the organizational location for the business process by clicking the Info icon located next to the Organization Path text box.

   The Organization map screen is displayed.

4. Select a location by navigating the organization map and clicking the appropriate location folder.

5. Click **OK**.

6. Enter appropriate information for the fields in the Basics tab. See Basics Tab, page 5-33.

   > **Note:** The COSO component and category fields refer to internal controls established by The Committee of Sponsoring Organizations of the Treadway Commission and used in Governance, Risk and Compliance Manager. For more information

refer to the http://www.coso.org website.

7. When finished, click **Save**.

   The business process is entered into the system.

   > **Note:** To undo the changes, click **Cancel**. If you click **Close** before you click **Save,** you are prompted to save any changes before the business process document is closed.

8. Click **Close**.

   After a business process is saved, additional process tabs are available for use (Risks, Controls, Matrix, Issue, and so forth). To revise information click **Edit** and then make the desired changes.

   > **Note:** For all supporting business process documentation, the appropriate tab must be visible in order to contribute information, and the business process must be in a state where it can be edited. A Released business process and its associated documentation can be revised, but cannot be deleted. For more information on changing a business process refer to Revising , page 5-10.

Adding Assertions

A business process normally contains one or more assertions about the integrity and status of the financial statements that the process affects. Assertions are part of the overall evaluation of a process, including review of the controls and how they mitigate the documented risks for a process. For example, assertions can be made that financial assets exist and that financial transactions have occurred and been recorded during a period of time. Assertions can be grouped in the following general categories: existence or occurrence; completeness; valuation or allocation; rights and obligations; presentation and disclosure.

To add an assertion to a business process, complete the following steps:

1. Verify that the business process is in one of the following states: Initialized, Edit, or Collection.

2. Open the business process and click the Assertions Tab, page 5-43.

   A list of assertions for the process is displayed. If there are no assertions, the list will be empty.

3. Click **Add Assertion**.

The BP Assertion Page, page 5-38 is displayed with the Basics and Comments tabs enabled.

4. Enter a title for the assertion.

5. Enter a description of the assertion for the specific process.

6. Click **Save**.

   • If some fields are required and have not been filled in, a message will be displayed informing you what fields are required.

   • If required fields have been filled in, or there are no required fields, the assertion is entered into the system.

7. Click **Close**.

   Note: To edit information on the Basics or Comments tabs, click **Edit** and then make the desired changes.

Adding Risks

A risk is a negative impact to an organization that can occur because of a specific business process. Risks also provide the basis for identifying controls that mitigate damage that could be caused by the risks. Each risk for a process must be entered into a risk document associated with the process. Refer to Managing Risks, page 6-xviii for information on how to add risks to a business process.

Adding Controls and Test Instructions

A control mitigates a specific risk or set of risks for a business process. Each control for a process must be entered into a control document associated with the process. A test instruction document defines how to test a control for accuracy and validity, and to verify that the control functions as documented. Refer to Managing Controls, page 7-xviii for information on how to add controls and control test instructions to a business process.

Adding Attachments

Attachments are document files that can be added to a business process or its related definitions or instructions. Refer to Using Attachments, page 5-15 for information on how to add attachments to a business process.

Adding Reviewers

Reviewers are users who can review—and approve or reject—information in or changes made to a business process when the process is sent through a workflow (such as Data Collection and Approval). Reviewers can be assigned when a business process is created or when it is revised. A business process can be reviewed by several users who represent different perspectives of a business process, such as users who can provide relevant data, users who represent management, users who test the business process controls, and users who verify that the business process is in compliance with assertions and an organization's objectives.

If reviewers have been configured by the administrator to be available for assignment, their names can be assigned and displayed in the Approvals fields on the Basics tab of the business process. Ask your system administrator or knowledge owner for more details on your specific reviewer requirements.

To assign reviewers to a business process, complete the following steps:

1. Verify that the business process is in a state of Initialized, Edit, or Collection.

2. Open the business process and click the Basics Tab, page 5-33.

   Any assigned workflow reviewers are displayed by user name in the Approvals section of the Basics page. If there are no available reviewers, the Approvals fields are empty.

3. Click **Edit**.

   The Basics tab is enabled for editing. See Basics Tab, page 5-33

4. Click the Info icon next to the Approvals step to assign one or more workflow reviewers.

   The Directory Search Screen, page 5-44 is displayed.

5. Enter criteria for the reviewer's last or first name. If a group is to be assigned as workflow reviewers, enter information within the Group entry box.

   > **Note:** The Group box does not support partial name searches unless a wild card character is included in the partial name. Special conditions apply if Governance, Risk and Compliance Manager is implemented with Active Directory and group aliases are used.

6. Click **Search**.

   A list of available users or groups is displayed.

7. Select the user or group to be assigned.

The user or group is listed in the appropriate Approval field.

8. When you are finished selecting reviewers, click **Save**.

   The approved reviewers are entered into the system.

9. When you are finished with the business process, click **Save** to save the changes or click **Cancel** to undo the changes. If you click **Close** you are prompted to save your changes and then the document is closed.

   > **Note:** To edit information on the Basics tab, click **Edit** and then make the desired changes.

   > **Note:** Group assignment is configured as part of the Governance, Risk and Compliance Manager implementation.To find out how your organization has been configured, contact your system administrator or knowledge owner.

Adding Management Assessment Reviewers

Reviewers and executive reviewers for management assessments are users who can review assessments of business process controls and risks, and approve or reject the certification of the assessment. Reviewers can be assigned when a business process is created or revised, or when an assessment cover is created. The objective of management assessment reviewers is to certify that the controls and risks in the selected processes are in compliance with operating effectiveness and risk mitigation (meets company objectives).

To assign management assessment reviewers to a business process, complete the following steps:

1. Verify that the business process is in a state of Initialized, Edit, or Collection.

2. Open the business process and click the Basics Tab, page 5-33.

   Any assigned workflow reviewers are displayed by user name in the Management Assessment section of the Basics page. If there are no available reviewers, the Management Assessment reviewer fields are empty.

3. Click **Edit**.

   The Basics tab is enabled for editing. See Basics Tab, page 5-33

4. Click the Info icon next to the Management Assessment fields to assign one or more workflow reviewers.

   The Directory Search Screen, page 5-44 is displayed.

5. Enter criteria for the reviewer's last or first name. If a group is to be assigned as workflow reviewers, enter information within the Group entry box.

> **Note:** The Group box does not support partial name searches unless a wild card character is included in the partial name. Special conditions apply if GRC Manager is implemented with Active Directory and group aliases are used.

6. Click **Search**.

   A list of available users or groups is displayed.

7. Select the user or group to be assigned.

   The user or group is listed in the appropriate reviewer field.

8. When you are finished selecting reviewers, click **Save**.

   The approved reviewers are entered into the system.

9. When you are finished with the business process, click **Save** to save the changes or click **Cancel** to undo the changes. If you click **Close** you are prompted to save your changes and then the document is closed.

> **Note:** To edit information on the Basics tab, click **Edit** and then make the desired changes.

> **Note:** Group assignment is configured as part of the GRC Manager implementation. To find out how your organization has been configured, contact your system administrator or knowledge owner.

Revising Business Processes

When a business process or its risks, controls, test instructions, or attachments change, the business process owner or the GRC Manager administrator can revise the business process to change any of its supporting attributes or documentation. Documentation that can be changed includes assertions, risks, controls, test instructions, and attachments. When a business process is changed, it can be sent through the Process Approval workflow to be evaluated and approved by reviewers.

This section covers the following topics:

- Edit Workflow Overview, page 2-18

- Revising Processes, page 5-10

- Revising Assertions, page 5-12

- Revising Risks, page 6-2

- Revising Controls and Test Instructions, page 5-13

- Revising Attachments, page 5-13

- Revising Reviewers, page 5-13

Edit Workflow Overview

Reviews are performed by selected users and by a compliance representative to determine if the changes that have occurred pose a risk to the various compliance-related policies.

Overview of Edit Workflow
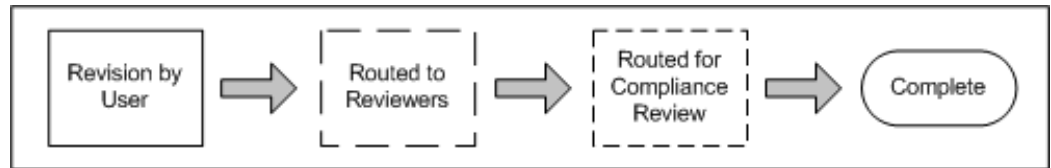
The prerequisites to revising a business process are the following:

- A business process that is in a state of Released

- An assigned process owner

- Appropriate security rights

> **Note:** As a business process is being revised, its state changes from Released to Edit. If a supporting document requires changes, the user must first open the business process and click the Revise button before documentation can be changed.

Revising Processes

To revise a business process, perform the following steps:

1. Verify that the business process is in a Released state.

2. Open the business process and click **Revise**.

   If the Revise button is not visible, either security is preventing revisions of the business process, or the process is locked for testing or modification. If the business process is available, it is displayed with the Edit button enabled.

3. Click **Edit** to enable editing of business process attributes.

4. Fill in the appropriate attribute information. For descriptions of fields refer to Process Page, page 5-36.

5. Click **Save**.

   • If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

   • If all required fields are filled in, then the information is saved to the system.

      > **Note:** To enter additional information about attributes, click **Edit** to enable the attributes on the Basics tab. When you are finished making changes, click **Save** to save the changes, or click **Cancel** to undo the changes. Clicking **Close** will prompt you to save any changes, and then the document is closed.

Revising Assertions

To revise an assertion for a business process, complete the following steps:

1. Open the business process and click the Assertions tab.

   A list of assertions for the business process is displayed. If there are no assertions, the list is empty.

2. Click the assertion title you want to edit.

   The BP Assertion Page, page 5-38 is displayed as a read-only page.

3. Click **Edit**.

   The Assertion page is displayed with the Basics and Comments tabs enabled.

4. Edit the assertion information. For a description of the fields refer to BP Assertion Page, page 5-38.

5. Click **Save**.

   • If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

- Click **Cancel** to undo the changes.

- Clicking **Close** will prompt you to save any changes, and then the document is closed.

Revising Risks

For information on how to revise risks for a business process refer to Managing Risks, page 6-xviii.

Revising Controls and Test Instructions

For information on how to revise controls and control test instructions for a business process refer to Managing Controls, page 7-xviii

Revising Attachments

For information on revising file attachments for a process refer to Using Attachments, page 5-15.

Revising Reviewers

To revise the list of reviewers assigned to a business process and used in workflows for the business process, complete the following steps:

1. Select and open a business process.

2. Verify that the business process is in a state of Edit.

3. Click the Workflow tab.

   A list of available reviewers for workflows is displayed in the Approvals section.

4. Click **Edit**.

   The Workflow tab is enabled for editing.

5. Click the Info icon next to an Approval step to revise the workflow reviewer assignment.

   The Directory Search Screen, page 5-44 is displayed.

   - If you want to add reviewers, enter criteria for a user's last or first name. If you wish to assign a group, enter partial or full information within the Group entry box. Click **Search**. A list of available users or groups is displayed. Select the user or group to be added. The user or group is assigned into the appropriate

Approval field.

- If you want to delete reviewers, click **Clear Entry**.

6. When finished revising reviewers, click **Save**.

   The reviewer changes are entered into the system.

   > **Note:** If you click **Close** without clicking **Save** first**,** you will be prompted to save any changes, and then the document is closed.

   > **Note:** Group assignment is configured as part of the Governance, Risk and Compliance Manager implementation. See your system administrator or knowledge owner to find out how your organization has been set up.

Retiring Business Processes

A business process can be retired if it is no longer useful or valid for tracking information. When a process is retired, the process documentation and history are maintained permanently, however, the process status is changed to Retired. Only users with permission can retire a business process.

To retire a business process complete the following steps:

> **Note:** You must have the SOAICAdmin role, the SOAGlobalICAdmin role, or be the process creator or owner to perform this task.

1. Open the business process to be retired.

2. Click **Retired**.

   A confirmation prompt is displayed.

   > **Note:** Once a business process is retired it cannot be reactivated.

3. Click **Yes**.

   The business process state is changed to Retired. All assertions, risks, controls, test instructions, and attachments are also retired. Assessment documents are not directly retired, but they now refer to a retired process document. Issues are not retired, but if they are no longer applicable, the issue owner can close or cancel an issue. (For more information refer to Managing Issues, page 11-xviii.)

Using Attachments

Attachments are documents that can be associated with business processes. Attachments are useful for providing information that helps to describe, explain, or justify a business process. Attachments can be in many forms, including text files for narrative information, certificate files, website references,,and flow chart diagrams (for example, .doc, .txt, .pdf, .vsd, .jpg, .bmp, .tif, .gif, .wmv, .xls, .ppt). GRC Manager supports up to 20 file attachments for a business process.

GRC Manager enables users to add attachment documents one at a time, and a business process can have multiple attachments. If GRC Manager is configured to support multifile attachments, then users can select multiple files or select a folder containing multiple files to add as attachments.

See the following procedures:

- When to Use Attachments, page 5-15

- Adding an Attachment, page 5-16

- Adding Multiple Attachments, page 5-18

- Revising an Attachment, page 5-20

- Retiring Attachments, page 5-21

When to Use Attachments

File attachments can be added to any of the following documents:

- Business process

- Assertion

- Risk

- Control

- Issue

- Action item

- Management assessment cover

- Test cover (test run)

- Test results

- Control test results

- Test instructions

- Test plan

- Test plan test cover

- Test plan test results

Attachments can be added or revised only under the following conditions:

Document Type	States
Business process	Initialized, Edit, Collection
Assertion	Initialized, Edit
Risk	Initialized, Edit
Control	Initialized, Edit
Issue	Open, Hold
Action item	Edit
Management assessment cover	Active, Assessment Completed
Test cover (test run)	Active, Testing Completed
Test results	Testing Completed
Test instructions	Initialized, Edit
Test plan	Active
Test plan test cover	Active, Testing Completed
Test plan test results	Testing Completed

Adding an Attachment

To attach a document or reference to a business process or its definitions or instructions,

complete the following steps:

1. Open the business process, assessment, test, issue, or action item, and click the Attachments tab.

    A list of attachments is displayed. If there are no attachments, the list is empty. The following buttons are displayed for different methods of adding attachments:

    -   **Add Attachment**— Adds attachments specified by the user. This method is explained in the steps of this procedure. For more information, refer to the Attachment Screen, page 5-46.

    -   **Add Reference** — Adds an external document or website reference specified by the user. For more information, refer to the Reference Screen, page 5-47.

    -   **Required Documentation**— Adds required documents according to the Doc Level field setting for the business process. Required documents are specified in an attachment template. For more information refer to Managing Attachment , page 14-7.

    -   **Add from Library**—Adds attachments from the Master Component Library (MCL). For instructions on using a component template refer to Using an Attachment Template, page 14-10.

        > **Note:** If the attachment to be added is for an assertion, risk, control, or test instruction, click the appropriate tab and select the control or test instruction to which to add the attachment.

2. Click **Add Attachment**.

    The Attachment Screen, page 5-46 is displayed.

3. Enter the appropriate attribute information for the attachment type and description.

4. Click **Save**.

    A confirmation message is displayed below the Save button if the upload is successful.

    For URL references, a message is also displayed that history and revision can not be fully utilized for audit purposes, due to the inability to track the external link history.

    > **Note:** The attachment will not be displayed immediately in the Attachments List window. The content server needs to process the document before it can be displayed. The amount of time it takes to process the document depends on the current level of system

activity.

> **Note:** Depending on your system configuration, attaching large (greater than 20MB) documents may cause GRC Manager to timeout. To avoid timeouts it may be necessary to break large files into multiple documents.

Adding Multiple Attachments

If GRC Manager is configured to support multiple file attachments, then users can select multiple files or select a folder containing multiple files to add as attachments. To attach multiple files or a folder containing multiple files to a business process or its definitions or instructions, complete the following steps:

1. Open the business process, assessment, test, issue, or action item, and click the Attachments tab.

   A list of attachments is displayed. If there are no attachments, the list is empty. The following buttons are displayed for different methods of adding attachments:

   - **Add Attachment**— Adds attachments specified by the user. This method is explained in the steps of this procedure.

   - **Add Reference** — The ability to add an external document or website reference is not a supported feature when adding multiple attachments.

   - **Required Documentation**—Adds required documents according to the Doc Level field setting for the business process. Required documents are specified in an attachment template. For more information refer to Managing Attachment Templates, page 14-7.

   - **Add from Library**—Adds attachments from the Master Component Library (MCL). For instructions on using a component template refer to Using an Attachment Template, page 14-10.

     > **Note:** If the attachments to be added are for an assertion, risk, control, or test instruction, click the appropriate tab and select the control or test instruction to which to add the attachments.

2. Click **Add Attachment**.

   The first Attachments Screen, page 5-46 is displayed.

3. Enter the appropriate attribute information for the attachments Type and

Description.

4. Click **Next**.

   The second Attachments screen is displayed.

   > **Note:** In order to use the upload feature for multiple files, users need to have Java Runtime Environment (JRE) version 5.0 installed on their machines. If JRE is not installed, a prompt is displayed for installed the latest update version of JRE 5.0.

   > **Note:** Follow the instructions for installing the software. If an Applet Security Warning is displayed, click **Run** to load the applet. If you select the check box "Always trust content from this publisher" in the dialog before clicking Run, then the security warning will not appear again in future visits to the web page.

5. To add document attachments, click **Add**.

   A browser is activated. Use this to go to the location of the files or folder you want to add as attachments and select them. If you select a folder and click the Open button, the files contained in the folder will automatically be uploaded to the system; there is no need to select all the files within the folder.

   > **Note:** The default maximum number of files that can be attached is 20. Each file can be up to 4 MB in size. If you select more than 20 files,or a file is too large, a warning is displayed; you can remove files to adjust to the size restrictions.

6. Select one or more files or a folder to add as attachments, then click **Open**.

   The files are listed in the Attachments tab. You can continue to search and add files. If you want to remove a file from the list, click **Remove**. If you do not want to continue with the procedure, click **Close**.

7. When you have finished adding files, click **Save**.

   A confirmation prompt is displayed.

8. Click **Yes** to start uploading the files.

   This process may take some time. If you want to stop the process, click **Cancel**. When all the files are uploaded, the third Attachments screen is displayed with a list of the files.

9. Click **Close**.

The files are displayed in the Attachments Tab, page 5-46.

> **Note:** The attachments might not be immediately displayed in the Attachments tab. The content server needs to process the documents before they can be displayed. The amount of time it takes to process the documents depends on the current level of system activity

Revising an Attachment

To revise a file attachment for a business process, complete the following steps:

1. Edit the attachment document in whatever tool is required (for example, Microsoft Word, Visio, Excel, and so forth).

2. Verify that the process, assertion, risk, control, test instructions, or issue document is in a correct state.

3. Open the business process, assertion, risk, control, test instructions, or issue, and click **Revise**.

4. Click the Attachments Tab, page 5-46.

   A list of attachments for the business process is displayed. If there are no attachments, the list is empty. The following buttons are displayed for different methods of adding attachments:

   • **Add Attachment**—Adds attachments specified by the user. This method is explained in the steps of this procedure.

   • **Add Reference** — Adds an external document or website reference specified by the user. For more information, refer to the Reference Screen, page 5-47..

   • **Required Documentation**—Adds required documents according to the Doc Level field setting for the business process. Required documents are specified in an attachment template. For more information refer to Managing Attachment Templates, page 14-7.

   • **Add from Library**—Adds attachments from the Master Component Library. For instructions on using a component template refer to Using an Attachment Template, page 14-10.

     > **Note:** If the attachment to be revised is for a control or test instruction, click the appropriate tab and select the control or test instruction attachment.

5. Select the attachment title from the list.

   The Attachment Screen, page 5-46 is displayed.

6. Browse for the new attachment document and select it.

7. Click **Save**.

   A new version of the attachment is entered into the system. A prompt will be displayed at the bottom of the Attachment window confirming the upload.

   > **Note:** The attachment will not be displayed immediately in the Attachments list window. The content server needs to process the document before it can be displayed. The amount of time for processing can vary depending on the current level of system activity.

Retiring Attachments

To retire an attachment for a business process, complete the following steps:

1. Select and open the business process that links to the attachment you want to retire.

2. Click the Attachments Tab, page 5-46.

   A list of attachments for the business process is displayed.

   > **Note:** If the attachment to be retired is for an assertion, risk, control, or test instruction, click the appropriate tab and select the control or test instruction attachment.

3. Click the Retire link on the row that represents the attachment to be retired.

   A confirmation prompt is displayed, asking if you are sure you want to retire the attachment.

4. Click **Yes**.

   The attachment is retired.

Using Templates

A template is a document that is available to be used as the basis for new business processes, process components (such as assertions, risks, and controls), and attachments. Templates are useful for designing company standards regarding business processes. Templates can be copied for use by organization units or inserted into

existing business processes without have to perform data entry.

Depending on the type of template, a template can be a simple copy of the source component (one or more files), or a template can be a master template with links to its copies so that any changes to the template can be synchronized with its linked copies.

For information about creating, using, and managing templates refer to Managing Templates and Libraries, page 14-xviii.

Business Processes Interface

The following topics describe the Business Processes tray and the pages and filters accessed via the tray:

Business Process Tray

The Business Processes tray displays interface pages that enable users to view and manage business process documents. The Business Processes tray has seven options: All Processes, Released Only, Retired Only, Edit Inbox, Collection Inbox, Approval Inbox, and Add New Process.

Option	Description
All Processes	Displays a list of all business processes visible to the user. Clicking a process title will display the Process , page 5-36.
Released Only	Displays a list of all business processes visible to the user that are in a Released state. Clicking a process title will display the Process Page, page 5-36.
Retired Only	Displays a list of all business processes visible to the user that are in a Retired state. Clicking a process title will display the Process Page, page 5-36.
Edit Inbox	Displays only business processes for which the user is the current workflow user. Clicking a process title will display the Process Page, page 5-36.
Collection Inbox	Displays only business processes for which the user is the current workflow user. Clicking a process title will display the Process Page, page 5-36.
Approval Inbox	Displays only business processes for which the user is the current workflow user. Clicking a process title will display the Process Page, page 5-36.
Add New Process	Displays a Business Process Page, page 5-29 for creating a new business process.

Business Processes for <user> Page

The Business Processes for <user> page displays all the business processes assigned to

the user logged in to the application. To access this page, select the Business Processes tray, then the All Processes link. Clicking a specific business process title will open the business process document and enable the user to view the content and make modifications.

> **Note:** The business processes that each user views depends on their authorization role and whether they have permission to search all processes or search only those processes assigned to them. Administrators can view all processes for all process owners.

> **Note:** Retired business processes are not listed.

Feature	Description
Show Filters button	Expands the page to display fields that can be used to specify criteria for filtering which processes are listed on the page. See also Filter Criteria, page 3-17.
Organization Path column	Path name of the organization map for the business process.
Process column	Document title. Clicking the Process title will open the business process document.
Doc ID column	Document ID number in the content server.
State column	Current state of the business process.
Owner column	Name of the user who is the assigned owner of the process.
Release Date column	Date the document was released.
Current User column	If the process is in a workflow, the user name of the current workflow user.
Info icon	Displays a Process Detail screen that provides a profile of the business process. This profile can be printed.

Released Processes for <user> Page

The Released Processes for <user> page displays all the released business processes assigned to the user logged in to the application. To access this page, select the Released Processes option from the Business Processes tray. Clicking a specific business process title will open the business process document and enable the user to view the content and make modifications.

Feature	Description
Show Filters button	Expands the page to display fields that can be used to specify criteria for filtering which processes are listed on the page. See also Filter Criteria, page 3-17.
Organization Path column	Path name of the organization map for the business process.
Process column	Document title. Clicking the Process title will open the business process document.
Doc ID column	Document ID number in the content server.
State column	Current state of the business process.
Owner column	Name of the user who is the assigned owner of the process.
Release Date column	Date the document was released.
Current User column	If the process is in a workflow, the user name of the current workflow user.
Info icon	Displays a Process Detail screen that provides a profile of the business process. This profile can be printed.

Retired Processes Page

The Retired Processes page displays all the retired business processes assigned to the user logged in to the application. This page is accessed by selecting the Retired Processes option from the Business Processes tray. Clicking a specific business process title will open the business process document and enable the user to view the content.

Feature	Description
Show Filters button	Expands the page to display fields that can be used to specify criteria for filtering which processes are listed on the page. See also Filter Criteria, page 3-17.
Organization Path column	Path name of the organization map for the business process.
Process column	Document title. Clicking the Process title will open the business process document.
Doc ID column	Document ID number in the content server.
State column	Current state of the business process.
Owner column	Name of the user who is the assigned owner of the process.
Release Date column	Date the document was released.
Current User column	This column is blank because retired processes are not in a workflow.
Info icon	Displays a Process Detail screen that provides a profile of the business process. This profile can be printed.

Edit Workflows for <user> Page

The Edit Workflows for <user> page displays the business processes currently in Edit workflows assigned to the user logged in to the application. This page is accessed by selecting the Edit Inbox option from the Business Processes tray. Clicking a specific business process title will open the business process document and enable the user to view the content.

Feature	Description
Show Filters button	Expands the page to display fields that can be used to specify criteria for filtering which processes are listed on the page. See also Filter Criteria, page 3-17.
Organization Path column	Path name of the organization map for the business process.
Process column	Document title. Clicking the Process title will open the business process document.
Doc ID column	Document ID number in the content server.
State column	Current state of the business process.
Owner column	Name of the user who is the assigned owner of the process.
Release Date column	Date the document was released.
Current User column	User name of the current workflow user.
Info icon	Displays a Process Detail screen that provides a profile of the business process. This profile can be printed.

Collection Workflows for <user> Page

The Collection Workflows for <user> page displays the business processes currently in Collection workflows assigned to the user logged in to the application. This page is accessed by selecting the Collection Inbox option from the Business Processes tray. Clicking a specific business process title will open the business process document and enable the user to view the content.

Feature	Description
Show Filters button	Expands the page to display fields that can be used to specify criteria for filtering which processes are listed on the page. See also Filter Criteria, page 3-17.
Organization Path column	Path name of the organization map for the business process.
Process column	Document title. Clicking the Process title will open the business process document.
Doc ID column	Document ID number in the content server.
State column	Current state of the business process.
Owner column	Name of the user who is the assigned owner of the process.
Release Date column	Date the document was released.
Current User column	User name of the current workflow user.
Info icon	Displays a Process Detail screen that provides a profile of the business process. This profile can be printed.

Approval Workflows for <user> Page

The Approval Workflows for <user> page displays the business processes currently in Approval workflows assigned to the user logged in to the application. This page is accessed by selecting the Approval Inbox option from the Business Processes tray. Clicking a specific business process title will open the business process document and enable the user to view the content.

Feature	Description
Show Filters button	Expands the page to display fields that can be used to specify criteria for filtering which processes are listed on the page. See also Filter Criteria, page 3-17.
Organization Path column	Path name of the organization map for the business process.
Process column	Document title. Clicking the Process title will open the business process document.
Doc ID column	Document ID number in the content server.
State column	Current state of the business process.
Owner column	Name of the user who is the assigned owner of the process.
Release Date column	Date the document was released.
Current User column	User name of the current workflow user.
Info icon	Displays a Process Detail screen that provides a profile of the business process. This profile can be printed.

Business Process Page

The Business Process page is used to create a new business process document. It is also used to create new documents for the Master Process Library (MPL) or the Master Component Library (MCL) To access this page, select the Add New Process option from the Business Processes tray. For the MPL and MCL, select the Add New MPL option from the Library tray, or select the Add New MCL option from the Library tray. When a new business process document is first created, only the Basics tab is enabled. After the document has been saved, additional tabs are available to be edited. For additional information refer to Creating a , page 5-5, Managing the Master Component Library, page 14-11, and Managing the Master , page 14-22.

> **Note:** The COSO component and category fields refer to internal controls established by The Committee of Sponsoring Organizations of

the Treadway Commission and used in Governance, Risk and Compliance Manager. For more information about COSO refer to the http://www.coso.com website.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Displays the name of the organization to which the process is associated.
Info icon	Opens a TreeView screen that displays the Organization map structure. Use the screen to select an Organization field value for the new business process.
Title field	Enter the name of the process, the container process for the MCL, or the process for the MPL.
State field	Displays the current state of the process.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created.
Version field	Number of versions of the document.
COSO	

Feature	Description
Component field	Select a COSO component from the menu: • Control Environment • Risk Assessment • Control Activities • Information and Communications • Monitoring
Category field	Select a COSO category from the menu: • Effectiveness and Efficiency of Operation • Reliability of Financial Reporting • Compliance with Applicable Regulations
General	
Type field	Select a type of information from the menu: • Process • Policy
Complexity field	Select a level of complexity from the menu: • 1 Low • 2 Med-Low • 3 Medium • 4 Med-High • 5 High

Feature	Description
Doc Level field	Select a level of documentation from the menu: • 1 Low • 2 Med-Low • 3 Medium • 4 Med-High • 5 High
Operating field	Status of operating assessment of the process.
Design field	Status of design assessment of the process.
In Scope	Displays whether or not the process is in scope. A process is in scope if one or more of its controls are in scope.
Assignments	
Owner field	Enter the name of a user who is the assigned owner of the process.
Tester field	Enter the name of a user who is the assigned tester of the process.

Approvals

The Approvals fields are configurable and can be named differently to represent your organization's approver roles. The number of Approvals fields is also configurable.

Dept. field	Enter the name of a user who can review and approve the process for the department.
Project field	Enter the name of a user who can review and approve the process for the project.
Finance field	Enter the name of a user who can review and approve the process for the finance organization.

Feature	Description
Management Assessment	
Reviewer field	Enter the name of a user who can assess the process for assertions/risks/controls.
Executive Reviewer field	Enter the name of a user who can assess the process for assertions/risks/controls.
Other	
Cycles field	Displays a map path name for the reporting cycles. To browse the map to select one or more values for the field, click the Info icon next to the field.
Financial Elements field	Displays a map path name for the financial elements reporting. To browse the map to select one or more values for the field, click the Info icon next to the field.
Description field	Enter a description of the process.
Comments field	Enter relevant comments about the process.

Basics Tab

The Basics tab is the first tab displayed when you create, view, or edit a document. The fields displayed in this tab depend on what document you access: process, risk, control, and so forth. Certain fields appear in most versions of the Basics tab. The following example shows the Basics tab for a new business process.

For information on the contents of the Basics tab for other process documents, refer to the page descriptions for those documents.

> **Note:** The COSO component and category fields refer to internal controls established by The Committee of Sponsoring Organizations of the Treadway Commission and used in Governance, Risk and Compliance Manager. For more information about COSO refer to the www.coso.org website.

Feature	Description
COSO	
Component field	Select a COSO component from the menu:
	- Control Environment - Risk Assessment - Control Activities - Information and Communications - Monitoring
Category field	Select a COSO category from the menu:
	- Effectiveness and Efficiency of Operation - Reliability of Financial Reporting - Compliance with Applicable Regulations
General	
Type field	Select a type of information from the menu:
	- Process - Policy
Complexity field	Select a level of complexity from the menu:
	1 Low 2 Med-Low 3 Medium 4 Med-High 5 High

Feature	Description
Doc Level field	Select a level of documentation from the menu: • 1 Low • 2 Med-Low • 3 Medium • 4 Med-High • 5 High
Operating field	Status of operating assessment of the process.
Design field	Status of design assessment of the process.
In Scope	Displays whether or not any controls in this process are in scope for testing.
Assignments	
Owner field	Enter the name of the user who is the assigned owner of the process.
Tester field	Enter the name of the user who is the assigned tester of the process.

Approvals

The Approvals fields are configurable and can be named differently to represent your organization's approver roles. The number of Approvals fields is also configurable.

Dept. field	Enter the name of the user who can review and approve the process for the department.
Project field	Enter the name of the user who can review and approve the process for the project.
Finance field	Enter the name of the user who can review and approve the process for the finance organization.

Feature	Description
Management Assessment	
Reviewer field	Enter the name of the user who is the assigned assessment reviewer for the process.
Executive Reviewer field	Enter the name of the user who is the assigned executive assessment reviewer for the process.
Other	
Cycles field	Displays a map path name for the reporting cycles. To browse the map to select one or more values for the field, click the Info icon next to the field.
Financial Elements field	Displays a map path name for the financial elements reporting. To browse the map to select one or more values for the field, click the Info icon next to the field.
Description field	Enter a description of the process.
Comments field	Enter relevant comments about the process.

Process Page

The Process page is used to view and edit an existing business process. When a business process is created the information is stored in a document which can be viewed through Business Processes tray options. The buttons and fields displayed on a Process page will change depending on the user's task or view of a process—such as reviewing a process in a workflow—and on the state of the process. Depending on the state of a business process, other tabs will be displayed with the Basics tab.

For information on creating new business processes refer to Creating Business Processes, page 5-4. For information on revising business processes refer to Revising Business Processes, page 5-10.

Feature	Description
Close button	Closes the page.

Feature	Description
Revise button	Begins the Edit workflow and allows the process or its assertions, risks, controls, test instructions, or attachments to be edited.
Data Collection button	Initiates a Data Collection workflow for the process.
Approval button	Initiates an Approval workflow for the process.
Initiate Testing button	Initiates a Testing workflow for the process.
Initiate Assessment button	Initiates a Management Assessment workflow for the process.
Retire button	Retires the process from active use in the application. The process documentation remains in the content server and is accessible for historical records.
Refresh from MPL button	If a process uses a template from the Master Process Library (MPL), this button is displayed. Clicking it updates the process with newer content from the MPL.
Refresh from MCL button	If a process uses a template from the Master Component Library (MCL), this button is displayed. Clicking it updates the components with newer component content from the MCL.
Organization field	The name of the organization to which the process is associated.
Title field	The name of the process.
State field	Current state of the process.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document was created.

Feature	Description
Version field	Number of versions of the document.
Basics tab	Displays the Basics Tab, page 5-33.
Assertions tab	Displays the Assertions Tab, page 5-43.
Risks tab	Displays the Risks Tab, page 6-4.
Controls tab	Displays the Controls Tab, page 7-11.
Matrix tab	Displays the Matrix Tab, page 5-43.
Action Items tab	Displays the Action Items Tab, page 12-8.
Attachments tab	Displays the Attachments Tab, page 5-46.
Issues tab	Displays the Issues Tab, page 11-16.
History tab	Displays the History Tab, page 5-49.

BP Assertion Page

The BP Assertion page is used to define a new assertion document for a business process. The BP Assertion page is displayed with the Basics and Comments tabs enabled. A user can add an assertion title, description, and comments about the assertion. To access this page, open a business process, select the Assertions Tab, page 5-43, then click the Add Assertion button. For additional information refer to Adding Assertions, page 5-6.

Feature	Description
Close button	Prompts users to save the information added to the page if they have not done so, then closes the page.
Save button	Saves changes made to the page.
Cancel button	Cancel changes to the page.

Feature	Description
Organization field	Organization to which the process is associated.
Process field	Name of the business process.
Title field	Name of the document.
State field	Current state of the process.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created.
Version field	Number of versions of the document.
Basics tab	
Description field	Enter a description of the assertion.
Comments tab	
Comments field	Enter comments about the assertion in the Comments field on this tab.

Assertion Page

The Assertion page is used to revise an assertion document for a business process. To access this page, open a business process, select the Assertions Tab, page 5-43, then click an assertion document title. For more information refer to Revising Assertions, page 5-12.

Feature	Description
Close button	Prompts you to save changes to the document if not already saved, then closes the page.
Edit button	Changes the document state to Edit, so the document can be revised.

Save button	Saves changes to the document.
Cancel button	Cancels changes to the page.
Retire button	Retires the assertion document so it can no longer be used.
Organization field	The name of the organization to which the process is associated.
Process field	Name of the business process. Clicking the Info icon displays a profile of the process.
Title field	Name of the document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document was released.
Version field	Version number of the document.
Basics tab	
Description field	When the page is in Edit mode, modify the description of the assertion.
Comments tab	
Comments field	When the document is in an Edit state, you can enter or revise comments about the assertion.
Attachments tab	

Add Attachment button	With the page in Edit mode, click **Add Attachment** to display an Attachment screen. Use the screen to specify attachments for the document. The Type menu selection for an attachment is specific to the document type: • Process Narrative • Process Flowchart • Change Control Procedures • Business Continuity Procedures • Testing Workpapers • Other
Title column	The name of the document.
State column	Current state of the document.
Doc ID column	Content ID number assigned to the document when it is stored in the content server
Doc Level column	Doc Level assigned to the attachment, if it was added through required documentation templates.
Revision column	Latest number of revisions of the document.
Release Date column	Date the document was released.
Actions column	Action links that are allowable to each attachment based on process document state, user permissions, and workflow conditions.
History tab	
Created By field	User name of person who created the document.
Create Date field	Date the document was created.

Modified By field	User name of person who last modified the document.
Modify Date	Date the document was last modified.
CMS Status field	Current workflow status.
CMS Revision ID field	Identification for the document revision.
CMS Revision Number field	Revision number of the document.
Current User field	If the document is in a workflow, the user name of the current workflow user. Assertions do not go into workflows, so this field remains blank.
Checked Out By field	If the document is in a workflow, the user name of the person who has the document checked out. Assertions do not go into workflows, so this field remains blank.
Workflow Initiator field	If the document is in a workflow, the user name of the workflow initiator. Assertions do not go into workflows, so this field remains blank.
Workflow History button	For some document types, displays a printable history of the workflow of the document. Columns in the report include Revision Final State, Title, Workflow Description, CMS Revision ID, User (the user who performed the action), Action, and Action Date.
Past Revisions button	Displays a list of previous revisions of the document, including information about revision number, final state, title, CMS revision, and release date. Click a revision title to view a document. Click the Information icon to view a printable workflow history for the revision.

Doc History button	Displays a list of actions (such as "check out" and "check in") for document revisions. Information includes CMS revision, title, action date, action, and user who performed the action.

Assertions Tab

The Assertions tab is available in a business process in all conditions except when the Basics tab is being edited.

Feature	Description
Add Assertion button	Opens the BP Assertion Page, page 5-38.
Add from template button	Opens the page for adding an assertion from a template. See Template Selection Page, page 14-33
Add from Library button	Opens the Master Component Library Template page to select a template as the basis for an assertion.
Title column	Name of the assertion.
Doc ID column	Content ID of the assertion in the content server.
Revision column	Revision of the assertion.
State column	State of the assertion.
Type column	Type of assertion
Release Date column	Date the assertion was released.

Matrix Tab

The Matrix tab is available in a business process in all conditions except when the Basics tab is being edited. Use it to view a list of the specified combinations of relationships between risks, controls, and assertions for a process.

Feature	Description
Views menu	Use the menu to specify which type of matrix view to list: • Risks and Controls • Controls and Risks • Assertions and Risks • Risks and Assertions • Assertions, Risks, and Controls
Risks column	Risks associated with the business process.
Controls column	Controls associated with the business process.
Assertions column	Assertions associated with the business process.

Directory Search Screen

The Directory Search screen is displayed whenever you click the Info icon next to a field that requires a user or group user name. It enables you to search for a specific name or a list of names in order to select one that is entered into the field.

If any text is entered into the Group field, a search for Groups or Aliases is performed (depending on the setting in your configuration file). Any values in the Last Name or First Name boxes is ignored.

To find a Group or Alias, use a single asterisk (*) wildcard character to find all entries. Use the wildcard character after a single character to find all entries beginning with that character (for example, P* will find all text beginning with 'P'). Or you can enter the full name of a Group or Alias.

If nothing is entered in the Last Name and the First Name fields, then a search for all users is performed. If text is entered in the Last Name or First Name fields, the search is narrowed and filtered by that entry. If only a wildcard character is used, then only user accounts with a defined value in that field (First or Last Name) are returned.

The Clear Entry button deletes any previous entry made in the assignment field being searched.

Feature	Description
Last Name field	Enter last name of user, or enter first letter(s) of last name. The value entered in the field is assumed to be the start of the name. If only a wildcard character (*) is used, then only user accounts that have a defined value in that AD field (last name) will be returned in the search.
First Name field	Enter first name of user, or enter first letter(s) of first name. The value entered in the field is assumed to be the start of the name. If only a wildcard character (*) is used, then only user accounts that have a defined value in that AD field (first name) will be returned in the search.
Group field	Searches for either Groups or Aliases, depending on the software configuration. • Any values in the Last Name field or First Name field are ignored when this field is used. • Use only the wildcard character (*) to find all names. • Use the wildcard character (*) after the characters you type, such as "Pr*", to find all names starting with "Pr". • Use the full name of the group or alias, such as "Project Managers".
Search button	Searches the system for user names that match the names or letters entered in one of the user or group name fields.
Clear Entry button	Clears any entry in the assignment field and closes the Directory Search window.
Search Results	Lists the full names and user names that match the parameters entered in one of the fields.

Attachments Tab

The Attachment tab is available in all conditions except when a business process Basics tab is being edited. Use it to view a list of attachments to a process or to add attachments to a process or a process component (for example, an attachment to a control)

Feature	Description
Add Attachment button	Opens the Attachment Screen, page 5-46.
Add Reference button	Opens the Reference Screen, page 5-47. for adding URL references.
Required Documentation button	Opens a Documentation Level screen on which you select a template attachment file to apply to the process.
Add from Library button	Opens the screen on which you select content to add from the Master Component Library.
Title column	Title of the content item that is attached to the business process.
State column	State of the attached item.
Doc ID column	Content ID of the attached item.
Revision column	Revision number of the attachment document.
Release Date column	Release date of the attachment document.
Actions column	Actions that can be performed on the attachment.

Attachment Screen

The Attachment screen is used to specify a file attachment to add to a business process document. To access this screen, use one of two methods:

- Click the Add Attachment button displayed on the Attachments tab of a business process. (Refer to Adding an Attachment, page 5-16.)

• Select a title from the list of attachments on the Attachments tab of an existing business process. (Refer to Revising Attachments, page 5-13.)

Feature	Description
Title field	Enter title for the attachment.
Browse button	Click this button to search the file system to select an attachment.
Is Flowchart check box	Check this box if the file attachment is a flow chart.
Type menu	Select a document type from the menu: • Other • Process Narrative • Process Flowchart • Change Control Procedures • Business Continuity Procedures • Testing Workpapers • Reference
Description field	Enter a description of the file attachment.
Save button	Saves the file attachment document associated with the business process.
Close button	Closes the screen.

Reference Screen

The Reference screen is used to specify a URL to add to a business process document. To access this screen, click the Add Reference button displayed on the Attachments tab of a business process.

Feature	Description
Title field	Enter title for the reference.
File Location or Web Page	Enter the URL for the file location or web page
Type menu	Select a document type from the menu: • Process Narrative • Process Flowchart • Change Control Procedures • Business Continuity Procedures • Testing Workpapers • Reference
Description field	Enter a description of the file attachment.
Save button	Saves the file attachment document associated with the business process.
Close button	Closes the screen.

Attachments Screen

The Attachments screen is used to specify multiple file attachments to add to a business process document. The Attachments screen uses three displays for specifying attachments metadata, selecting files to be added as attachments, and confirming the uploaded files.

To access the initial Attachments screen, click the Add Attachment button displayed on the Attachments tab (refer to Adding Multiple Attachments, page 5-18).

Feature	Description
Type menu	Select a document type from the menu: • Other • Process Narrative • Process Flowchart • Change Control Procedures • Business Continuity Procedures • Testing Workpapers • Reference
Description field	Enter a description for the file attachments.
Attachments tab	Lists the names of all the files to be attached.
Result tab	Lists the result of uploading the files.
Add button	Opens a browser in which to locate and open files to be added as attachments.
Next button	Displays the next Attachments screen.
Remove button	Removes a selected file from the list of files to be attached.
Save button	Saves the file attachment document associated with the business process.
Close button	Closes the screen.

History Tab

The History tab is available in all conditions except when a business process Basics tab is being edited. Use it to view the creation, modification, revision, and workflow history of a business process and any of its documents (such as controls, issues, and so forth).

Feature	Description
History	
Created By	User name of person who created the document.
Create Date	Date the document was created.
Modified By	User name of person who last modified the document.
Modified Date	Date the document was modified.
Workflow State	
CMS Status	Current CMS document status.
CMS Revision ID	Identification for the CMS document revision.
CMS Revision Number	CMS revision number of the document.
Current User field	User name of the current workflow user.
Checked Out By field	If the document is in a workflow, the user name of the person who checked out the document.
Workflow Initiator field	If the document is in a workflow, the user name of the person who initiated the workflow.
Workflow Information	
Workflow History button	For some document types, displays a printable history of the workflow of the document. Columns in the report include Revision Final State, Title, Workflow Description, CMS Revision ID, User (the user who performed the action), Action, and Action Date.
Document History	

Feature	Description
Past Revisions button	For some document types, displays a list of previous revisions of the document, including information about revision number, final state, title, CMS revision, and release date. Click the Information icon to view a printable workflow history for the revision.
Doc History button	For some document types, displays a list of actions (such as "check out" and "check in") and the document revision on which they were performed.
CMS Revision column	Revision number of the document.
Title column	Title of the process.
Action Date column	Date of action on the document.
Action column	What action was taken on the document, such as "Update" or "Checkout."
User column	User name of the person who acted on the document.

6

Managing Risks

This chapter covers the following topics:

- About Risks
- Creating Risks
- Revising Risks
- Retiring Risks
- Risks Interface
- Risks Tab
- Risk Page

About Risks

A risk is a negative impact to an organization that can occur for a specific business process. A risk can expose an organization to possible financial errors or loss or malfeasance. Information about each process risk must be entered into a risk document that is associated with the process. Risks also provide the basis for identifying controls that mitigate damage that could be caused by the risks.

Risks can be added to a business process when a process is initially created (refer to Creating Business Processes, page 5-4) and also later when additional risks are identified. For each risk there should be at least one control to mitigate the risk. For information on controls refer to Managing Test Instructions, page 7-xviii. For information on assessing risks related with controls refer to Assessing Business Processes, page 9-xviii.

Creating Risks

To create a risk for a business process, complete the following steps:

1. Verify that the business process is in one of the following states: Initialized or Edit.

2. Open the business process and click the Risks Tab, page 6-4.

    A list of risks for the business process is displayed. If there are no risks, the list is empty.

3. Click **Add Risk**.

    The Risk Page is displayed with the Basics and Comments tabs enabled.

4. Enter a title for the risk.

5. Select the appropriate attribute information in the fields for risk impact, risk likelihood, and risk type.

    > **Note:** Risks can also have file attachments. For more information refer to Using Attachments, page 5-15

6. Enter a description of the risk.

7. Enter the titles for any pre-existing assertions related to this risk in the Related Assertion(s) field, or by clicking on the Info icon next to the field to view a list of assertions that you can select.

8. If appropriate, click the Comments tab and enter comments about the risk.

9. Click **Save**.

    - If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

    - If all required fields have been filled in, or there are no required fields, the risk is entered into the system.

        > **Note:** If you do not want to save the changes, click **Cancel** to undo the changes. If you click **Close** you will be prompted to save changes, and then the document is closed.

Revising Risks

To revise an existing risk for a business process, complete the following steps:

1. Open the business process and click **Revise**.

2. Select the Risks Tab, page 6-4.

    A list of risks for the business process is displayed.

3. Click the title of the risk you want to edit.

    The Risk Page, page 6-5 is displayed with the Basics, Comments, Attachments, and History tabs enabled.

4. Click **Edit**.

    The Risk page is displayed with only the Basics and Comments tabs enabled.

5. Revise the appropriate information in the fields.

6. Click **Save** to enter the information into the system.

    > **Note:** If you do not want to save the changes, click **Cancel** to undo the changes. If you click **Close** before you click the Save button, you will be prompted to save changes, and then the document is closed.

Retiring Risks

When a risk is no longer valid or is no longer needed for a given business process, it can be retired. When a risk is retired it is no longer used by the process, but the risk documentation remains in the system for historical reporting requirements.

> **Note:** You must have the SOAICAdmin role, the SOAGlobalICAdmin role, or be the process creator or owner to perform this task.

To retire an existing risk for a business process, complete the following steps:

1. Open a business process and click Revise to modify the process. Then click the **Risks** tab.

    A list of risks for the business process is displayed.

2. Click the title for the risk you want to retire.

    The Risk Page, page 6-5 is displayed with the Basics, Comments, Attachments, and History tabs.

3. Click **Retire**.

    A confirmation prompt is displayed.

    > **Note:** Once a risk is retired it cannot be reactivated.

4. Click **Yes**.

The risk documentation is changed to a Retired state.

Risks Interface

This section covers the following topics about business process risks:

- Risks Tab, page 6-4

- Risk Page, page 6-5

Risks Tab

Risk information can be accessed through the Risks tab in a business process page. The Risks tab lists existing risk documents and enables the user to add risks or revise risks. For more information refer to About Risks, page 6-1.

Feature	Description
Add Risk button	Displays a Risk Page, page 6-5 for adding a new risk.
Add from template button	Displays a Template Selection Page, page 14-33 for adding a risk from a template.
Add from Library button	Displays a Master Component Library Selection Page, page 14-44 for adding a risk from the Master Component Library.
Title	Title of the risk.
Doc ID	Content ID for the risk document.
Revision	Revision number of the risk document.
State	State of the risk document.
Type	Type of document.
Release date	Date the risk document was released.

Risk Page

The Risk page is used to revise a risk document for a business process. To access the Risk page, refer to Revising Risks, page 6-2. Note that not all buttons and fields are available depending on the document state.

Fields	Description
Close button	Closes the page.
Edit button	Changes the document state to Edit so the fields can be revised.
Save button	Saves the information on the page.
Cancel button	Cancels changes to the page.
Retire button	Retires the risk document so it can no longer be used.
Organization field	Path name of the organization to which the process is assigned.
Process field	Name of the business process.
Title field	Name of the document.
State Field	Current state of the process.
ID field	Content ID number for the process.
Release Date field	Release date for the process.
Version field	Number of versions of the process.
Basics tab	

Fields	Description
Risk Significance field	A value that indicates the significance of a risk for a process: • 1 Low • 2 Low-Medium • 3 Medium • 4 Medium-High • 5 High
Risk Likelihood field	A value that indicates how likely it is that a risk will impact the process: • Negligible • Low • Medium • High • Extreme
Risk Rating field	A relative ranking of risk value, calculated as a product of the numeric values (1 through 5) from the Risk Significance and the Risk Likelihood fields.
Risk Type field	The type of risk: • Financial Fraud • Theft of Assets • Theft of Services • Regulatory Compliance • Breach of Security

Fields	Description
Operating field	Status of an operating assessment of the risk.
Design field	Status of a design assessment of the risk.
Description field	Detailed description of the risk.
Related Assertion(s) field	List of assertions for the process that are related to this risk, for example, Completeness or Measurement. To view a list of existing assertions, click the Info icon next to this field.
Comments tab	
Comments field	Comments about the risk.
Attachments tab	
Add Attachment button	With the page in Edit mode, click **Add Attachment** to display an Attachment screen. Use the screen to specify attachments for the document. The Type menu selection for an attachment is specific to the document type: • Process Narrative • Process Flowchart • Change Control Procedures • Business Continuity Procedures • Testing Workpapers • Reference
Title column	Name of the Attachment document.
State column	Current state of the Attachment document.
Doc ID column	Content ID number assigned to the document when it is stored in the content server

Fields	Description
Revision column	Latest number of revisions of the document.
Release Date column	Date the document was released.
Actions column	Latest action that occurred to the document, such as "checked out."
History tab	
Created By field	User name of person who created the document.
Create Date field	Date the document was created.
Modified By field	User name of person who last modified the document.
CMS Status field	Current workflow status.
CMS Revision ID field	Identification for the document revision.
CMS Revision Number field	Revision number of the document.
Current User field	If the document is in a workflow, the user name of the current workflow user. Risks do not go into workflows, so this field remains blank.
Checked Out By field	If the document is in a workflow, the user name of the person who has the document checked out. Risks do not go into workflows, so this field remains blank.
Workflow Initiator field	If the document is in a workflow, the user name of the workflow initiator. Risks do not go into workflows, so this field remains blank.

Fields	Description
Workflow History button	For some document types, displays a printable history of the workflow of the document. Columns in the report include Revision Final State, Title, Workflow Description, CMS Revision ID, User (the user who performed the action), Action, and Action Date.
Past Revisions button	Displays a list of previous revisions of the document, including information about revision number, final state, title, CMS revision, and release date. Click a revision title to view the document. Click the Information icon to view a printable workflow history for the revision.
Doc History button	Displays a list of actions (such as "check out" and "check in") for the document revisions. Information includes CMS revision, title, action date, action, and user who performed the action.

7

Managing Controls

This chapter covers the following topics:

- About Controls
- About Control Ownership
- Creating Controls
- Control and Processes in Scope
- Revising Controls
- Viewing Controls
- Retiring Controls
- Managing Test Instructions
- Creating Control Test Instructions
- Revising Control Test Instructions
- Retiring Control Test Instructions
- Controls Interface
- Controls Tab
- BP Control Page
- Control Page
- Test Instructions Tab
- Test Instructions Page

About Controls

A control mitigates the potential damage from a risk for a specific business process. Controls provide a safety mechanism to ensure that all risks are addressed by documented responses that mitigate the risks.

Any user with permission to create or edit a business process can create a control. If control ownership is enabled and a user has permission, a control owner can be assigned for a control. Controls can be created when a process is created, or added later as risks are identified and controls for those risks are required. Once a control has been documented, users can view the control and its values, description, comments, and documentation history.

You can specify that a control be related to a specific risk in the same business process, using the Related Risks feature. Also, a control can be related to another control through the Related Controls feature on a Control page. This enables you to specify the type of relationship between controls (such as one control secondary to another control).

Control testing can be performed based on management assessment, control group, and control owner (if control ownership is enabled). For more information refer to Assessing Business Processes, page 9-xviii and Audit Testing and Test Plans, page 10-xviii.

> **Note:** If the Auto Monitoring feature is enabled, you can click the <*Auto Monitoring*> button on a Control Page, page 7-20 to open a browser with a pre-defined URL and send the control for automated testing. The default name of the button is Auto Monitoring, but the name can be customized.

> **Note:** If automated control integration is enabled (for example, integration with GRC Controls application), you will be able to access an additional tab called Automation to associate the GRC Manager control to one or many automation sources. For more information refer to Automation Integration for Controls, page C-xviii.

See Also: About Control Ownership, page 7-2

About Control Ownership

The optional *control ownership* feature enables users to be assigned as owners of controls. Whenever a control is created, a control owner must be assigned to it. If control ownership is enabled, the following changes occur in the GRC Manager application:

> **Note:** Control ownership is turned off by default in the application. Customized versions can use control ownership as provided by Oracle or can further customize the feature.

• Control owners must be assigned to controls.

• A new "Control Owner" field is displayed on the Control page Basics tab.

- Control owners cannot edit a business process; they can edit only their own controls.

- Workflows can be customized to leverage the control ownership feature:
    - The Process Testing workflow can have control owners validate and/or test their own controls.

    - The Audit Testing workflow can have control owners validate the test cover.

    - The Data Collection workflow can be routed to control owners.

- Because control owners are assigned at the control level, it is possible that a document with control owner assignments can be routed in a workflow to multiple control owners on the same step. If there are multiple control owners on the same step, all the owners would have to complete the step before the business process is routed to the next step in the workflow.

    For example, a standard Data Collection workflow may be customized so that the business process is routed to control owners in the step following the process owner approval. If there are three controls on the process, then all three control owners would see the process in their Data Collection Inbox at the same time. The control owners would have to individually review and approve the process before the process is routed to the next step.

Creating Controls

One or more controls should exist for each documented risk in a business process.

To create a control for a business process, complete the following steps:

1. Verify that the business process is in one of the following states: Initialized, Edit, or Collection.

2. Open the business process.

    The Business Process Page, page 5-29 is displayed.

3. Click the Controls tab.

    A list of controls for the business process is displayed. If there are no controls, the list is empty.

4. Click **Add Control** to open a new control document.

    > **Note:** Click **Add from Template** to create a new control based on a control that is stored in a template process. For more information refer to Using Templates, page 5-21.

The BP Control Page, page 7-12 is displayed with the Basics and Description tabs enabled.

5. Enter a title for the control.

6. Enter information in the fields.

> **Note:** Controls can also have file attachments and references. For more information, refer to Using Attachments, page 5-15 and references can be added after the control has been saved.

7. Click **Save**.

- If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

- If all required fields have been filled in, or there are no required fields, the control is entered into the system.

> **Note:** To undo changes, click **Cancel**. If you click **Close**, youare prompted to save any changes made and the document is closed.

Control and Processes in Scope

Controls may be selected "in scope" for testing in the audit period by indicating a "yes" value to the "In Scope" field on the control. This selection can be made at the control level, or through an administrative page where a user with appropriate permissions can select many controls at a time to be selected in or out of testing scope. Typically, a selection of controls to be in scope for testing is done at the beginning of the audit year.

Primary Users for Scoping feature:

- The Process Owner who has access to creating business processes, and the Control Owner who can modify the process.

- The Global/Administrative roles that can perform administrative tasks such as mass update.

- Access to the Scoping menu includes all user roles that have either view or edit access to the business process and control information.

In the Scoping menu, there are two content pages to view:

- **All Controls in Scope** - The "All Controls in Scope" page provides a list of controls

that are selected as 'yes' in scope, and you can use the control hyperlink to drill into the information. The Business Process column is also retained on the page to provide you greater information, and is also a hyperlink to the business process.

- **All Processes in Scope** - The "All Processes in Scope" page provides a list of processes that are selected as 'yes' in scope, based on at least one control in the process being marked as 'yes' in scope, and you can use the hyperlink to drill into the process.

These two pages do not represent inboxes or actions.

You have the ability to apply, filter, test, and report on an 'in scope' indicator for the control or business process.

The "In Scope" flag is shown for the following areas:

- **Business Process Basic tab** - "In Scope" flag is display only, based on one or more controls being marked 'yes' in scope (you cannot edit this – it is for display only).

- **Control Basic tab** - "In Scope" flag, you have the ability to change the flag while editing the control page.

Business Process (Basics tab)

On the Business Process 'Basics' tab, "In Scope" is under the General section of the page. This is a display only field and is set automatically by the system depending upon the controls. It will only display "yes" if one or more controls in the process have been selected in scope. It only displays "yes" if one or more controls in the process have been selected in scope.

Control page (Basics tab)

On the 'Basics' tab for a Control within the Business Process, "In Scope" is under the General section of the page. You can set the dropdown (Yes or No) on each of the controls while editing the control. The default setting is "No" until you change it. Null is not allowed.

Control Tab in Business Process

The Controls tab within the Business Process has a column named "In Scope". This column includes Yes/No information for each of the controls in the business process.

If a control is being edited and is not currently in a released state, you cannot test it, even if it is marked in scope (yes).

> **Note:** The mass update feature for controls enables an administrator to update the 'In Scope' flag for a group of controls by modifying the flag

(Yes/No). You can also use the "In Scope" field for filtering to locate the controls that require an update to this same field. For more information refer to Managing Mass Update, page A-16.

Revising Controls

To revise an existing control for a business process, complete the following steps:

1. Open the business process and click the Controls tab. The business process must be in a state of Initialized, Edit, or Collection.

    A list of controls for the business process is displayed.

2. Click the title of the control you want to edit.

    The Control Page, page 7-20 is displayed with the control in Read Only state.

3. Click **Edit**.

    The Control page is displayed with the Basics and Description tabs enabled.

4. Revise or enter information in the fields.

5. Click **Save** to enter the information into the system.

    > **Note:** If you do not want to save the changes, click **Cancel** to undo the changes. If you click **Close** before you click the Save button, you will be prompted to save changes, and then the document is closed.

Viewing Controls

Once a control has been documented, users can view the control and its values, description, related automations, comments, and documentation history.

To view an existing control for a business process, complete the following steps:

1. Open a business process and click the Controls tab.

    A list of controls for the business process is displayed.

2. Click the title for the control you want to view.

    The Control Page, page 7-20 is displayed with the Basics, Description, Test Instructions, Attachments, and History tabs.

Retiring Controls

A control can be retired when it is no longer valid or useful. When a control is retired it becomes inactive but the documentation remains in the content server for historical reporting.

To retire a control for a business process, complete the following steps:

Permission: You must have the SOAICAdmin role, the SOAGlobalICAdmin role, or be the process creator or owner to perform this task.

1. Open a business process.

2. Click **Revise**.

3. Click the Controls tab.

   The list of controls is displayed.

4. Select the title of the control you wish to retire.

   The BP Control Page, page 7-12 is displayed.

5. Click **Retire**.

   A confirmation prompt is displayed.

> **Note:** Once a control is retired, it cannot be reactivated.

6. Click **Yes**.

   The control is retired.

Managing Test Instructions

Test instructions inform the user who tests the process controls about what test or tests to run on the control to check its accuracy and validity, and to verify that the control functions as documented. Test instructions can be created by any user with rights to the business process.

> **Note:** Refer to Starting a Process Test Run, page B-5 for information on how to start a test run on a business process and document the test results.

This section covers the following topics:

• Creating Control Test Instructions, page 7-8

- Revising Control Test Instructions, page 7-9

- Retiring Control Test Instructions, page 7-10

Creating Control Test Instructions

> **Note:** You can use attachments to the control to store pre-existing documents containing test instruction procedures.

To add test instructions to controls, complete the following steps:

1. Open the business process that has the control you want tested.

2. Verify that the process is in one of the following states: Initialized, Edit, or Collection.

3. If the process is in an Edit or Collection state, verify that you are the current user.

4. Click the Controls tab.

   A list of controls for the business process is displayed. If there are no controls, the list is empty.

5. Select a control title.

   The BP Control Page, page 7-12 is displayed.

6. Click the Test Instructions Tab, page 7-28.

   A list of test instructions for the control is displayed. If there are no test instructions, the list is empty.

7. Click **Add Test**.

   The Test Instructions Page, page 7-30 is displayed with the Basics, Comments, and Details tabs enabled.

   > **Note:** Test instructions also can be added from a template. For information refer to Using Templates, page 5-21.

8. Enter a title for the test instruction set.

9. Enter appropriate information in the fields on the Basics, Comments, and Details tabs.

   > **Note:** Test instructions can also have attachments and references,

For mone information, refer to Using Attachments, page 5-15.

10. Click **Save**.

    - If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

    - If all required fields have been filled in, or there are no required fields, the test instructions page for the process is displayed.

    - To undo changes, click **Cancel**. If you click **Close**, youare prompted to save any changes made and the document is closed.

11. Click **Close**.

    The process control page is displayed.

12. Click **Close**.

    The process page is displayed.

13. Click **Approve Changes** to update the process with the test instructions.

    A confirmation prompt is displayed.

14. Click **Yes**.

15. To close the process without further changes, click **Close.** To begin a Testing workflow, click **Initiate Testing**.

Revising Control Test Instructions

To revise and edit information in a process control test instruction set, complete the following steps:

1. Open a business process and click the Controls tab.

    A list of control titles is displayed.

2. Select a control by clicking the title.

    The BP Control Page, page 7-12 is displayed.

3. Click the Test Instructions Tab, page 7-28.

    A list of titles of test instructions for the process is displayed.

4. Click the test instruction title you want to edit.

The Test Instructions Page, page 7-30 is displayed with the control in Read Only state.

5. Click **Edit**.

   The Test Instruction page is displayed with the Basics, Comments, and Details tabs enabled.

6. Enter or revise information for the test instruction.

7. Click **Save**.

   The changes are saved to the process.

   - To undo changes before saving them, click **Cancel**.

   - If you click **Close**, youare prompted to save any changes made and the document is closed.

Retiring Control Test Instructions

To retire a process control test instruction set, complete the following steps:

1. Open the business process and click the Controls tab.

   A list of titles of controls for the business process is displayed.

2. Click a control title.

   The BP Control Page, page 7-12 is displayed with the control in Read Only state.

3. Click the Test Instructions Tab, page 7-28.

   A list of titles of test instructions for the control is displayed.

4. Click the title of the control test instructions you want to retire.

   The Test Instructions Page, page 7-30 is displayed with the Basics, Comments, and Details, Attachments and History tabs enabled.

5. Click **Retire**.

   A confirmation prompt is displayed.

   > **Note:** Once a control test is retired, it cannot be reactivated.

6. Click **Yes**.

   The control test is retired for the process.

Controls Interface

This section covers the following topics on accessing and managing controls for business processes and control testing:

- Controls Tab, page 7-11

- BP Control Page, page 7-12

- Control Page, page 7-20

- Test Instructions Tab, page 7-28

- Test Instructions Page, page 7-30

Controls Tab

The Controls tab lists control documents and enables a user to add or revise controls. To access the tab contents, open a new or existing business process, or open a new or existing test plan, then click the Controls tab. For more information refer to About Controls, page 7-1, or About Audit Tests and Test Plans, page 10-2.

Feature	Description
Add Control button	Displays a BP Control Page, page 7-12 for adding a new control. The process must be in Initialized, Edit, or Collection state to use this button.
Add from template button	Displays a Template Selection Page, page 14-33 for adding a control from a template. The process must be in Initialized, Edit, or Collection state to use this button.
Add from Library button	Displays a Master Component Library Selection Page, page 14-44 for selecting a component template from the Master Component Library to use as the basis for a control.This button is enabled if the process is in a state of Initialized, Edit or Collection.

Feature	Description
Title column	Title of the control. The title also is a link that will open the control page. If the control is copied from the Master Component Library, the letters "MC" will appear next to the title. If the control is copied from a master process, the letters "MP" will appear next to the title.
Doc ID column	Content ID number used for the document when it is stored in the content server.
Revision column	Revision number of the control document.
Class Column	Specifies the classification of the control's relationship to other controls in the business process.
State column	Current state of the control.
In Scope column	Indicates whether or not the control is in scope for testing by way of aYes/No flag for each of the controls in the business process.
Method column	Indicates the way a control mitigates risk, such as whether it is implemented manually or automatically.
Type field	Type of document.
Release Date field	Date the document was released.

BP Control Page

The BP Control page is used to create a new control for a business process. To access this page, select the Add Control button on the Controls tab of a business process. For additional information refer to Creating Controls, page 7-3.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.

Feature	Description
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization to which the process is associated.
Process field	Name of the business process.
Title field	Enter the name of the control.
State field	Current state of the control.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is saved.
Version field	Number of versions of the document.
Basics tab	
COSO fields	
Component field	A value that indicates the COSO component for the control. Select a value from the drop down list: • Control Environment • Risk Assessment • Control Activities • Information and Communications • Monitoring

Feature	Description
Category field	A value that indicates the COSO category for the control. Select a value from the drop down list: • Effectiveness and Efficiency of Operations • Reliability of Financial Reporting • Compliance with Applicable Regulations
General fields	

Feature	Description
Class field	The control's classification in the business process. Also important in the use of control-to-control relationships. Select a value from the drop-down list:
	• Key: A control that is of significant importance to the proper operation of a business process. A monitoring or subordinate control can be related to a key control. It does not have a subclass. It cannot be related to a secondary control, or to another key control.
	• Monitoring: A control that monitors one or more related controls. It is used for management assessment; for example, assessing a monitoring control and not assessing its related key control or related secondary control. It cannot be related to a subordinate control or to another monitoring control. It does not have a subclass.
	• Secondary: A control of lesser importance than a key control. It does not have a subclass. A monitoring control or a subordinate control can be related to a secondary control. It cannot be related to a key control or another secondary control.
	• Subordinate: A control that is subordinate to one other control. The related control can be either a key control or a secondary control. It cannot be related to a monitoring control. It can be given a subclass, but it is not required.

Feature	Description
Subclass field	The subclassification of the control in the business process. Select a value from the drop-down list: • Compensating • Mitigating • Redundant
Type field	The type of control effect on the associated risk. Select a value from the drop-down list: • Preventative • Detective • Corrective
Method field	Indicates whether the control is implemented manually or automatically. Select a value from the drop down list: • Manual • Automated • Auto Monitoring • Control Automation
In Scope	Indicates whether or not the control is in scope for testing.

Feature	Description
Objective field	A value that indicates the objective of the control for the purposes of accountability. Select a value from the drop-down list: • Completeness • Accuracy • Validity • Timeliness • Security
Assessment fields	
Operating field	Status of operating assessment of the control.
Design field	Status of design assessment of the control.
Audit fields	
Audit Type field	A value that indicates the type of auditing that the control supports. Select a value from the drop down list: • Operational • Financial Reporting

Feature	Description
Frequency field	A value that indicates how frequently the control is applied for the purposes of auditing the records. Select a value from the drop down list: • Multiple times per day • Daily • Weekly • Bi-weekly • Monthly • Quarterly • Annually • Other
Target Samples	A numeric value defined by the user. The value indicates a target of the number of audit sample data to be collected in the audit year.
Subjective Status fields	
Maturity As Is field	Displays the maturity status of the control. Select a value from the drop down list: • 1 Unreliable • 2 Informal • 3 Standardized • 4 Monitored • 5 Optimized

Feature	Description
Maturity Target field	Displays the desired maturity status of the control. Select a value from the drop down list: • 1 Unreliable • 2 Informal • 3 Standardized • 4 Monitored • 5 Optimized
Complexity field	Displays the level of complexity of the control. Select a value from the drop down list: • 1 Low • 2 Med-Low • 3 Medium • 4 Med-High • 5 High
Test fields	
Process Based field	Status of process-based test of the control.
Audit Based field	Status of audit-based test of the control.
Other fields	
Related Risk(s) field	List of risks for the process that are related to the control. A control can have one or more related risks in a process. To view a list of existing risks, click the Info icon next to the field.

Feature	Description
Related Control(s) field	List of controls in the process that are related to this control. To view existing controls you can select to establish a relationship with the control, click the Info icon next to this field. Select controls from the displayed list.
	Related controls automatically reference the most recent revision of the controls.
Description tab	
Description field	Enter a detailed description of the control.
Comments field	Enter comments about the control.

Control Page

The Control page provides access to a business process control document after it has been created and saved. The control document can still be in an Initialized state or a Released state. To access this page, open a business process, select the Controls tab, and select the title of a control document. For more information refer to Revising Controls, page 7-6.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Edit button	Enables the control document to be modified.
<Auto Monitoring> button	If enabled, opens a browser to a pre-defined URL to send the control for external automated testing. The default name for this button is Auto Monitoring, but the name can be customized.
Retire button	Retires the control document.

Feature	Description
Cancel button	Cancels changes to the page.
Organization field	Name of the organization to which the process is associated.
Process field	Name of the business process. The Info icon opens a separate window to display a process profile, which summarizes information about the process.
Title field	Name of the control.
State field	Current state of the control.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is released.
Version field	Number of versions of the document.
Basics tab	
COSO fields	
COSO Component field	A value that indicates the COSO component for the control: • Control Environment • Risk Assessment • Control Activities • Information and Communications • Monitoring

Feature	Description
COSO Category field	A value that indicates the COSO category for the control: • Effectiveness and Efficiency of Operations • Reliability of Financial Reporting • Compliance with Applicable Regulations
General fields	
Class field	Specifies the classification of the control's relationship to other controls in the business process. Select a value from the drop-down list: • Key: No relationships. (There is no longer a concept of non-key controls.) • Monitoring: You can specify none to multiple key or secondary controls. • Secondary: No relationships. • Subordinate: You can specify none or one key or secondary control. A subclassification can also be specified.
Subclass field	Specifies the subclassification of the control's relationship to other controls in the business process. Select a value from the drop-down list: • Compensating • Mitigating • Redundant

Feature	Description
Type field	The type of control effect on the associated risk: • Preventative • Detective • Corrective
Method field	Shows whether the control is implemented manually or automatically: • Manual • Automated • Auto Monitoring • Control Automation
Assessment fields	
Operating field	Status of operating assessment of the control.
Design field	Status of design assessment of the control.
Related Risk(s) field	List of risks for the process that are related to the control. A control can have one or more related risks in a process. To view a list of existing risks, click the Info icon next to the field.
Related Control(s) field	List of controls for the process that are related to this control. Related controls automatically reference the most recent revision of the controls.
Audit Information fields	

Feature	Description
Audit Objective field	A value that indicates the objective of the control for the purposes of accountability: • Completeness • Accuracy • Validity • Timeliness • Security
Audit Type field	A value that indicates the type of auditing that the control supports: • Operational • Financial Reporting
Audit Frequency field	A value that indicates how frequently the control is applied for the purposes of auditing the records: • Multiple times per day • Daily • Weekly • Bi-weekly • Monthly • Quarterly • Annually • Other
Subjective Status fields	

Feature	Description
Maturity As Is field	Displays the maturity status of the control: • 1 Unreliable • 2 Informal • 3 Standardized • 4 Monitored • 5 Optimized
Maturity Target field	Displays the desired maturity status of the control: • 1 Unreliable • 2 Informal • 3 Standardized • 4 Monitored • 5 Optimized
Complexity field	• Displays the level of complexity of the control: • 1 Low • 2 Med-Low • 3 Medium • 4 Med-High • 5 High
Test fields	
Process Based field	Status of process-based test of the control.

Feature	Description
Audit Based field	Status of audit-based test of the control.
Description tab	
Description field	Detailed description of the control.
Test Instructions tab	
Add Test button	Displays Test Instructions page where instructions can be added for the control.
Add from template button	Displays list of templates for test instructions that can be used instead of creating unique instructions.
Title column	Title of the test instructions.
Type column	Type of test.
Approach column	Displays whether test is initiated manually or automatically.
Doc ID column	Content ID for the document.
Revision column	Revision number of the document.
State column	State of the test instructions.
Release date column	Date the document was released.
Attachments tab	
Add Attachment button	With the page in Edit mode, click **Add Attachment** to display an Attachment Screen, page 5-46. Use the screen to specify attachments for the document.

Feature	Description
Add Reference button	With the page in Edit mode, click Add Reference to display the Reference Screen, page 5-47. Use the screen to specify external document or website references that is a URL link.
Title column	Name of the document.
Description	Description of the document
State column	Current state of the document.
Doc ID column	Content ID number assigned to the document when it is stored in the content server
Doc Level column	Doc Level assigned to the process.
Revision column	Latest number of revisions of the document.
Release Date column	Date the document was released.
Actions column	Actions that are available to perform on the attachment or reference, dependent on user permissions and document state. Examples of actions are Get, Open and Retire.
History tab	
Created By field	User name of person who created the document.
Create Date field	Date the document was created.
Modified By field	User name of person who last modified the document.
CMS Status field	Current workflow status.
CMS Revision ID field	Identification for the document revision.
CMS Revision Number field	Revision number of the document.

Feature	Description
Current User field	If the document is in a workflow, the user name of the current workflow user. Controls do not go into workflows, so this field remains blank.
Checked Out By field	If the document is in a workflow, the user name of the person who has the document checked out. Controls do not go into workflows, so this field remains blank.
Workflow Initiator field	If the document is in a workflow, the user name of the workflow initiator. Controls do not go into workflows, so this field remains blank.
Workflow History button	For some document types, displays a printable history of the workflow of the document. Columns in the report include Revision Final State, Title, Workflow Description, CMS Revision ID, User (the user who performed the action), Action, and Action Date.
Past Revisions button	Displays a list of previous revisions of the document, including information about revision number, final state, title, CMS revision, and release date. Click a revision title to view the document. Click the Information icon to view a printable workflow history for the revision.
Doc History button	Displays a list of actions (such as "check out" and "check in") for the document revisions. Information includes CMS revision, title, action date, action, and user who performed the action.

Test Instructions Tab

The Test Instructions tab lists test instructions for a control and enables users to create new Test Instructions or to add Test Instructions from templates. To access the tab, open a business process, select the Controls tab, select a control title, and click the Test Instructions tab. For additional information refer to Managing Test Instructions, page 7-7.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Changes the state of the document to Edit, so the document can be Closed, Saved, or Canceled.
Retire button	Retires the test instructions for a control. For more information refer to Retiring Control Test Instructions, page 7-10.
Organization field	Displays the name of the organization with which the process is associated.
Process field	Name of the business process. The Info icon opens a separate window to display a process profile, which summarizes information about the process.
Title field	Name of the Control document.
State field	Current state of the Control document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created.
Version field	Number of versions of the document.
Add Test button	Displays the Test Instructions Page, page 7-30 where instructions can be added for the control.
Add from template button	Displays a Template Selection Page, page 14-33, which can be used to select a template instead of creating unique instructions.
Title column	Title of the test instructions.
Type column	Type of test.

Feature	Description
Approach column	Displays whether test is initiated manually or automatically.
Doc ID column	Content ID for the document.
Revision column	Revision number of the document.
State column	State of the business process.
Release date column	Date the document was released.

Test Instructions Page

The Test Instructions page is used to define the instructions for testing controls for a business process. To access this page, open a business process, select the Controls tab, select a control title, then click the Test Instructions tab. On the tab either click the Add Test button to add a new test, or select a test title to revise a test. For additional information refer to Creating Control Test Instructions, page 7-8.

Feature	Description
Close button	Closes the Test Instruction page.
Edit button	Changes the state of the document to Edit, so the document can be Closed, Saved, or Canceled.
Retire button	Retires the test instructions document so it can not be used.
Save button	Saves the test instructions.
Cancel button	Cancels changes to the test instructions.
Organization field	Name of the organization to which the process is associated.

Feature	Description
Process field	Name of the business process. The Info icon opens a separate window to display a process profile, which summarizes information about the process.
Title field	Name of the Test Instruction document.
State field	Current state of the process.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document was created.
Version field	Number of versions of the document.
Basics tab	
Type field	Select a type of test from the Type menu: • Inquiry • Observation • Examination • Performance
Approach field	Select an approach from the Approach menu: • Manual • Automated
Description field	Enter a description of the instructions.
Comments tab	
Comments field	Enter supporting information in this field.
Details tab	

Feature	Description
Instructions field	Enter specific test instructions in the Instructions field.
Success Description field	Enter a description or specification or an example of what makes a test successful.
Attachments tab	
Add Attachment button	With the page in Edit mode, click **Add Attachment** to display an Attachment Screen, page 5-46. Use the screen to specify attachments.
Add Reference button	With the page in Edit mode, click Add Reference to display a Reference Screen, . Use the screen to specify external document or website references that is a URL link.
Title column	Name of the Attachments document.
Description column	Description of the attachment or reference document.
State column	Current state of the document.
Doc ID column	Content ID number assigned to the document when it is stored in the content server
Revision column	Latest number of revisions of the document.
Release Date column	Date the document was released.
Actions column	Links that are available to perform on this attachments or reference, dependent on user permissions and document state. Examples of actions are Get, Open and Retire.
History tab	
Created By field	User name of person who created the document.

Feature	Description
Create Date field	Date the document was created.
Modified By field	User name of person who last modified the document.
CMS Status field	Current workflow status.
CMS Revision ID field	Identification for the document revision.
CMS Revision Number field	Revision number of the document.
Current User field	If the document is in a workflow, the user name of the current workflow user. Test instructions do not go into workflows, so this field remains blank.
Checked Out By field	If the document is in a workflow, the user name of the person who has the document checked out. Test instructions do not go into workflows, so this field remains blank.
Workflow Initiator field	If the document is in a workflow, the user name of the workflow initiator. Test instructions do not go into workflows, so this field remains blank.
Past Revisions button	Displays a list of previous revisions of the document, including information about revision number, final state, title, CMS revision, and release date. Click a revision title to view the document.
Doc History button	Displays a list of actions (such as "check out" and "check in") for the document revisions. Information includes CMS revision, title, action date, action, and user who performed the action.

8

Data Collection

This chapter covers the following topics:

- About Data Collection
- Data Collection Workflow Overview
- Starting Data Collection
- Starting Data Collection for Multiple Processes
- Starting Data Collection for a Single Process
- Contributing to a Process
- Contributing Data to a Process
- Approving a Process for Data Collection
- Rejecting a Process for Data Collection
- Reviewing Data for a Process
- Reviewing a Process in Data Collection Review
- Approving a Process in Data Collection Review
- Rejecting a Process in Data Collection Review
- Reviewing Data for Compliance
- Reviewing a Process for Compliance
- Approving a Process for Compliance
- Rejecting a Process for Compliance
- Canceling Changes to a Process

About Data Collection

When a user creates a business process, data is needed to specify the risks, controls, and attachments for the process. Also, as a business process is created, it is in the Initialized

state, meaning that it has not had a full review to evaluate its accuracy and completeness. The process creator can run the Data Collection workflow to collect data on risks, controls, and attachments (that provide extra details such a flowcharts and narratives) from the assigned process owner and also have the assigned approvers review the data for accuracy and completeness.

The Data Collection workflow provides the automation to route the process to specified users to perform these tasks. Reviewers for data collection are specified on the business process Basics tab, or the administrator for a company can assign default reviewers in a modified workflow, in which case business processes are automatically routed to the designated reviewers.

Data Collection Workflow Overview

When a user with appropriate permission to a business process initiates data collection, the Data Collection workflow is started. The workflow routes the business process to users in the following order:

1. Initiated by user with rights to the business process.

2. The process owner contributes documentation and approves or rejects the process.

3. The process reviewers examine the process documentation, and approve or reject the process.

4. A compliance reviewer examines the process documentation, and approves or rejects the process.

Overview of Data Collection Workflow
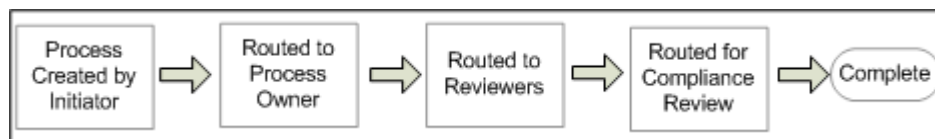
Prerequisites to begin a Data Collection workflow including the following:

• A business process that is in a state of Initialized or Released

• An assigned process owner

• Appropriate security rights

The following list summarizes the workflow steps:

1. A user with rights to a business process, usually an administrator (or someone in the compliance department), initiates data collection.

2. An email notification is sent to the assigned process owner, notifying the owner to enter the system and check the Inbox. The email notification includes a link to the system that takes the user to the application log-in page.

3. The process owner opens the business process and contributes data for assertion, risk, control, test instruction, and attachment documentation. Then the owner either approves the process or rejects the process.

   • If the process is approved, it is removed from the process owner's Inbox and sent to the next step.

   • If the process is rejected, an email is sent to the user who initiated the data collection, notifying them of the reason for rejection. The initiator can then choose to restart the workflow or delete the workflow.

4. An email notification is sent to the assigned reviewer(s) who are responsible for reviewing data for assertion, risk, control, test instruction, and attachment documentation for the business process. The email notification includes a link to the system that takes users to the application log-in page.

5. The users review each assertion, risk, control, test instruction, and attachment document. When finished, reviewers either approve or reject the process.

   • If the process is approved, it is removed from the reviewer's inbox and sent to the next step.

   • If the process fails, the reviewer enters a message explaining why the process was rejected, and the message is sent to the process owner to modify the process documentation.

6. An email notification is sent to the workflow initiator (usually an administrator or someone in the Compliance group), notifying the user to enter the system and check the inbox. The email notification includes a link to the system that takes the user to the application log-in page.

7. The workflow initiator is the final reviewer. The user reviews the assertion, risk, control, test instruction, and attachment documentation, and approves or rejects the business process. The user can change any of the documentation to ensure its integrity and validity.

   • If the process is approved, its status is changed to Released, the system is notified, and the process is removed from the Data Collection workflow.

   • If the process is rejected, the user enters a message explaining the reason for the reject, and the message is sent to the process owner to modify the process documentation.

Starting Data Collection

This section describes the procedures for starting a Data Collection workflow for multiple processes and for a single process. This section covers the following topics:

- Starting Data Collection for Multiple Processes, page 8-4

- Starting Data Collection for a Single Process, page 8-5

Starting Data Collection for Multiple Processes

> **Note:** A process must be in a state of Released or Initialized to be started into process collection.

To send multiple business processes through the Data Collection workflow, complete the following steps:

1. From an organization map select a folder and double click the title to display the list of processes for that unit. For information about maps refer to About Maps, page 4-2.

2. Select all business processes by checking the box at the top of the process list, or individually select business processes from the list by checking the boxes located next to each process title.

3. Click **Data Collection**.

   A confirmation prompt is displayed.

4. Select either **Execute recursively Yes** or **Execute recursively No** to indicate whether or not to start data collection recursively. Selecting *recursively* means that the business processes in any subfolders will also be started, otherwise only the business processes in the selected folder will be started.

5. Click **Yes** to continue, or **No** to cancel the request.

   If Yes is selected, the business processes are entered into the Data Collection workflow. A status prompt is displayed to show the processes that have been entered into the Data Collection workflow. Processes that successfully started are in a state of Collection

   > **Note:** If a process did not enter into workflow, check to see if it is a valid process that is in a state of Initialized or Released and that it has a process owner assigned (the Owner field in the BP Cover has no entry).

Starting Data Collection for a Single Process

To send a single business process through the Data Collection workflow, complete the following steps:

1. In the user interface select the Business Processes tray.

2. Select **All Processes**.

3. From the list of processes, click a process title to open the process.

   A process page is displayed.

4. Click **Process Collection**.

   A confirmation screen is displayed.

5. Click **Yes** to continue or **No** to cancel the request.

   - If Yes is selected, the process is entered into the Process Collection workflow and is in a Collection state.

     > **Note:** If the process does not have an owner assigned to it (the Owner field in the BP Cover has no entry), the process does not start.

     > **Note:** To view who received an email for data collection, select the History tab for the process. The Current Workflow User value is the person who received the email.

Contributing to a Process

When a Data Collection workflow is initiated, an email is sent to the business process owner with a notification to log in to the system and check their Inbox. A link is provided from the email to the system. Clicking on the link takes the user to the application log-in page. The process owner can perform the following actions:

- Contributing Data to a Process, page 8-6

- Approving a Process for Data Collection, page 8-6

- Rejecting a Process for Data Collection, page 8-7

Contributing Data to a Process

The business process owner can add and edit documentation for assertions, risks, controls, test instructions, and attachments (such as flowcharts and narratives) for a process.

To contribute documentation to a process, complete the following steps:

1. From the application navigation panel select **My Inbox** or select **Business Processes —Collection Inbox** to display a list of processes in the workflow.

2. Click the title of the process to which you want to contribute data.

   The Business Process Page, page 5-29 is displayed.

3. Select the tab for the assertion, risk, control, or attachment you want to add and enter or edit the information. Enter or revise as many assertions, risks, controls, or attachments as needed. For additional information refer to Adding Assertions, page 5-6, Creating Risks, page 6-1, Creating Controls, page 7-3, Creating Control Test Instructions, page 7-8, and Adding Attachments, page 5-7. For information on revising documents refer to Revising Assertions, page 5-12, Revising Risks, page 6-2 , Revising Controls, page 7-6, Revising Control Test Instructions, page 7-9, and Revising Attachments, page 5-13.

4. When finished entering data for the process, click **Approve**.

   A confirmation prompt is displayed.

5. Click **Yes**.

   The data for the process is saved in the system. The business process page is displayed.

6. Click **Close** to close the process page.

   The process is removed from the business process owner Inbox and sent to the next step in the workflow.

Approving a Process for Data Collection

To approve a process in the Data Collection workflow after reviewing the documentation, complete the following steps:

1. In the open business process page, click **Approve**.

   A confirmation prompt is displayed.

2. Click **Yes**.

The process is removed from the business process owner's Inbox and sent to the next step in the workflow.

Rejecting a Process for Data Collection

To reject a process in the Data Collection workflow whether or not changes have been made to the process documentation, complete the following steps:

1. In the open business process page, click **Reject**.

   A reject message window is displayed.

2. Enter a reject message. The reject message will be included in the email to the user that handles the next step in the workflow.

3. Click **Save**.

   A confirmation prompt is displayed.

4. Click **Yes.**

   An email is sent to the appropriate user, notifying them of the reason for rejection. If a reviewer rejects a process, it is sent back to the process owner. If the process owner rejects a process, it is sent back to the workflow initiator.

Reviewing Data for a Process

After a Data Collection workflow has gone through the process owner contribution step, it is then routed to reviewers. One or more users are notified by email, one at a time, to review the business process and documentation. The number of reviewers depends on how many have been set up and assigned for the business process. A link is provided from the email to the system. Clicking on the link takes the user to the application log-in page.

Each reviewer can perform the following actions:

- Reviewing a Process in Data Collection Review, page 8-7

- Approving a Process in Data Collection Review, page 8-8

- Rejecting a Process in Data Collection Review, page 8-8

Reviewing a Process in Data Collection Review

Reviewers of a business process can review documentation for the assertions, risks, controls, test instructions, and attachments (such as flowcharts and narratives) of a process.

To review a process and its documentation in the Data Collection workflow, complete the following steps:

1. From the application navigation panel select **My Inbox** or select **Business Processes —Collection Inbox** to display a list of processes in the workflow.

2. Click the title of the process you want to review.

   The Retired Processes Page, page 5-25 is displayed.

3. Review the process and its documentation. Select tabs to view the assertions, risks, controls, and attachments.

4. When you are finished reviewing the process and its data, you have two choices:

   • Approve the process. For more information see Approving a Process in Data , page 8-8.

   • Reject the process. For more information see Rejecting a Process in Data , page 8-8.

     > **Note:** Any document with a document state of Collection has been changed or added during the Data Collection workflow. If a document has a document state of Retired, it has been removed during this workflow.

Approving a Process in Data Collection Review

After the reviewer has finished reviewing the business process and its associated documentation, the reviewer can click the Approve button to notify the system that the reviewer approves of the business process and its documentation.

To approve a business process in the Process Collection workflow, complete the following steps:

1. In the open business process page click **Approve**.

   A confirmation prompt is displayed.

2. Click **Yes**.

   The process is removed from the user's Inbox and sent to the next step in the workflow.

Rejecting a Process in Data Collection Review

After the reviewer has finished reviewing the business process and its associated

documentation, the reviewer can notify the system that the user has rejected the business process and its documentation.

To reject a business process in the Process Collection workflow, complete the following steps:

1. In the open process page click **Reject**.

   A reject message window is displayed.

2. Enter a reject message.

3. Click **Yes**.

   An email is sent to the process owner within the workflow notifying them of the reason for rejection.

Reviewing Data for Compliance

After a Data Collection workflow has gone through the reviewer step, the business process is routed to the user who initiated the workflow. This review step provides a compliance administrator or other individual the ability to review, change, and approve the business process. If the business process is approved in the final review step, the process and its associated documentation is set to a state of Released and removed from the Data Collection workflow. The final reviewer can change any of the business process documentation to ensure its integrity and validity for the various risk, control, and compliance related attributes.

An email is sent to the final reviewer with a notification to log in to the system and check their Inbox. A link is provided from the email to the system. Clicking on the link takes the user to the application log-in page.

The compliance reviewer can perform the following tasks:

• Reviewing a Process for Compliance, page 8-9

• Approving a Process for Compliance, page 8-10

• Rejecting a Process for Compliance, page 8-11

Reviewing a Process for Compliance

The compliance reviewer can review and edit documentation for the assertions, risks, controls, test instructions, and attachments (such as flowcharts and narratives) of a process. The compliance reviewer's focus is whether the process meets all the requirements for compliance to the Sarbanes-Oxley Act.

To review a process and its documentation in the Data Collection workflow, complete the following steps:

1.   From the application navigation panel select **My Inbox** or select **Business Processes —Collection Inbox** to display a list of processes in the workflow.

2.   Click the title of the process you want to review.

   The Business Process Page, page 5-29 is displayed.

3.   Review the process and its documentation. Select tabs to view the assertions, risks, controls, and attachments. If you want to add or revise information, click **Edit** and enter the data. For additional information refer to Adding Assertions, page 5-6, Creating Risks, page 6-1, Creating Controls, page 7-3, Creating Control Test Instructions, page 7-8, and Adding Attachments, page 5-7. For information on revising documents refer to Revising Assertions, page 5-12, Revising Risks, page 6-2 , Revising Controls, page 7-6, Revising Control Test Instructions, page 7-9, and Revising Attachments, page 5-13.

4.   When you are finished reviewing the process and its data, you have two choices:

   • Approve the process. For more information refer to Approving a Process for , page 8-10.

   • Reject the process. For more information refer to Rejecting a Process for , page 8-11.

   > **Note:** Any document with a document state of Collection has been changed or added during the Process Collection workflow. If a document has a document state of Retired, it has been removed during this workflow.

Approving a Process for Compliance

After the compliance reviewer is finished reviewing the documentation for the entire business process, the reviewer can notify the system that the reviewer approves the business process. The business process is released into the system.

To approve a business process in the Data Collection workflow, complete the following steps:

1.   In the open process page click **Approve**.

   A confirmation prompt is displayed.

2.   Click **Yes**.

   The data for the process is saved in the system. The Retired Processes Page, page 5-25 is displayed.

3. Click **Close** to close the process page.

The process is removed from the compliance reviewer's inbox and set to a Released state.

Rejecting a Process for Compliance

After the final reviewer has finished reviewing the documentation for the entire business process, the final reviewer can click the Reject button to notify the system that the final reviewer is rejecting the process. The process owner becomes the next current workflow user.

To reject a business process in the Data Collection workflow, complete the following steps:

1. In the open process page click **Reject**.

A reject message window is displayed.

2. Enter a reject message.

3. Click **Yes**.

An email is sent to the process owner, notifying them of the reason for rejection. The process is removed from the compliance reviewer's inbox.

Canceling Changes to a Process

If the process is rejected by the owner back to the workflow initiator, the initiator can reset the process and all its supporting documentation (including assertions, risks, controls, and attachments) back to the original version before it entered the Data Collection workflow.

To cancel changes to a business process in the Data Collection workflow, complete the following steps:

1. In the open process page click **Delete Workflow**.

A confirmation prompt is displayed.

2. Click **Yes**.

The Data Collection workflow is canceled, all new revisions of documents are restored to their previous versions, and the process and its supporting documentation are set to their previous states (Initialized or Released).

9

Assessing Business Processes

This chapter covers the following topics:

- About Management Assessment
- Assessment Workflow Overview
- Workflow Prerequisites
- Workflow Details
- Starting an Assessment
- Starting an Assessment for a Single Process
- Management Assessment Wizard
- Starting an Assessment for Multiple Processes
- Assessing Process Controls and Risks
- Assessing Controls
- Assessing Risks
- Assessing a Process
- Failing an Assessment
- Certifying Assessment Results
- Passing a Certification
- Failing a Certification
- Management Assessment Interface
- Management Assessment Tray
- Completed Management Assessment Workflows for <user> Page
- Active Management Assessment Workflows for <user> Page
- Preparation Management Assessment Workflows for <user> Page
- Validation Management Assessment Workflows for <user> Page

- Review Management Assessment Workflows for <user> Page

- Assessment Dialog Box

- Management Assessment Cover Page

- Management Assessment Page

- Management Assessment Selection Wizard

- Management Assessment Basics Tab

- Management Assessment Controls Tab

- Management Assessment Risks Tab

- Management Assessment Process Tab

- Management Assessment Certification Tab

- Control Design Assessment Page

- Control Design Assessment Results Page

- Control Operating Assessment Page

- Control Operating Assessment Results Page

- Risk Design Assessment Page

- Risk Design Assessment Results Page

- Risk Operating Assessment Page

- Risk Operating Assessment Results Page

- Process Design Assessment Page

- Process Design Assessment Results Page

- Process Operating Assessment Page

- Process Operating Assessment Results Page

About Management Assessment

Management assessment enables business process owners and management reviewers to assess the design and operational effectiveness of their business processes' controls and related risks. An assessment includes evaluation and certification of control operation and risk mitigation for one or more business processes. Management assessment differs from audit testing in that audit testing evaluates only the effectiveness of controls independently from the associated risks and processes.

The following topics contain information on assessing business processes:

- Assessment Workflow Overview, page 9-3

- Starting an Assessment, page 9-5

- Assessing Process Controls and Risks, page 9-10

- Certifying Assessment Results, page 9-13

> **Note:** For information on audit testing controls based on selected controls across multiple business processes refer to Audit Testing and Test Plans, page 10-xviii.

Assessment Workflow Overview

Business processes with risks and related controls can be evaluated for completeness and accuracy by performing a management assessment, which uses the Assessment workflow to route a business process for evaluation of its risks and controls. This section describes the workflow for assessing a business process.

Reviewers for a management assessment can be specified by the user initiating the assessment or by the user who creates the business process.

> **Note:** A business process is not locked while it is in an Assessment workflow; it can be edited or included in multiple assessments at the same time.

The Assessment workflow is activated whenever a user with permissions wishes to have one or more processes assessed. The workflow progresses between users in the following order:

1. The workflow is initiated by a user with rights to the business process and authorized to initiate assessment. The initiator creates an assessment cover that specifies the assessment title, reviewers, assessment types, and the risks and controls to be assessed. The document is in the Prepare state.

2. The assessment is routed to the business process owner, who evaluates the specified operating and design effectiveness of controls, risk mitigation (meeting objectives) and the design effectiveness of risks, the operating status and design effectiveness of the process, then certifies the results. The document is in the Owner Assessment state.

3. Optionally, the assessment is routed to the first (if more than one) executive reviewer, who reviews the results and its documentation, passes or fails the assessment, and certifies the result. The document is in the Reviewer state.

4. If there is a second executive reviewer, the assessment is routed to the user, who reviews the results and its documentation, passes or fails the assessment, and certifies the result.

5. When all specified assessors have completed their tasks, depending on the results of the assessments, the workflow ends.

Overview of Assessment Workflow
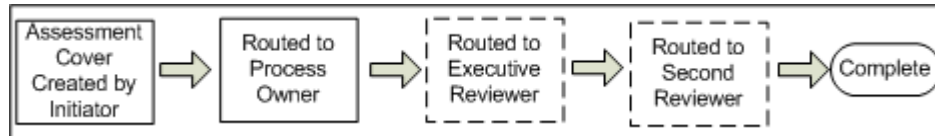
Workflow Prerequisites

The prerequisites to begin assessing a process using the Assessment workflow are the following:

- A business process that is in a Released state

- An assigned business process owner

- Appropriate security rights

Workflow Details

The following list describes in more detail what happens during an Assessment workflow:

1. A user with permission to a business process initiates an assessment and uses a Wizard to specify the type and scope of the assessment. An assessment can be initiated from two locations:

    - From an open business process

    - Via an organization map for one or more business processes (which starts an assessment for each of the selected processes)

2. An email notification is sent to the process owner, notifying the owner to enter the system and check their Inbox. The email notification includes a link to the system that takes the user to the application log-in page.

3. The process owner opens the Assessment document and completes the following tasks:

    - Assess the design and operating effectiveness of each control, and pass or fail each control within the scope of the assessment.

    - Assess the design and operating effectiveness of each risk, and pass or fail each

risk within the scope of the assessment.

- Assess the operating status and design effectiveness of the process.

- Complete the evaluation by selecting a certification statement from a list. A certification statement also can be entered.

  If the process is certified, the assessment is removed from the process owner's Inbox and sent to the next step in the Assessment workflow. If the process is invalidated, an email is sent to the user who initiated the assessment, notifying them of the reason.

4. If an executive reviewer is specified, an email notification is sent to the reviewer, who is responsible for evaluating the control and risk assessment results, and for certifying or failing the full assessment. The email notification includes a link to the system that takes the user to the application log-in page.

   - If the executive reviewer passes and certifies the assessment, the assessment is removed from the reviewer's inbox and sent to the next step. If there is only one reviewer, the assessment state is changed to Completed and the initiator is notified. The assessment documentation is removed from the workflow.

   - If the reviewer fails the assessment, it is routed back to the process owner for re-assessment. The Assessment workflow ends in an Assessment Rejected state.

5. If a second reviewer is specified, an email notification is sent to the reviewer, who is responsible for evaluating the control and risk assessment results, and for certifying or failing the full assessment. The email notification includes a link to the system that takes the user to the application log-in page.

   - If the reviewer certifies the assessment, its state is changed to Completed and the assessment initiator is notified. The assessment documentation is removed from the Assessment workflow.

   - If the reviewer fails the assessment, it is routed back to the process owner for re-assessment. The Assessment workflow ends in an Assessment Rejected state.

Starting an Assessment

There are two options for starting an assessment of one or more business processes. When you start a assessment you are initiating an Assessment workflow.

Note: For more information on the Assessment workflow refer to Assessment Workflow Overview, page 9-3.

- Starting an Assessment for a Single Process, page 9-6

- Starting an Assessment for Multiple Processes, page 9-8

Starting an Assessment for a Single Process

> **Note:** A business process can be assessed even if some of the controls do not have related risks.

To start an assessment of controls for a single business process, complete the following steps:

1. Open a business process by selecting **Business Processes—Released Processes**, then click the title for a process that contains controls.

   The Process Page, page 5-36 is displayed.

2. Verify that the selected process is in a Released state and that it has a process owner.

3. Click **Initiate Assessment**.

   A confirmation prompt is displayed.

4. Click **Yes**.

   The Management Assessment Cover Page, page 9-24 is displayed in a Prepare state.

5. Enter a title for the Assessment cover document.

6. Specify a Fiscal Period for the assessment (required) on the Basics tab.

7. Specify a Percent Complete for the assessment (required) on the Basics tab.

8. Click **Save**.

   The Management Assessment Page, page 9-27 is displayed.

9. Click **PrepareSelection**.

   A Management Assessment Selection Wizard, page 9-33 is displayed, which you use to specify the assessment types: risks, controls. When you are using the wizard, you can back up steps to change selections if needed, or you can cancel the wizard and return to the assessment cover document.

   > **Note:** The Prepare Selection button is enabled only when the

management assessment cover document is in a Prepare state. If the document tabs are being edited, the button is not displayed.

Assessment fields:

- Type: Design or Operational. Specify one or more assessment types.

- Risks: Specify which risks to include in the assessment The default is all risks in the process. All risks are displayed.

- Control Classifications: Specify which controls are 'In Scope' based on the Yes or No indicator of the field. Select Required, Optional, or Excluded to specify which control classifications to include in the assessment..

- Controls: Specify which controls to include in the assessment. All controls that are related to the risks selected in the previous step are displayed. Controls without related risks are displayed for selection.

  For more information on assessment fields refer to Management Assessment Cover , page 9-24.

10. Click **Save**.

    The Management Assessment Page, page 9-27 for the process is displayed. You can click **Edit** to enable some of the fields on the page to be modified.

11. When you are done entering or modifying information, click **Close**.

    The assessment document is entered into an Assessment workflow and an email is sent to the process owner.

    > **Note:** To view who received an email for an Assessment workflow, select the Timestamps tab for the process. The Current Workflow User value shows the person who received the email notification.

Management Assessment Wizard

Initiate Assessment is enabled from within the Business Process, or from Organization Maps (hierarchy) feature. Management Assessment test support a single business process for testing, except not only does it include control testing, but it also includes the ability to test the process risks and process itself.

> **Note:** The "Initiate Assessment" button can also be selected from Organization maps. When selecting the 'Initiate Assessment' button, a wizard is started to assist with the Management Assessment definition.

In some cases, the wizard page may not have changed, but all pages are included here to follow the steps.

On the preparation wizard, the user selects which controls to include in the assessment. To assist with control selection on this wizard page, a section is provided for the user to specify how they will select (or filter) the controls by the new in scope field; such as, whether to include controls that are "Yes" or "No" for the "Controls In Scope" indicator, or alternatively leave "blank" to indicate all controls. These three options – Yes, No, or 'blank' - are available in the dropdown for the field called "Controls in Scope." The page default for this drop down will be the 'blank' option. For the control Class section, the options include Key, Monitoring, Secondary, and Subordinate. The radio buttons include Required, Optional, and Excluded.

> **Note:** The two sections work together when gathering the necessary controls for the Management Assessment, recognizing both of the rules in these two sections. For example, if the user specifies "yes" for in-scope and "required" for key control classes, but excluded for the other three classes, then only the controls that are key and in-scope are selected. Key controls that are not in scope would be excluded, and all non-key controls would be excluded. The user still has the ability to select any single control for require, optional or excluded in the next step of the wizard. This gives the user significant ability to define the set of controls to be assessed.

Starting an Assessment for Multiple Processes

> **Note:** Business processes must be approved and in the Released state for the Assessment workflow to be initiated. A management assessment can be initiated even when a business process is in another workflow.

To start an assessment of controls for multiple business processes, complete the following steps:

1. Select **Organization—Open** to open a dialog box and select an organization map.

2. Select a folder and double click the folder title to display the list of business processes for that organization unit.

3. Select individual processes by checking the boxes next to each process title, or select all the processes by checking the box at the top of the process list.

4. Click **Initiate Assessment** in the top menu bar.

An Assessment Dialog Box, page 9-22 is displayed.

5. Enter or select information in the screen for filtering the scope of the assessment:

   • Period (fiscal)

   • Type: Operational or Design

   • Risks to Assess: Risk Rating >= n

   • Controls to Assess (and whether they are required, optional, or excluded): Key, Monitoring, Secondary, Subsidiary

6. If a map folder (unit) was selected to include all its processes, instead of a subset of processes in the map folder, then select a radio button for **Yes** or **No** for whether to create assessment covers recursively down the map hierarchy.

7. Select a radio button for **Yes** or **No** for whether to skip the Preparation step in the workflow.

   • If Yes, a Management Assessment Cover Page, page 9-24 will be created for each process and sent to the Management Assessment—Assessment Inbox for each process owner.

   • If No, a Management Assessment Cover Page, page 9-24 will be created for each process and sent to the Management Assessment—Preparation Inbox for each process owner.

8. Click **Yes** to create the assessment cover pages.

   A confirmation prompt is displayed indicating how many assessments have been created (one for each business process).

9. Click **OK**.

   The assessment documents are entered into the Assessment workflow and an email notification is sent to the process owners. The processes are now in an OwnerAssessment state, and the assessment documents are automatically assigned the name of the organization map and a number (in sequential order).

   > **Note:** If you click **Cancel**, the processes are not sent for assessment and the Assessment dialog box is closed.

   > **Note:** If the Assessment workflow did not start, check to see if all the processes are valid (in the Released state) and that they have assigned process owners.

Assessing Process Controls and Risks

When an Assessment workflow is initiated and an assessment cover created, the next stage in the workflow is for the process owner to assess the controls and pass or fail each control, assess the risks for the process and pass or fail each risk, assess the process and pass or fail the process, and ultimately complete or fail the entire assessment. If the assessment is completed successfully, the owner can be required to complete a certification. While the actual assessment is performed the process is in the Owner Assessment state.

> **Note:** Test owners and control owners can be configured to be included in the Assessment workflow, but the default does not include them.

See the following topics:

- Assessing Controls, page 9-10

- Assessing Risks, page 9-11

- Assessing a Process, page 9-12

Assessing Controls

To assess and pass or fail controls included in a management assessment of one or more business processes, follow these steps:

1. Select **My Inbox** or **Management Assessment—Assessments Inbox** to see a list of assessments assigned to you.

2. Select the title of an assessment and open it.

   The Management Assessment Page, page 9-27 is displayed.

3. Select the Management Assessment Controls Tab, page 9-36 to view the controls to assess.

4. Click a button to perform the type of assessment for each control as specified on the Controls tab: Design, Operational. When you click a button, one of the following pages is displayed based on the type of assessment: Control Design Assessment Page, page 9-40 or Control Operating Assessment Page, page 9-44.

5. Complete an assessment for a control and click **Save**.

   > **Note:** If the Auto Monitoring feature is enabled, you can click the <Auto Monitoring> button to open a browser with a pre-defined

URL The default name of the button is Auto Monitoring, but the name can be customized.

- If the control passes the assessment, the results of an assessment are displayed in the Results pages for the type of assessment, and a summary is displayed in the Controls tab of the Management Assessment page. See the Control Design , page 9-42 and the Control Operating Assessment Results Page, page 9-46.

- If the control fails the assessment, an Issue Page, page 11-18 is displayed. Enter information in the Issue definition page and save it; you will be returned to the assessment page for the control. For more information on creating an issue refer to Creating Issues, page 11-3. See also Failing an Assessment, page 9-13.

6. When you have finished assessing all required documentation, which include controls, and can include Assessing Risks, page 9-11 and Assessing a Process, page 9-12, click **Completed Assessments**.

    When all assessments are completed, you must certify the assessment results. See Certifying Assessment Results, page 9-13 for the procedure.

Assessing Risks

To assess and pass or fail risks included in a management assessment of one or more business processes, follow these steps:

1. Select **My Inbox** or **Management Assessments—Assessments Inbox** to see a list of assessments assigned to you.

2. Select the title of an assessment and open it.

    The Management Assessment Page, page 9-27 is displayed.

3. Select the Management Assessment Risks Tab, page 9-37 to view the risks to assess.

4. Click a button to perform the type of assessment for each risk as specified on the Risks tab: Design, Operational. When you click a button, one of the following pages is displayed: Risk Design Assessment Page, page 9-48 or Risk Operating Assessment Page, page 9-51.

5. Complete an assessment for a risk and click **Save**.

- If the risk passes the assessment, the results of an assessment are displayed in the Results page for the type of assessment, and a summary is displayed in the Risks tab of the Management Assessment page. See the Risk Design Assessment Results , page 9-49 and Risk Operating Assessment Results Page, page 9-52.

- If the risk fails the assessment, no issue is created. Issues are only created for controls. See Failing an Assessment, page 9-13.

6. When you have finished assessing all required documentation, which include Assessing , page 9-10, and can include Assessing a Process, page 9-12, click **Completed Assessments**.

   When all assessments are completed, you must certify the assessment results. See Certifying Assessment Results, page 9-13 for the procedure.

Assessing a Process

To assess and pass or fail a business process in an Assessment workflow, follow these steps:

1. Select **My Inbox** or **Management Assessments—Assessments Inbox** to see a list of assessments assigned to you.

2. Select the title of an assessment and open it.

   The Management Assessment Page, page 9-27 is displayed.

3. Select the Management Assessment Risks Tab, page 9-37 to view the process to assess.

4. Click a button to perform the type of assessment for the process as specified on the Process tab: Design, Operational. When you click a button, one of the following pages is displayed: Process Design Assessment Page, page 9-54 or Process Operating Assessment Page, page 9-57.

5. Complete an assessment for the process and click **Save**.
   - If the process passes the assessment, the results of an assessment are displayed in the Results page for the type of assessment, and a summary is displayed in the Risks tab of the Management Assessment page. See the Process Design Assessment , page 9-56 or Process Operating Assessment Results Page, page 9-59.

   - If the process fails the assessment, no issues is displayed. Issues are only created for controls. See Failing an Assessment, page 9-13.

6. When you have finished assessing all required documentation, which include Assessing , page 9-10 and can include Assessing Risks, page 9-11, click **Completed Assessments**.

   When all assessments are completed, you must certify the assessment results. See Certifying Assessment Results, page 9-13 for the procedure.

Failing an Assessment

A user can specify that a process, its controls, or its risks has failed a management assessment while a process is in an Assessment workflow. This can be done when the owner is assessing the process and when the process is being certified by the owner or reviewers.

> **Note:** There is a configuration option that affects whether a failed control assessment automatically creates an issue. This applies to Control Design Assessments and Control Operating Assessments.

- To fail an assessment when it is in the Owner Assessment state, click **Fail Assessment**.

- To fail an assessment when it is being certified, refer to Failing a Certification, page 9-14.

Certifying Assessment Results

After an assessment workflow has moved through preparation and assessment stages, and the results are documented, the next stage in the workflow is for the assessment results to be certified first by the process owner, then by a management assessment reviewer, and finally by an executive management assessment review (if required). When all required participants have certified the management assessment documentation, the assessment documentation is set to a Completed state and removed from the Assessment workflow. The process owner and reviewer (or reviewers) cannot change any of the assessment results documentation.

See the following topics:

- Passing a Certification, page 9-13

- Failing a Certification, page 9-14

Passing a Certification

To review and certify management assessment results, complete the following steps:

1. If you do not already have the Management Assessment Page, page 9-27 open, select **Management Assessment—Review Inbox** to access the assessments assigned to you.

2. Click an assessment title to open the Management Assessment Page, page 9-27.

3. Review the assessment results on the Controls, Risks, and Process tabs.

4. Click **Edit**.

5. Select the Management Assessment Certification Tab, page 9-39.

6. In the appropriate panel for the user, select **Yes** from the menu.

7. Click **Save**.

   • When the process owner certifies an assessment, the Completed Assessments button is enabled. Click **Completed Assessments**, and the management assessment cover document is routed to the first reviewer for certification.

   • When a management assessment reviewer has certified an assessment, the Pass Assessment button is enabled. Click **Pass Assessment**, confirm your choice, and the management assessment cover document is routed to the next reviewer (if assigned) for certification or the assessment is completed.

   When all required participants have certified the management assessment documentation, the assessment documentation is set to a Completed state and removed from the Assessment workflow.

   If any reviewer selects **No**, the assessment has failed. See Failing a Certification, page 9-14.

Failing a Certification

To review and fail to certify management assessment results, complete the following steps:

1. If you do not already have the Management Assessment Page, page 9-27 open, select **Management Assessment—Review Inbox** to access the assessments assigned to you.

2. Click an assessment title to open the Management Assessment Page, page 9-27.

3. Review the assessment results on the Controls and Risks tabs.

4. Click **Edit**.

5. Select the Management Assessment Certification Tab, page 9-39.

6. In the appropriate panel for process owner, reviewer, or executive reviewer, select **No** from the menu.

7. On the Management Assessment Page, page 9-27 click **Fail Assessment**.

   The Issue Page, page 11-18 is displayed.

8. Enter information in the Issue definition page, save it, and close the page. For more information on creating an issue refer to Creating Issues, page 11-3.

The Assessment workflow ends in a Failed state.

Management Assessment Interface

This section contains the following topics:

Management Assessment Tray

The Management Assessment tray provides interface pages to view and manage assessments assigned to a user. If a business process is being assessed or has been assessed, all of the associated text documentation and status can be found via this tray. For additional information refer to About Management Assessment, page 9-2.

Management Assessment Options	Description
Completed Assessments	Displays the Completed Management Assessment , page 9-17 for business process assessment results that have been completed. This view provides an immediate final status for an assessed process. Information includes Period (of time), Title, Doc ID, State, Owner, Release Date, and Current User.
Open Assessments	Displays the Active Management Assessment , page 9-18 for business processes that are in preparation to be assess, or being assessed by process owners, or the assessment results are being reviewed. This view provides an immediate status for the current level of open assessments within the organization. Information includes Period (of time), Title, Doc ID, State, Owner, Release Date, and Current User.
Preparation Inbox	Displays the Preparation Management Assessment , page 9-19 for business processes that are in preparation for being assessed. The preparation state occurs after an assessment is initiated but before the process or processes are being assessed. Information includes Period (of time), Title, Doc ID, State, Owner, Release Date, and Current User.

Management Assessment Options	Description
Assessment Inbox	Displays the Validation Management Assessment , page 9-20 for business processes that are being assessed by process owners before being reviewed. Clicking an active link opens an assessment page. Information includes Period (of time), Title, Doc ID, State, Owner, Release Date, and Current User.
Review Inbox	Displays the Review Management Assessment , page 9-21 for business processes that need to be reviewed after owner assessment. Clicking the active link opens an assessment page. Information includes Period (of time), Title, Doc ID, State, Owner, Release Date, and Current User.

Completed Management Assessment Workflows for <user> Page

The Completed Management Assessment Workflows for <user> page displays a list of assessments that have completed processing through an Assessment workflow. To access this page, select **Management Assessment—Completed Assessments**. For more information refer to Assessment Workflow Overview, page 9-3.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, state, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Title column	Title of an assessment. Each title is a link that will open the Management Assessment Cover Page, page 9-24.
Doc ID column	Document ID number in the content server.

Feature	Description
State column	State of a document in the Assessment workflow.
Owner column	User name of the person assigned as the owner of the business process.
Release Date column	Release date of the assessment.
Current User column	User name of the person currently accessing the assessment.
i button	Click to display a Management Assessment Report for the process. The report summarizes the assessment status and information about risks and controls. The report can be printed.

Active Management Assessment Workflows for <user> Page

The Active Management Assessment Workflows for <user> page displays a list of tests that are active in an Assessment workflow. To access this page, select **Management Assessment—Open Assessments**. For more information refer to Assessment Workflow Overview, page 9-3.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, state, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Title column	Title of the assessment. Each title is a link that will open the Management Assessment Cover Page, page 9-24.

Feature	Description
Doc ID column	Document ID number in the content server.
State column	State of a document in the Assessment workflow.
Owner column	User name of the person assigned as the owner of the business process.
Release Date column	Release date of the assessment document.
Current User column	User name of the person currently assigned the assessment.
i button	Click to display a Management Assessment Report for the process. The report summarizes the assessment status and information about risks and controls. The report can be printed.

Preparation Management Assessment Workflows for <user> Page

The Preparation Management Assessment Workflows for <user> page displays information about business processes that are in the preparation stage before assessment. In the preparation stage the assessment cover can be modified to add or remove controls. To access this page, select **Management Assessment—Preparation Inbox**. For more information refer to Assessment Workflow Overview, page 9-3.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, state, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).

Feature	Description
Title column	Title of a test. Each title is a link that will open the Management Assessment Cover Page, page 9-24.
Doc ID column	Document ID number in the content server.
State column	State of a document in the Assessment workflow.
Owner column	User name of the person assigned as the owner of the business process.
Release Date column	Release date of the assessment.
Current User column	User name of the person currently accessing the assessment.
i button	Click to display a Management Assessment Report for the process. The report summarizes the assessment status and information about risks and controls. The report can be printed.

Validation Management Assessment Workflows for <user> Page

The Validate Management Assessments for <user> page displays a list of assessments that are active and in an Owner Assessment state in an Assessment workflow. To access this page, select **Management Assessment—Assessment Inbox**. For more information refer to Assessment Workflow Overview, page 9-3.

Feature	Description
Show Filters button	Eands the page to display fields to specify criteria for filtering the list. Criteria fields include title, state, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.

Feature	Description
Period column	Fiscal period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Title column	Title of the assessment. Each title is a link that will open the Management Assessment Cover Page, page 9-24.
Doc ID column	Document ID number in the content server.
State column	State of a document in the Assessment workflow.
Owner column	User name of the person assigned as the owner of the assessment.
Release Date column	Release date of the business process.
Current User column	User name of the person currently accessing the assessment.
i button	Click to display a Management Assessment Report for the process. The report summarizes the assessment status and information about risks and controls. The report can be printed.

Review Management Assessment Workflows for <user> Page

The Review Management Assessment Workflows for <user> page displays information about business processes that are in the Reviewer stage for an assessment and assigned to the currently active user. To access this page, select **Management Assessment—Review Inbox**. For more information refer to Assessment Workflow Overview, page 9-3 .

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, state, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Title column	Title of the assessment. Each title is a link that will open the Management Assessment Cover Page, page 9-24.
Doc ID column	Document ID number in the content server.
State column	State of a document in the Assessment workflow.
Owner column	User name of the person assigned as the owner of the assessment.
Release Date column	Release date of the business process.
Current User column	User name of the person currently accessing the assessment.
i button	Click to display a Management Assessment Report for the process. The report summarizes the assessment status and information about risks and controls. The report can be printed.

Assessment Dialog Box

When an assessment for multiple business processes is started, a dialog box is displayed for defining assessment parameters for the processes. To access this dialog box, open an organization map, select the desired business processes, then click the Initiate Assessment button. For additional information refer to Starting an Assessment for Multiple Processes, page 4-20.

Feature	Description
Title	Name of the organization map containing the selected business processes to assess.
Period field	Select the year and quarter (one through four) for the period of time the management assessment will cover. The period selections can be customized to list different dates or times, and may not match the examples displayed here.
Assessment Type field	Select the type of management assessment to perform: • Operational: Assess the operating effectiveness of controls, risks, and business process, and pass or fail each within the scope of the assessment. • Design: Assess the design effectiveness of controls, risks, and business process, and pass or fail each within the scope of the assessment.
Controls In Scope	Specify the controls to include in assessment based on In Scope field: • Yes • No • Leave blank to include all controls in assessment
Risks to Assess field	Specify the risks to assess: • All Risks • Risk Rate >= n (where n is a number)

Feature	Description
Controls field	Select the controls to assess and whether they are Required, Optional, or Excluded in the assessment: • Key • Monitoring • Secondary • Subordinate
Skip Prepare Step radio button	Select whether to skip the preparation step in the workflow: **Yes** or **No**. If Yes, the assessment cover is sent directly to the Assessment Inbox of the process owner instead of to the Preparation Inbox.
Recursive check option	Select whether to make the assessment recursive: **Yes** or **No**. Recursive means that assessments are also created for processes in child folders of the selected folder (unit).
Due Date field	Specify a date the assessment is due to be completed.
Yes button	Starts the assessment for the selected process.
No button	Cancels the assessment for the selected process.

Management Assessment Cover Page

The Management Assessment Cover page is used to prepare for an assessment initiated for a business process. To access this page, open a business process that is in a Released state and click the Initiate Assessment button, which displays the cover and the Management Assessment Selection Wizard, page 9-33. The Initiate Assessment button is enabled when a user has permission and the business process is not locked. For more information refer to Starting an Assessment for a Single Process, page 9-6.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Prepare Selection button	Starts the Management Assessment Selection Wizard, page 9-33.
Initiate Assessment button	When the document is in the Prepare state and the Selection Wizard has been completed, this button is enabled. It starts the Assessment workflow.
Cancel Assessment button	Cancels the Assessment workflow.
Organization field	Name of the organization to which the process is associated.
Process field	Name of the business process.
Title field	Name for the assessment.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is released.
Version field	Number of versions of the document. For a Test Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Due Date field	Date the assessment is required to be completed.
Basics tab	

Feature	Description
Period field	Fiscal period for the time the assessment will cover.
	The period selections can be customized to list different dates or times and might not match the examples displayed here.
Assessment Type field	Types of assessment to perform. These are specified using the Management Assessment Selection Wizard, page 9-33.
	• Operational
	• Design
Percent field	Specifies the numeric percentage value for the amount of assessment work that is completed. A value must be entered when a user edits the Assessment page for the first time. After the initial edit, this is a completely optional field.
Process Owner field	Name of the user assigned as the process owner.
Reviewer field	Name of the user assigned as the assessment reviewer for the process.
Executive Reviewer field	Name of the user assigned as the executive assessment reviewer for the process.
CMS Status field	Status of a document in the content server.
Current User field	Name of the user currently assigned the assessment.
Description field	Enter a description of the assessment.
Comments tab	Contains additional comments about the assessment in the Comments field.

Feature	Description
Certification tab	Used to document certification statements from the process owner, review, and executive reviewer that the assessment is correct and accurate, or that the assessment fails. For more information refer to Management Assessment Certification Tab, page 9-39.

Management Assessment Page

The Management Assessment page is used to assess and certify the selected controls, risks, and process specified in the assessment documentation. To access this page, select either **My Inbox**, **Management Assessment—Assessment Inbox**, or **Management Assessment—Review Inbox** to locate and open an assessment that is in an Owner Assessment state or a Reviewer state. For more information refer to About Management Assessments, page 9-2.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Changes the page to Edit state, and enables assessment of risks and related controls.
Save button	Saves the changes to the document.
Cancel button	Cancels changes to the page.
Completed Assessments button	Signals to the Assessment workflow that all assessments are complete and have passed. Enabled when an owner and reviewer has passed an assessment.
Fail Assessment button	Signals to the Assessment workflow that the assessment has failed. Enabled when the document is in Owner Assessment or Reviewer states.

Feature	Description
Pass Assessment button	Signals to the Assessment workflow that the assessment has passed. Enabled when the document is in Reviewer state.
Assessment Steps icons	A check mark in an icon indicates that all tasks for the Assessment step are complete: • Controls (the percent completed also is displayed) • Risks • Process • Certification
Organization field	Name of the organization that contains the business process.
Process field	Name for the business process.
i button	Displays a process in a separate window.
Title field	Name of the assessment document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the repository.
Release Date field	Date and time the document is released.
Version field	Number of versions of the document.
Due Date field	Date the assessment is required to be completed.
Basics tab	

Feature	Description
Period field	Fiscal period for the time the assessment will cover. The period selections can be customized to list different dates or times and might not match the examples displayed here.
Assessment Type men	Displays the types of assessment (selected in the Management Assessment Wizard) to perform: • Operational • Design
Percent field	Percentage of the assessment that is completed. Default percentage ranges are from 0 (zero) to 100.
Process Owner field	Name of the user assigned as the process owner.
Reviewer field	Name of the user assigned as the assessment reviewer for the process.
Executive Reviewer field	Name of the user assigned as the executive assessment reviewer for the process.
CMS Status field	Status of a document in the content server.
Current User field	Name of the user currently assigned the assessment.
Description field	Enter a description of the assessment.
Comments tab	
Comments field	Contains additional comments about the assessment.
Controls tab	

Feature	Description
Controls columns and buttons	Lists the controls included in the assessment.Information includes whether a control is required, its control class, title, related control or controls, in scope, method, buttons for the assessment types, results of a design assessment, results of an operational assessment, and release date.
	Click a Design or Operational button in the same row as a control title to start an assessment for that control.
	Assessment results in the Status Design and Status Ops columns are indicated by icons:
	• Green with a check mark for pass
	• Yellow with an exclamation mark for no opinion
	• Red with a X symbol for fail
	See also Management Assessment Controls Tab, page 9-36.
Risks tab	

Feature	Description
Risks columns and buttons	Lists the risks included in the assessment. Information includes buttons for the design and operational assessment types, risk title, assessment status, document ID, revision number, risk type (in used in the database), and release date.
	Click a Design or Operational button in the same row as a risk title to start an assessment for that risk.
	Assessment results in the Status Design and Status Ops columns are indicated by icons:
	• Green with a check mark for pass
	• Green with a triangle for pass with alternate controls
	• Yellow with an exclamation mark for minor gaps
	• Red with a X symbol for significant deficiency
	See also Management Assessment Risks Tab, page 9-37.
Process tab	

Feature	Description
columns and buttons	Lists the title of the process being assessed, the titles of all relevant risks, the assessment status, the operational status, and the release date. Click a title to access the process or risk documentation. Assessment results are indicated by icons: • Green with a check mark for pass • Green with a triangle for pass with alternate controls • Yellow with an exclamation mark for minor gaps • Red with an X symbol for fail See also Management Assessment Process Tab, page 9-38.
Certification tab	
Certification Statement fields	Documents certification statements from the process owner, review, and executive reviewer that the assessment is correct and accurate, or that the assessment fails. See also Management Assessment , page 9-39.
Attachments tab	
Add Attachment button	Displays the Attachment Screen, page 5-46 for adding attachments to the assessment document.
Add Reference button	Opens the Reference Screen, page 5-47 for adding URL references.
Attachment columns	Attachments Tab, page 5-46.
Issues tab	
Add Issue button	Displays the Issue Page, page 11-18 for adding an issue about the assessment.

Feature	Description
Issues columns	For a description refer to the Issues Tab, page 11-16.
History tab	
History fields	For a description refer to the History Tab, page 5-49.

Management Assessment Selection Wizard

The Management Assessment Selection Wizard is used to select assessment types, risks, controls for a management assessment of a business process. To access the wizard, select a Management Assessment Page, page 9-27, verify that it is in the Prepare state and is not being edited, and click **Prepare Selection**. For more information refer to Starting an Assessment for a Single Process, page B-5.

Feature	Description
Back button	Returns you to the previous wizard screen.
Next button	Displays the next screen in the wizard.
Finish button	When all selections have been completed, the Finish button is enabled. Click to complete the assessment selection and close the wizard.
Cancel button	Cancels the wizard and displays the Management Assessment Page, page 9-27 for the business process.
Assessment Type screen	Specify one or more types of assessment to perform: • Operational • Design

Feature	Description
Test Period field	Specify the fiscal period for the time the assessment will cover. The period selections can be customized to list different dates or times and might not match the examples displayed here.
Due Date field	Enter the date due.
Reviewer field	Assign a user for the Management Assessment reviewer.
Executive Reviewer field	Assign a user for the Management Assessment executive reviewer.
Risks screen	Specify the risks to assess by checking the appropriate boxes. By default, all risks are selected. Information displayed about each risk for a process includes the content identifier, title, significance, likelihood, rating, release date, and related controls.
Control classes screen	Specify which control classes which will required in the assessment: • Key (Default: required) • Monitoring (Default: required) • Secondary (Default: required) • Subordinate (Default: optional)
Controls In Scope screen	Specify which controls are required for the assessment based on the 'In Scope' field: • Yes • No • Leave blank to include all controls in assessment

Feature	Description
Control Assessment scope screen	Specify the scope of the control assessment for each control: required, optional, or excluded.
Finish screen	Indicates that all the required selections have been completed. Click **Finish** to continue with the assessment.

Management Assessment Basics Tab

The Management Assessment Basics tab is available on the Management Assessment Cover Page, page 9-24 and Management Assessment Page, page 9-27. Use it to view basic information for a management assessment.

Feature	Description
Period field	The fiscal period for the time the assessment will cover. The period selections can be customized to list different dates or times and might not match the examples displayed here.
Assessment Type field	The type of assessment to perform: • Operational • Design
Percent Complete field	Percentage of the assessment that is completed. Percentages range from zero to 100.
Process Owner field	Name of the user assigned as the process owner.
Reviewer field	Name of the user assigned as the assessment reviewer for the process.
Executive Reviewer field	Name of the user assigned as the executive assessment reviewer for the process.
CMS Status field	Status of a document in the content server.

Feature	Description
Current User field	Name of the user currently assigned to the assessment.
Description field	Enter a description of the assessment.

Management Assessment Controls Tab

The Controls tab on a Management Assessment Page, page 9-27 is different compared to the standard Controls tab for a business process. Use it to view a list of controls that are being assessed; to perform design and operational assessments; and to view assessment results. For more information refer to Assessing Controls, page 9-10.

Feature	Description
* column	Indicates that a control is a required control.
Class column	Displays the class of a control: • Key • Monitoring • Secondary • Subordinate
Title column	Title of a control document. Clicking the title will open the document.
Related Control(s) column	Title of a control related to the control listed in the same row in the Title column.
In Scope Column	Indicates whether or not the control is in scope for testing. Displays Yes/No information for each of the controls in the business process.
Method	Indicates the way a control mitigates risk, such as whether it is implemented manually or automatically.

Feature	Description
Assess column	Displays a button for each type of assessment:
	• Design
	• Operational
	Click a button to start the assessment. This column is visible depending on user permissions and workflow state. .Moving the cursor over a button will display a text label.
Assessment Result column	Title of a control assessment result document. Click the title to open the document.
	Next to the title is the result shown as an icon:
	• Green with a check mark symbol for pass
	• Yellow with an exclamation mark for no opinion
	• Red with a X symbol for fail
Release Date column	Date the document was last released.

Management Assessment Risks Tab

The Risks tab on a Management Assessment Page, page 9-27 is different compared to the standard Risks tab for a business process. Use it to view a list of risks that are being assessed; to initiate design and operational assessments; and to view assessment results. For more information refer to Assessing Risks, page 9-11.

Feature	Description
* column	Indicates that a risk is a required risk.
Risk Information column	Title of a risk that has related controls. Click the title to open the document.

Feature	Description
Class column	Displays the class of a control: • Key • Monitoring • Secondary • Subordinate
Control Information column	Title of a control related to a risk. Click the title to open the document.
Assess column	Displays a button for each type of assessment: • Design • Operational Click a button to start the assessment. Moving the cursor over a button will display a text label.
Assessment Result column	Title of an assessment results document. Click the title to open the document. Next to the title is the result shown as an icon: • Green with a check mark for pass • Green with a triangle for pass with alternate controls • Yellow with an exclamation mark for minor gaps • Red with a X symbol for fail
Release Date column	Date the document was last released.

Management Assessment Process Tab

The Process tab on a Management Assessment Page, page 9-27 is used to perform a

design and operational assessment of a business process. You can use the title links to access the process and its risks. The Process tab also displays a status summary of design and operational assessments for the process risks. For more information refer to Assessing a Process, page 9-12. The process controls must be assessed before the assessment buttons for a process assessment are displayed on the Process tab.

Feature	Description
* column	Indicates that a risk is a required risk.
Title column	Title of the business process being assessed. Click the title to open the document.
Risk Information column	Title of each risk document for the business process. Click the title to open the document.
Assess column	Displays a button for each type of assessment: Design, Operational. Click a button to start an assessment of the selected type. Moving the cursor over a button will display a text label.
Assessment Result column	The title of an assessment result document. Click the title to open the document. Next to the title is the result shown as an icon: • Green with a check mark for pass • Green with a triangle for pass with conditions • Yellow with an exclamation mark for minor gaps • Red with a X symbol for fail
Release Date column	Date the document was last released.

Management Assessment Certification Tab

The Certification tab on a Management Assessment Page, page 9-27 is used by reviewers to certify management assessment results. For more information refer to Certifying Assessment Results, page 9-13.

Feature	Description
Guidance button	Displays a customized page in a separate window. The page contains information to help reviewers decide about certification for a process.
Certification Statement of Process Owner	
Answer menu	Is the certification statement accepted? Select Yes or No from the menu.
Comments field	Comments about the certification statement.
Certification Statement of Reviewer	
Answer menu	Is the certification statement accepted? Select Yes or No from the menu.
Comments field	Comments about the certification statement.
Certification Statement of Executive Reviewer	
Answer menu	Is the certification statement accepted? Select Yes or No from the menu.
Comments field	Comments about the certification statement.

Control Design Assessment Page

The Control Design Assessment Page enables you to assess the design effectiveness of controls specified in the Management Assessment Page, page 9-27. To access this page open a Management Assessment page, select the Controls tab, then click the Design button (or the Assess button in the Assess column) for a control title. Access to this screen depends on user permissions and workflow state. After assessment has completed the Prepare state, and the assigned user to assess is logged in, the Assess column will be displayed. For more information refer to Assessing Controls, page 9-10.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
<Auto Monitoring> button	If enabled, opens a browser to a pre-defined URL. The default name for this button is Auto Monitoring, but the name can be customized.
Organization field	Name of the organization with which the control is associated.
Process field	Organization path and title for the control being assessed.
Title field	Name of the control assessment results.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an Assessment Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Guidance button	Displays a customized page in a separate window, which provides guidance for completing the design assessment.

Feature	Description
Is the control designed effectively to mitigate the risk? field	Select an assessment from the menu: • Yes • No • No opinion
Period field	Fiscal period for the assessment.
Assessment Plan button	Displays a report that contains control information with its associated risks, related control information, test plan, and test instructions. The report can be printed.
Assessment Owner field	User name of the assessment owner.
Description field	Enter a description of the assessment.

Control Design Assessment Results Page

The Control Design Assessment Results Page displays the results of the design effectiveness assessment of a control selected from the Management Assessment Page, page 9-27This page is automatically displayed when a control design assessment is saved. For more information refer to Assessing Controls, page 9-10.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Edit button	Enables you to modify certain fields on the page.
Cancel button	Cancels changes to the page.

Feature	Description
Organization field	Name of the organization with which the control is associated.
Process field	Organization path and title for the control being assessed.
Title field	Name of the control assessment results.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an Assessment Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Is the control designed effectively to mitigate the risk? field	Assessment result: • Yes • No • No opinion
Period field	Fiscal period for the assessment.
Assessment Plan button	Displays a report that contains control information with its associated risks, related control information, test plan, and test instructions. The report can be printed. The report can be printed.
Assessment Owner field	User name of the assessment owner.
Description field	Description of the assessment.

Feature	Description
Instructions tab	Lists the test instructions for the process that contains the control. Information includes the test instructions title, document ID, revision number, state, type, and release date.
Attachments tab	Lists attachments and references to the results document. You can add an attachment or reference. Information includes the attachment document title, description, state, document ID, revision number, release date, and actions to the document.
History tab	Lists history information about the document, including the user who created it, the create date, the user who last modified it, the modification date, the workflow CMS status, CMS revision ID, CMS revision number, current user, who checked out the document, and the workflow initiator.

Control Operating Assessment Page

The Control Operating Assessment Page enables you to assess the operational effectiveness of controls specified in the Management Assessment Page, page 9-27 To access this page open a Management Assessment page, select the Controls tab, then click the Operational button (or the Design button in the Assess column) for a control title. For more information refer to Assessing Controls, page 9-10.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Enables you to modify certain fields on the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.

Feature	Description
<Auto Monitoring> button	If enabled, opens a browser to a pre-defined URL. The default name for this button is Auto Monitoring, but the name can be customized.
Organization field	Name of the organization with which the control is associated.
Process field	Organization path and title for the control being assessed.
Title field	Name of the control being assessed.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an Assessment Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Guidance button	Displays a customized page in a separate window, which provides guidance for completing the operating assessment.
Is the control operating effectively as designed? field	Select an assessment from the menu: • Yes • No • No opinion
Period field	Fiscal period for the assessment.

Feature	Description
Assessment Plan button	Displays a report that contains control information with its associated risks, related control information, test plan, and test instructions. The report can be printed. The report can be printed.
Assessment Owner field	User name of the assessment owner.
Description field	Enter a description of the assessment.

Control Operating Assessment Results Page

The Control Operating Assessment Results Page displays the results of an operational assessment of a control selected from the Management Assessment Page, page 9-27.This page is automatically displayed when a control operating assessment is saved. For more information refer to Assessing Controls, page 9-10.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the control is associated.
Process field	Organization path and title for the control being assessed.
Title field	Name of the control assessment results document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.

Feature	Description
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an Assessment Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Is the control operating effectively as designed? field	Select an assessment from the menu: • Yes • No • No opinion
Period field	Fiscal period for the assessment.
Assessment Plan button	Displays a report that contains control information with its associated risks, related control information, test plan, and test instructions. The report can be printed. The report can be printed.
Assessment Owner field	User name of the assessment owner.
Description field	Description of the assessment.
Instructions tab	Lists the test instructions for the process that contains the control. Information includes the test instructions title, document ID, revision number, state, type, and release date.
Attachments tab	Lists attachments and references to the results document. You can add an attachment or reference. Information includes the attachment document title, description, state, document ID, revision number, release date, and actions to the document.

Feature	Description
History tab	Lists history information about the document, including the user who created it, the create date, the user who last modified it, the modification date, the workflow CMS status, CMS revision ID, CMS revision number, current user, who checked out the document, and the workflow initiator.

Risk Design Assessment Page

The Risk Design Assessment Page enables you to assess the design effectiveness of risks specified in the Management Assessment Page, page 9-27. To access this page open a Management Assessment page, select the Risks tab, then click the Design button (or the Operational button in the Assess column) for a risk title. For more information refer to Assessing Risks, page 9-11.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the risk is associated.
Process field	Organization path and risk title for the risk being assessed.
Title field	You can enter or change the name of the risk assessment when the document is in an Open state.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.

Feature	Description
Release Date field	Date and time the document is released.
Version field	Version number of the document.
Basics tab	
Guidance button	Displays a customized page in a separate window, which provides guidance for completing the design assessment.
Are the controls design effectively to mitigate the risk? field	Select an assessment from the menu: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Enter a description of the assessment.

Risk Design Assessment Results Page

The Risk Design Assessment Results Page displays the results of the design effectiveness assessment of a risk selected from the Management Assessment Page, page 9-27.This page is automatically displayed when a risk design assessment is saved. For more information refer to Assessing Risks, page 9-11.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.

Feature	Description
Edit button	Enables user to modify certain fields on the page.
Organization field	Name of the organization with which the risk is associated.
Process field	Organization path and title for the risk being assessed.
Title field	Name of the risk assessment results document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Version number of the document.
Basics tab	
Are the controls design effectively to mitigate the risk? field	The assessment result: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Description of the assessment.

Feature	Description
Attachments tab	Lists attachments and references to the results document. You can add an attachment or reference. Information includes the attachment document title, description, state, document ID, revision number, release date, and actions to the document.
History tab	Lists history information about the document, including the user who created it, the create date, the user who last modified it, the modification date, the workflow CMS status, CMS revision ID, CMS revision number, current user, who checked out the document, and the workflow initiator.

Risk Operating Assessment Page

The Risk Operating Assessment Page enables you to assess the operational effectiveness of risks specified in the Management Assessment Page, page 9-27. To access this page open a Management Assessment page, select the Risks tab, then click the Operational button (or the Design button in the Assess column) for a risk title. For more information refer to Assessing Risks, page 9-11.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the risk is associated.
Process field	Organization path and title for the risk being assessed.
Title field	Name of the risk assessment document.

Feature	Description
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an Assessment Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Guidance button	Displays a customized page in a separate window, which provides guidance for completing the operating assessment.
Are the controls operating effectively to mitigate the risk? field	Select an assessment from the menu: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Enter a description of the assessment.

Risk Operating Assessment Results Page

The Risk Operating Assessment Results Page displays the results of an operational effectiveness assessment of a risk selected from the Management Assessment Page, page 9-27.This page is automatically displayed when a risk operating assessment is saved. For more information refer to Assessing Risks, page 9-11.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Enables user to modify certain fields on the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the risk is associated.
Process field	Organization path and title for the risk being assessed.
Title field	Name of the risk assessment results document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an Assessment cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	

Feature	Description
Are the controls operating effectively to mitigate the risk? field	Result of the assessment: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Description of the assessment.
Attachments tab	Lists attachments and references to the results document. You can add an attachment or reference. Information includes the attachment document title, description, state, document ID, revision number, release date, and actions to the document.
History tab	Lists history information about the document, including the user who created it, the create date, the user who last modified it, the modification date, the workflow CMS status, CMS revision ID, CMS revision number, current user, who checked out the document, and the workflow initiator.

Process Design Assessment Page

The Process Design Assessment Page enables you to assess the design effectiveness of the process specified in the Management Assessment Page, page 9-27 To access this page open a Management Assessment page, select the Process tab, then click the Design button (or the Operational button in the Assess column) for the process title. For more information refer to Assessing a Process, page 9-12.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the process is associated.
Process field	Organization path and process title for the process being assessed.
Title field	Name of the process assessment document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Version number of the document.
Basics tab	
Guidance button	Displays a customized page in a separate window, which provides guidance for completing the design assessment.
Is the control environment for this process designed sufficiently to mitigate process risks?	Select an assessment from the menu: - Meets Guidance - Meets Guidance with Alternate Controls - Minor Gaps - Significant Gaps
Period field	Fiscal period for the assessment.

Feature	Description
Assessment Owner field	User name of the assessment owner.
Description field	Enter a description of the assessment.

Process Design Assessment Results Page

The Process Design Assessment Results Page displays the results of the design effectiveness assessment of a process selected from the Management Assessment Page, page 9-27. This page is automatically displayed when a process design assessment is saved. For more information refer to Assessing a Process, page 9-12.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Enables user to modify certain fields on the page.
Organization field	Name of the organization with which the process is associated.
Process field	Organization path and process title for the process being assessed.
Title field	Name of the process assessment results document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Version number of the document.
Basics tab	

Feature	Description
Is the control environment for this process designed sufficiently to mitigate process risks?	The assessment result: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Description of the assessment.
Attachments tab	Lists attachments and references to the results document. You can add an attachment or reference. Information includes the attachment document title, description, state, document ID, revision number, release date, and actions to the document.
History tab	Lists history information about the document, including the user who created it, the create date, the user who last modified it, the modification date, the workflow CMS status, CMS revision ID, CMS revision number, current user, who checked out the document, and the workflow initiator.

Process Operating Assessment Page

ocess Operating Assessment Page enables you to assess the operational effectiveness of a process specified in the Management Assessment Page, page 9-27. To access this page open a Management Assessment page, select the Process tab, then click the Operational button (or the Design button in the Assess column) for a process title. For more information refer to Assessing a Process, page 9-12.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the process is associated.
Process field	Organization path and process title for the process being assessed.
Title field	Name of the process assessment document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an assessment cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Guidance button	Displays a customized page in a separate window, which provides guidance for completing the operating assessment.

Feature	Description
Is the control environment for this process operating effectively to mitigate process risks?	Select an assessment from the menu: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Enter a description of the assessment.

Process Operating Assessment Results Page

The Process Operating Assessment Results Page displays the results of an operational effectiveness assessment of a process selected from the Management Assessment Page, page 9-27.This page is automatically displayed when a process operating assessment is saved. For more information refer to Assessing a Process, page 9-12.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Enables user to modify certain fields on the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization with which the process is associated.

Feature	Description
Process field	Organization path and process title for the process being assessed.
Title field	Name of the process assessment results document.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date the document is released.
Version field	Number of versions of the document. For an assessment cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.
Basics tab	
Is the control environment for this process operating effectively to mitigate process risks?	The assessment result: • Meets Guidance • Meets Guidance with Alternate Controls • Minor Gaps • Significant Gaps
Period field	Fiscal period for the assessment.
Assessment Owner field	User name of the assessment owner.
Description field	Description of the assessment.

Feature	Description
Attachments tab	Lists attachments and references to the results document. You can add an attachment or reference. Information includes the attachment document title, description, state, document ID, revision number, release date, and actions to the document.
History tab	Lists history information about the document, including the user who created it, the create date, the user who last modified it, the modification date, the workflow CMS status, CMS revision ID, CMS revision number, current user, who checked out the document, and the workflow initiator.

10

Audit Testing and Test Plans

This chapter covers the following topics:

- About Audit Tests and Test Plans

- Adding a Test Plan

- Revising a Test Plan

- Retiring a Test Plan

- Initiating an Audit Test From a Test Plan

- Initiating an Audit Test of Controls

- Audit Testing Interface

- Audit Testing Tray

- Completed Testing Workflows for <user> Page

- Active Testing Workflows for <user> Page

- Preparation Workflows for <user> Page

- Validation Workflows for <user> Page

- Active Eval Workflows for <user> Page

- Control Evaluation Page

- Control Selection Screen

- Control Evaluation: Test Cover Page

- Test Plans Interface

- Test Plans Tray

- Test Plans for <user> Page

- Test Plans for <user> in State: Retired

- Test Plan Page

- Test Plan: <name> Page

- In Scope Testing

About Audit Tests and Test Plans

Compared to managing business process testing, in which users test the controls in an individual business process, audit testing and test plans focus on testing groups of controls collected from multiple business processes. Users who need to examine multiple controls can do so without being limited to one business process per test.

Direct control testing can be managed through two features in the GRC Manager application: the Audit Testing tray and the Test Plans tray. The Audit Testing tray provides options for creating and initiating individual tests of controls from multiple business processes, and for managing the progress of the workflows and the test results. The Test Plans tray provides options for specifying groups of controls from multiple business processes and creating test plans to test the control groups. Test plans are useful in that they can be re-used, such as for testing a certain control group on a regular basis.

Adding a Test Plan

A test plan gathers one or more controls from one or more business processes to be tested as a group of controls. A test plan is a separate document type, and it references control documents without referencing a specific revision of each control.

To create a new test plan complete the following steps:

1. Log in as a user with authority to create test plans.

2. Select **Test Plans—New Test Plan** in the application navigation panel.

   The Test Plan Page, page 10-19 is displayed.

3. Enter a title for the test plan in the Title field.

4. On the Basics tab enter a description for the test plan.

5. On the Comments tab enter any comments regarding the test plan.

6. On the Controls tab click the Add Control button.

   The Control Selection Screen, page 10-14 is displayed.

7. Search and select controls to be included in the test plan.

8. Click **OK**.

   The controls are added to the list on the Controls tab.

Note: To remove a control from the test plan, click the Remove button on the far right side of the control row.

9. Click **Save**.

The test plan is created and anTvailable for use.

Revising a Test Plan

To revise an existing test plan complete the following steps:

1. Log in as a user with authority to edit test plans.

2. Select **Test Plans—All Test Plans** from the application navigation panel.

   A list of all test plans is displayed.

3. Click the title of the test plan to modify.

   The Test Plan Page, page 10-19 is displayed with the Basics, Comments, Controls, and Attachments tabs enabled.

4. Click **Edit**.

5. Modify any of the following items:

   • The test plan title.

   • On the Basics tabs, the user names for owner assignments and the description.

   • On the Comments tab, the comments about the test plan.

   • On the Attachments tab, add or remove attachment files.

6. To modify the controls in the test plan, select the Controls tab.

   The list of controls currently grouped in the test plan is displayed.

7. To remove controls, click **Remove** next to the desired controls in the list.

8. To add controls, do the following:

   1. Click **Add Controls**.

      The Control Selection Screen, page 10-14 is displayed with the filter criteria fields enabled.

2. Specify filter criteria and click **Apply Filter**.

   A list of available controls is displayed.

   3. Add controls by selecting the check boxes next to the desired controls.

   4. Click **OK**.

9. When changes are complete, click **Save**.

Retiring a Test Plan

To retire an existing test plan complete the following steps:

1. Log in as a user with authority to edit test plans.

2. Select **Test Plans—All Test Plans** from the application navigation panel.

   A list of all test plans is displayed.

3. Click the title of the test plan to retire.

   The Test Plan Page, page 10-19 is displayed.

4. Click **Retire**.

   The test plan is retired from use.

Initiating an Audit Test From a Test Plan

To test controls identified in a test plan, complete the following steps:

1. Log in as a user with authority to use test plans.

2. Select **Test Plan—All Test Plans** from the application navigation panel.

   A list of all test plans is displayed.

3. You can use the Show Filters button to specify criteria that will reduce the number of control groups listed. Criteria include test plan title and test plan owner.

4. Click the title for the test plan.

   The Test Plan Page, page 10-19 is displayed.

5. Click **Initiate Testing**.

   A confirmation prompt is displayed.

6. Click **Yes**.

The Control Evaluation: Test Cover Page, page 10-15 is displayed.

7. On the Basics tab do the following:

   • Select the test owner by clicking the Info icon and selecting a valid user name.

   • In the Description field enter a description of the test.

   > **Note:** The more information that is completed on the Test Plan document, the easier it is to start the Control Evaluation, because the control group, approval assignments, etc. get copied to initialize the new Control Evaluation.

8. On the Comments tab enter any relevant comments about the test.

9. On the Controls tab, verify the control group population to be tested. If you want to modify the list, see Revising a Test Plan, page 10-3.

   > **Note:** The revision of each control document to be tested is the most recently released version of each control in the test plan.

10. Click **Save**.

   The test cover is saved and entered into the Testing workflow.

Initiating an Audit Test of Controls

To start an audit test of controls, complete the following steps:

1. Log in as a user with authority to initiate an audit test.

2. Select **Audit Testing—Initiate Test** from the application navigation panel.

   The Control Evaluation: Test Cover Page, page 10-15 is displayed.

3. Enter a title for the test plan cover.

4. Select the Basics tab and do the following:

   1. Specify the test owner by clicking the Info icon next to the test owner field to display a Directory Search Screen, page 5-44 and selecting a user name.

   2. In the Description field enter a description of the test.

5. Select the Comments tab and enter any relevant comments about the test in the Comments field.

6.   Select the Controls tab and click **Add Controls**.

     The Control Selection Screen, page 10-14 is displayed with the filter criteria fields
     enabled.

7.   Specify filter criteria and click **Apply Filter**.

     A list of controls is displayed.

8.   Select the check boxes next to the desired controls.

9.   Click **OK**.

10. When changes are complete, click **Save**.

     The test cover is saved and entered into the Testing workflow.

> **Note:** The more information that is completed on the Test Plan
> document, the easier it is to start the Control Evaluation (Audit Test)
> because the control group, approval assignments, etc. get copied to
> initialize the new Control Evaluation.

Audit Testing Interface

This section contains the following topics:

- Audit Testing Tray, page 10-6

- Completed Testing Workflows for <user> Page, page 10-8

- Active Testing Workflows for <user> Page, page 10-9

- Preparation Workflows for <user> Page, page 10-10

- Validation Workflows for <user> Page, page 10-11

- Active Eval Workflows for <user> Page, page 10-12

- Control Evaluation Page, page 10-13

- Control Selection Screen, page 10-14

- Control Evaluation: Test Cover Page, page 10-15

Audit Testing Tray

The Audit Testing tray provides links to information about tests on groups of controls

from multiple business processes. It also provides access to inboxes for a user to prepare and validate tests, and access to a link to initiate a test. For more information refer to About Audit Tests and Test Plans, page 10-2.

Control Testing Options	Description
Completed Tests	Displays the status of control tests that have completed the Testing workflow. Information includes period, control title, document ID, status, control owner, control tester, release date, and current user. The Show Filters button can be used to select filter criteria for limiting the number of control tests listed.
Open Tests	Displays the status of control tests that are being actively tested or the results are being evaluated. This view provides an immediate status for the current level of control testing within the organization. Information includes period, control title, document ID, state, control owner, control tester, release date, and current user. The Show Filters button can be used to select filter criteria for limiting the number of control tests listed.
Preparation Inbox	Displays control tests that are in preparation (being modified) before used in active testing. The preparation state occurs after a control test is initiated but before it is validated. Information includes period, control title, document ID, state, test owner, control tester, release date, and current user. The Show Filters button can be used to select filter criteria for limiting the number of control tests listed.
Validation Inbox	Displays controls that need to be validated for accuracy by the user. Clicking on an active link opens a test review page with a link to the control document. Information includes period, control title, document ID, status, test owner, control tester, release date, and current user. The Show Filters button can be used to select filter criteria for limiting the number of control tests listed.

Control Testing Options	Description
Active Tests Inbox	Displays the active Evaluation workflows for control tests that need to be tested by the user. Information includes period, control title, document ID, status, test owner, control tester, release date, and current user.
Initiate Test	Displays the Control Evaluation Page, page 10-13 for specifying a test of controls in multiple business processes.

Completed Testing Workflows for <user> Page

The Completed Testing Workflows for <user> page displays information about completed tests on groups of controls in multiple business processes. To access this page, select **Audit Testing—Completed Tests**.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period specified in the test.
Title column	Title of the test. Each title is a link that will open the Control Evaluation Page, page 10-13 .
Doc ID column	Document ID number in the content server.
State column	State of the control test.
Owner column	User name of the person assigned as the owner of the test plan.
Tester column	User name of the person assigned as the tester for the test plan.

Feature	Description
Release Date column	Date the test document was completed. The date is displayed when the controls in a test plan have been completely tested.
Info icon	Displays a Control Report for the test plan.

Active Testing Workflows for <user> Page

The Active Testing Workflows for <user> page displays information about active and completed test covers for groups of controls in multiple business processes. To access this page, select **Audit Testing—Open Tests Inbox**.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period specified in the test.
Title column	Title of the test. Each title is a link that will open the Control Evaluation: Test Cover Page, page 10-15.
Doc ID column	Document ID number in the content server.
State column	State of the control test.
Owner column	User name of the person assigned as the owner of the test plan.
Tester column	User name of the person assigned as the tester for the test plan.
Release Date column	Date the test documentation was completed. The date is displayed when the controls in a test plan have been completely tested.

Feature	Description
Current User column	User name of the person currently accessing the test.
Info icon	Displays a Control Report for the test plan.

Preparation Workflows for <user> Page

The Preparation Workflows for <user> page displays information about control group tests that are in the preparation stage before testing. In the preparation stage the test cover can be modified to add or remove controls. To access this page, select **Audit Testing—Preparation Inbox**.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period specified in the test.
Title column	Title of the test. Each title is a link that will open the Control Evaluation: Test Cover Page, page 10-15.
Doc ID column	Document ID number in the content server.
State column	State of the workflow.
Owner column	User name of the person assigned as the owner of the test.
Tester column	User name of the person assigned as the tester for the test.
Release Date column	Release date of the test.

Feature	Description
Current User column	User name of the person currently accessing the test.
Info icon	Displays a Control Report for the test plan.

Validation Workflows for <user> Page

The Validation Workflows for <user> page displays information about control group tests that are in the validation stage before testing. In the validation stage the test cover can be reviewed to verify that it is accurate for the test. To access this page, select **Audit Testing—Validation Inbox**.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period specified in the test.
Title column	Title of the test. Each title is a link that will open the Control Evaluation: Test Cover Page, page 10-15.
Doc ID column	Document ID number in the content server.
State column	State of the control test.
Owner column	User name of the person assigned as the owner of the test plan.
Tester column	User name of the person assigned as the tester for the test plan.
Release Date column	Release date of the test. The date is displayed when the controls in the test plan have been completely tested.

Feature	Description
Current User column	User name of the person currently accessing the test.
Info icon	Displays a Control Report for the test plan.

Active Eval Workflows for <user> Page

The Active Eval Workflows for <user> page displays information about control group tests that are actively being tested. To access this page, select **Audit Testing—Active Tests Inbox**.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	Fiscal period specified in the test.
Title column	Title of the test. Each title is a link that will open the Control Evaluation: Test Cover Page, page 10-15.
Doc ID column	Document ID number in the content server.
State column	State of the controls test.
Owner column	User name of the person assigned as the owner of the test plan.
Tester column	User name of the person assigned as the tester for the test plan.
Release Date column	Release date of the test cover. The date is displayed when the controls in the test plan have been completely tested.

Feature	Description
Info icon	Displays a Control Report for the test plan.

Control Evaluation Page

The Control Evaluation page is used to create a new test for controls in multiple business processes. To access this page, either select **Audit Testing—Initiate Test**, or select **Test Plans—New Test Plan** then create a test plan cover and click **Initiate Testing**.

Feature	Description
Close button	Closes the page without any other action.
Save button	Saves the settings on the page.
Cancel button	Cancels the control selection and closes the screen.
Title field	Title of the control evaluation.
State field	Current state of the control evaluation.
ID field	Document ID number in the content server
Release Date field	Release date of the control evaluation.
Version field	Version number of the control evaluation.
Basics tab	
Period menu	Select a fiscal period for the control evaluation.
Owner field	Enter a user name for the person to own the control evaluation. Clicking the Info icon will display a Directory Search screen for finding a user by first or last name. The owner of the control evaluation will be assigned ownership of issues if they are created.

Feature	Description
Tester field	Enter a user name for the person to test the controls. Clicking the Info icon will display a Directory Search screen for finding a user by first or last name.
Description field	Enter a description of the control evaluation.
Comments tab	Enter any relevant comments in the Comments field on the Comments tab.
Controls tab	Lists groups of controls for testing. Clicking **Add Control** displays the Control Selection Screen, page 10-14 for selecting individual controls to include in the control evaluation. For more information refer to Controls Tab, page 7-11

Control Selection Screen

The Control Selection screen is used to select controls to be included in a control evaluation or test plan. To access this page, click the Add Control button on the Control Evaluation , page 10-13 or Test Plan Page, page 10-19.

Control Group Features	Descriptions
OK button	Processes the selected controls and adds them to the test.
Cancel button	Cancels the control selection and closes the screen.
Class field	Select Key, Monitoring, Secondary or Subordinate.
Organization field	Select the information button to choose an Organization map.
Control Title field	Specify a control title for filter criteria.

Control Group Features	Descriptions
Audit Cycle field	Select the information button to choose an Audit Cycle.
Process Title field	Specify a business process title for filter criteria.
In Scope field	Specify if you want to include only those controls that are in or out of scope for testing.
Sort By field	Specify which of the above fields you wish to sort your search results by, then choose Ascending or Descending.
Apply Filter button	Displays a list of controls that match the filter criteria. List information includes the control title, business process title, organization path, and accounting cycle.
Clear Filter button	Clears the fields of entered information.

Control Evaluation: Test Cover Page

The Control Evaluation: Test Cover Page is used to specify information for testing controls that have been specified in the Control Evaluation Page, page 10-13. To access this page, select the Audit Testing tray, click the Initiate Test link, then create and save the test. The Control Evaluation Test Cover page will be displayed. This page can also be accessed by selecting the **Test Plans —New Test Pla**n, then creating and saving the test plan, and initiating the test.

Control Evaluation: Test Cover Features	Description
Close button	Closes the page without any other action.
Edit button	Enables editing of the fields in the tabs on the page
Initiate Testing button	Starts the Testing workflow using the test cover page.

Control Evaluation: Test Cover Features	Description
Invalid Controls	Displays a confirmation screen for rejecting the controls included in the test. Click **Yes** or **Cancel**. If "Yes" is clicked, the test is canceled. An issue will be generated and the test status will be updated to "Failed."
Title field	Title of the test cover.
State field	Current state of the test cover.
ID field	Document ID number in the content server.
Release Date field	Release date of the test cover document.
Version field	Version number of the test cover.
Basics tab	Enter information for the following: • Fiscal period for the test. • Control Report button for displaying a summary of the controls included in the test. • User names for Assignments for test owner and tester. • A description of the test in the Description field.
Comments tab	Enter any relevant comments in the Comments field.
Controls tab	Lists the controls specified in the Control Evaluation page. If the page is in Edit mode, the Add Control button is enabled for adding more controls. Clicking **Add Control** displays the Control Selection Screen, page 10-14 for selecting controls. For more information refer to Controls Tab, page 7-11.

Control Evaluation: Test Cover Features	Description
Attachments tab	Add relevant additional documents to the test cover by clicking **Add Attachments**. This displays a screen for searching and specifying file attachments. For more information refer to Attachments Tab, page 5-46.
Issues tab	The Add Issue button is always enabled for adding an issue. For more information refer to Issue Page, page 11-18.
History tab	Displays historical information about the test, including date created, date modified, and workflow status. For more information refer to History Tab, page 5-49.

Test Plans Interface

This section describes the interface for managing Test Plans:

- Test Plans Tray, page 10-17

- Test Plans for <user> Page, page 10-18

- Test Plans for <user> Page, page 10-19

- Test Plan Page, page 10-19

- Test Plan:Page, page 10-19

Test Plans Tray

The Test Plans tray provides options for viewing current and retired test plans. It also provides access to creating a new test plan and test cover (evaluation form). For more information refer to About Audit Tests and Test Plans, page 10-2.

Test Plans Options	Description
All Test Plans	Displays a list of test plans. Information for each test plan includes the test plan title, document ID, current status, and test plan owner. The Show Filters button enables users to filter the list of test plans by title and by owner.
Retired Test Plans	Displays a list of retired test plans. Information for each retired test plan includes the test plan title, document ID, current status, and test plan owner. The Show Filters button enables users to filter the list of test plans by title and by owner.
New Test Plan	Displays a Test Plan Page, page 10-19 for creating a new test plan and specifying the controls to be tested. The controls can be in multiple business processes.

Test Plans for <user> Page

The Test Plans for <user> page is used to view and access all active test plans for testing groups of controls. To access this page, select All Test Plans from the Test Plans tray.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Title column	Title of a test plan. Each title is a link that will open the Test Plan: Page, page 10-19.
Doc ID column	Document ID number in the content server.
State column	State of a test plan document.

Feature	Description
Owner column	User name of the person assigned as the owner of a test plan.

Test Plans for <user> in State: Retired

The Test Plans for <user> in State: Retired page is used to view all retired test plans. To access this page, select Retired Test Plans from the Test Plans tray.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Title column	Title of a retired test plan. Each title is a link that will open the Test Plan Page, page 10-19.
Doc ID column	Document ID number in the content server.
State column	State of a test plan document.
Owner column	User name of the person assigned as the owner of a test plan.

Test Plan Page

The Test Plan page is used to create a new test plan for testing a group of controls from multiple business processes. To access this page, select New Test Plan from the Test Plans tray. For more information refer to Adding a Test Plan, page 10-2.

Test Plan Features	Descriptions
Close button	Closes the page without changes to any information.

Test Plan Features	Descriptions
Save button	Saves the test plan.
Cancel button	Cancels the test plan selections and closes the page.
Title field	Specify a title for the test plan.
State field	Current state of the test plan document.
ID field	Document ID assigned to the test plan when it is saved in the content server.
Basics tab	
Owner field	Enter a user name for the person to own the test plan. Clicking the Info icon will display a Directory Search screen for finding a user by first or last name.
Tester field	Enter a user name for the person to test controls according to the test plan. Clicking the Info icon will display a Directory Search screen for finding a user by first or last name.
Description field	Enter a description of the test.
Comments tab	Enter any relevant comments about the test plan in the Comments field.
Controls tab	Enter or modify information about controls to be used in the test plan. Clicking **Add Control** displays the Control , page 10-14 for selecting individual controls to include in the test plan. For information about the Controls tab refer to Controls Tab, page 7-11.

Test Plan: <name> Page

The Test Plan: <name> page is used to edit an existing test plan that is in an Active state. To access this page, select All Test Plans from the Test Plans tray, then click the title of a test plan listed in the Active Test Plans for <user> Page.

Test Plan Features	Descriptions
Close button	Closes the page without changes to any information.
Edit button	Enables the Test Plan page to be edited.
Initiate Testing button	Creates a Test Plan Cover document from the information in the Test Plan and starts it in the Prepare state in a Testing workflow.
Remove Retired Controls button	Update the list of controls in the Test Plan by removing any controls that have been retired.
	When a control is retired from the business process, the list of controls in test plan is not automatically updated by removing the retired control. The "Remove Retired Controls " button allows you to select this option when you know of controls that have been retired since the test plan was defined. When selecting this button, a popup window will provide you with a list of controls being removed due to retirement, then click OK to continue.
	Note: Even though the 'retired' controls are not dynamically removed from the test plan, the In Scope information – Yes or No indicator – is always dynamically updated with the current information. You do not need to trigger anything because it is always refreshed when accessing the page.
Retire button	Retires the test plan so it can no longer be used as a test plan, but it can be viewed.
Save button	Enabled when the page is in Edit mode. Saves the test plan.
Cancel button	Enabled when the page is in Edit mode. Cancels the test plan selections and closes the page.
Title field	Specify a title for the test plan.

Test Plan Features	Descriptions
State field	Current state of the test plan document.
ID field	Document ID assigned to the test plan when it is saved in the content server.
Basics tab	
Owner field	User name for the person who owns the test plan. Clicking the Info icon will display a Directory Search screen for finding a user by first or last name.
Tester field	User name for the person who tests controls according to the test plan. Clicking the Info icon will display a Directory Search screen for finding a user by first or last name.
Description field	Enter a description of the test.
Comments tab	Enter any relevant comments about the test plan in the Comments field on the Comments tab.
Controls tab	Lists controls. If the page is in Edit mode, the Add Control button is enabled for adding more controls. Clicking **Add Control** displays the Control Selection , page 10-14 for selecting individual controls to include in the test plan. For more information refer to Controls Tab, page 7-11.
Attachments tab	Lists attachments and enables user to add attachments. For more information refer to Attachments Tab, page 5-46.

In Scope Testing

When defining the test/audit plans, select the "Add Controls" button.

After selecting the "Add Controls" button, the control selection page requires user action and changes are required. On this control selection page, select the 'Controls In Scope' option. This filter option will default to 'blank', with additional options of Yes and No. The 'blank' allows you to see ALL controls to select from. Since the 'Controls In

Scope' filter may be important to decision making around which controls to include in the test, a column called "In Scope" is shown in the grid/table below the filter section.

After selecting the controls to include in the test, you are able to see the controls on the Control tab, additionally you see a column called "In Scope". The column is intended to provide you with more information for defining your test/audit plans.

11

Managing Issues

This chapter covers the following topics:

- About Issues

- Issues Workflow Overview

- Creating Issues

- Creating an Issue Directly on a Business Process

- Creating an Issue During an Assessment

- Creating an Issue During a Test Run

- Resolving Issues

- Contributing to an Issue

- Closing an Issue

- Holding an Issue

- Canceling an Issue

- Issues Interface

- Issues Tray

- Issues for <user> Page

- Open Issues for <user> Page

- Issues on Hold for <user> Page

- Closed Issues for <user> Page

- Issues Tab

- Issue Page

- Issue: <name> Page

About Issues

An issue indicates that something about a business process doesn't meet the requirements for compliance. For example, there could be a gap in information, such as a missing or incomplete risk or control, or an assessment or test could show that a control doesn't function as expected. Key components of an issue are the severity of the problem and what action is needed to resolve the issue.

The purpose of issue documents is to allow GRC Manager to track issues and gaps, either compliance or organizationally related, from creation to close. Issue documents provide the ability to track test failure documentation as well as business process gap items. Issue documents can be in one of four states; Open, Hold, Closed, or Cancelled.

Issues can be initiated by any user with appropriate security rights to a business process. An issue can be created during a management assessment, during a process test, or directly on a process, regardless of the current state of the process. All the issues and their states for a process are listed on the Issues tab of the process.

Issues Workflow Overview

This section describes the basic Issues workflow for raising and resolving an issue for a business process.

1. A user with rights to a business process creates an issue. An issue can be created directly on a process, or during an assessment, or during testing of a process, or on a control during audit testing.

2. An email notification is sent to the owner, notifying the owner that there is a problem that requires resolution and to enter the Governance, Risk and Compliance Manager system and check their Inbox. The email notification includes a link to the system that takes the user to the application log-in page. At this time the issue is in an Open state.

3. The process owner opens the business process and reviews the issue documentation. The process owner has three choices:

   • If the issue is related to a long-term project within the organization, it can be placed in a Hold state and it remains in the workflow. This lets the issue remain unresolved until a later date.

   • If the issue can be resolved immediately, the process owner completes the necessary changes to the process and then closes the issue, which puts the issue document in a Closed state and it is removed from the workflow.

   • If the process owner decides the issue is not relevant, the issue can be placed in a Cancelled state and it is removed from the workflow.

The prerequisites to raise an issue are as follows:

• A business process, or a management assessment cover, or a test plan test cover (for audit testing), or a process test cover.

• Appropriate security rights, either during an assessment, during a test run, or to the business process itself

> **Note:** All business processes available to a user can have issues created for them, regardless of the state of the business process

Creating Issues

There are three ways to create an issue for a process:

• Creating an Issue Directly on a Business Process, page 11-3

• Creating an Issue During an Assessment, page 11-4

• Creating an Issue During a Test Run, page 11-5

Creating an Issue Directly on a Business Process

To create an issue directly on a business process, complete the following steps:

1. From the Business Processes tray, select **All Processes**.

   A list of processes is displayed.

2. Select the title of the process on which to create the issue.

   The Process Page, page 5-36 is displayed.

3. Click the Issues Tab, page 11-16.

4. Click **Add Issue**.

   The Issue Page, page 11-18 is displayed with the Basics, Remediation, and Comments tabs enabled.

5. Enter a title for the issue.

6. Enter appropriate information for the fields and check box.

7. Click **Save**.

   - If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

   - If all required fields have been filled in, or there are no required fields, the issue is entered into the system.

     > **Note:** To undo changes, click **Cancel**. If you click **Close**, youare prompted to save any changes made and the document is closed.

Creating an Issue During an Assessment

As process controls and risks are assessed in a business process, issues can be created during the following situations:

- **Owner Assessment**—As the process owner, you can decide that a business process control, risk, or process assessment has failed. When you click **Fail Assessment,** the Issue page is automatically displayed and you can create an issue.

  You also can manually add an issue to the Management Assessment Page, page 9-27 by selecting the Issues tab and clicking the Add Issue button. This does not stop the Assessment workflow.

- **Assessment Completed**—As the assessment reviewer or executive assessment reviewer, you can decide if the business process cannot be passed because of the assessment results of controls or risks, or for any other reason. When you click **Fail Assessment** after performing a certification**,** the Issue page is automatically displayed and you can create an issue.

- Issues also can be created after assessments are complete, even after an assessment review when the assessment documentation is out of the Assessment workflow. For example, if a user thinks that an assessment result is in error, even after the assessment has been completed, the user can create an issue. Any user in a role that has permissions to create issues can add an issue. By default, the only role not allowed to create issues is the external auditor (SOAExternalAudit).

  > **Note:** These are the steps during an assessment that automatically trigger issues. If additional review steps are configured into a modified Assessment workflow, issues will not be automatically

triggered, and the user can generate the issue directly on the assessment cover.

When the Issue Page, page 11-18 is displayed, complete the following steps:

1. Enter a title for the issue.

2. Enter the appropriate information in the fields for the issue.

   When an issue is created on an assessment cover that originated from an Assessment workflow, a related document for the issue can be selected from the process, its controls, its assertions, or its risks.

3. Click **Save**.

   • If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

   • If all required fields have been filled in, or there are no required fields, the issue is entered into the system.

   > **Note:** To undo changes, click **Cancel**. If you click **Close**, youare prompted to save any changes made and the document is closed.

Creating an Issue During a Test Run

As a business process is tested, or audit testing is performed on a set of controls, there are four main review points during which issues can be created:

1. **Validation**—As the validating owner, you can decide if the controls being tested are not correct and the process documentation requires changes. When you click **Invalid Controls,** the Issue page is automatically displayed and you can create an issue.

   You also can manually add an issue to the test cover by selecting the Issues tab and clicking the Add Issue button. This does not stop the Testing workflow.

   > **Note:** The term "validating owner" also includes the control owner, if the control ownership feature is enabled

2. **Active Tests**—As the test owner, you can decide that a business process test has failed. When you click **Fail Test,** the Issue page is automatically displayed and you can create an issue.

You also can manually add an issue to the test cover by selecting the Issues tab and clicking the Add Issue button. This does not stop the Testing workflow.

> **Note:** During the Active Tests review point, the tester is performing objective testing and can fail a test on a control without creating an issue. Only when the tester uses the Fail Testing button is an issue automatically created

3. **Testing Completed**—As the final reviewer, you can decide if the business process cannot be passed due to the test results of the controls or for any other reason. When you click **Fail Process,** the Issue page is automatically displayed and you must create an issue.

4. Issues can also be created after tests are complete, even after final review when the test cover is out of the Testing workflow. An example is when a user thinks that a test result is in error, even after testing has been completed. Any user in a role that has permissions to create issues can add an issue. By default, the only role not allowed to create issues is the external auditor (SOAExternalAudit).

> **Note:** These are the steps during a test run that automatically trigger issues. If additional review steps are configured into a modified Testing workflow, issues will not be automatically triggered, and the user can generate the issue directly on the test cover.

When the Issue page is displayed, complete the following steps:

1. Enter a title for the issue.

2. Enter the appropriate information in the fields for the issue.

   When an issue is created on a test cover that originated from process testing, a related document for the issue can be selected from the process, its controls, its assertions, or its risks.

3. Click **Save**.

   • If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

   • If all required fields have been filled in, or there are no required fields, the issue is entered into the system.

   > **Note:** To undo changes, click **Cancel**. If you click **Close**, youare prompted to save any changes made and the document is

closed.

Resolving Issues

When an issue is created, an email is sent to the issue owner's Inbox to notify them to log in to the GRC Manager system and check their Inbox for an issue to resolve. A link is provided from the email to the system to bring the user to the application log-in page. The owner for issues on a business process test cover is the process owner. The owner for issues on a test plan test cover (for audit testing) is the owner assigned on the test cover.

The issue owner can perform the following tasks:

- Contributing to an Issue, page 11-7

- Closing an Issue, page 11-8

- Holding an Issue, page 11-8

- Canceling an Issue, page 11-9

Contributing to an Issue

An issue owner can edit an Issue document to change or add documentation for the issue. To edit an issue, complete the following steps:

1. Select **My Inbox**, or select **Issues—Open Issues** from the application navigation trays.

    The list of open issues assigned to the owner is displayed.

2. Click the title of the business process with the open issue.

    The Issue Page, page 11-18 is displayed.

3. Click **Edit** to edit the issue or to add information to the Basics, Remediation, or Comments tabs.

4. Enter information in the fields on the Issue page.

    To add an attachment, select the Attachments tab and click the Add Attachments button.

5. Click **Save** to save the changes you made.

> **Note:** To change the state of the issue to **Closed**, **Cancelled**, or **Hold**, click the appropriate button on the Issue page.

Closing an Issue

After an issue owner has finished resolving an issue, the issue can be closed.

To close an issue, complete the following steps:

1. Select **My Inbox**, or select **Issues—Open Issues** from the application navigation trays.

   The list of open issues assigned to the owner is displayed.

2. Click the title of the open issue.

   The Issue Page, page 11-18 is displayed.

3. If you want to add information before closing the issue, click **Edit** and add information to the Basics, Remediation, or Comments tabs.

   To add an attachment, select the Attachments tab and click the Add Attachments button.

4. Click **Close Issue**.

   A confirmation prompt is displayed.

5. Click **OK**.

   The issue is removed from the owner's Inbox and is set to the Closed state.

   > **Note:** After an Issue is closed, you can have email notifications sent to the initiator or other related users. Note that this feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

Holding an Issue

An issue owner can determine that an issue cannot be resolved right away and will temporarily be placed in a Hold state until a later time. For example, if the issue was created due to an accounting system that will be receiving an upgrade next quarter, the issue could not be resolved until the accounting system is upgraded.

> **Note:** Issues on hold are still in the Issues workflow, but are not

displayed in reports configured to show only open issues

To place an issue on Hold, complete the following steps:

1. Select **My Inbox**, or select **Issues—Open Issues** from the application navigation trays.

    The list of open issues assigned to the owner is displayed.

2. Click the title of the open issue.

    The Issue Page, page 11-18 is displayed.

3. Click **Hold Issue**.

    A confirmation prompt is displayed.

4. Click **OK**.

    The issue is set to a Hold state. The owner can still manage the issue by clicking on the issue title from either **My Inbox** or **Issues—Held Issues** on the navigation tray.

Canceling an Issue

An issue owner can decide to not continue the Issue workflow and cancel the issue. Canceling an issue does not delete the issue from the system; it places the issue into a Canceled state.

To cancel an issue, complete the following steps:

1. Select **My Inbox**, or select **Issues—Open Issues** from the application navigation trays.

    The list of open issues assigned to the owner is displayed.

2. Click the title of the open issue.

    The Issue Page, page 11-18 is displayed.

3. Click **Cancel Issue**.

    A confirmation prompt is displayed.

4. Click **OK**.

    The issue is set to a Canceled state. The owner cannot manage the issue, and the issue is removed from the owner's Inbox. The canceled issue can be viewed by clicking the Closed Issues link from the Issues tray.

    Note: After an Issue is canceled, you can have email notifications sent

to the initiator or other related users. Note that this feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

Issues Interface

This section describes the interface for the Issues tray and Issue page:

- Issues Tray, page 11-10

- Issues for <user> Page, page 11-11

- Open Issues for <user> Page, page 11-12

- Issues on Hold for <user> Page, page 11-14

- Closed Issues for <user> Page, page 11-15

- Issues Tab, page 11-16

- Issue Page, page 11-18

- Issue Page, page 11-18

Issues Tray

The Issues tray enables you to view and manage all issues from the navigational links. Issues can be created directly on a business process or from a test for a given business process or from an audit test on a set of controls. For additional information refer to About Issues, page 11-2.

Issues Options	Description
All Issues	Displays all issues where the logged on user is the issue owner. Administrators can view all issues for all owners. The list can be filtered by authorization permission.
Open Issues	Displays issues that are open for the current user.
Held Issues	Displays issues that are on hold for the current user.

Issues Options	Description
Closed Issues	Displays all issues that are closed for the current user.

Issues for <user> Page

The Issues for <user> Page lists information about all issues viewable to a user. To access this page, select **Issues—All Issues**. For more information refer to About Issues, page 11-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Severity column	Severity of an issue: • Deficiency • Significant Deficiency • Material Weakness • Documentation Only
Type column	Type of document where an issue originated: • Evaluation • Process • Audit testing • Assessment

Feature	Description
State column	State of an issue: • Open • Closed • Cancelled • Hold
Organization column	Organization path name for a business process.
Process column	Name of a business process.
Title column	Title of an issue. Each title is a link that will open the Issue Page, page 11-18.
Originator column	User name of the person who created an issue.
Owner column	User name of the person assigned as the owner of an issue.
Release Date column	Release date of an issue. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.

Open Issues for <user> Page

The Open Issues for <user> page lists information about all open issues assigned to a user. To access this page, select **Issues—Open Issues**. For more information refer to About , page 11-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Severity column	Severity of an issue: • Deficiency • Significant Deficiency • Material Weakness • Documentation Only
Type column	Type of document where an issue originated: • Evaluation • Process • Audit testing
State column	State of the issue: Open.
Organization column	Organization path name for a business process.
Process column	Name of a business process.
Title column	Title of an issue. Each title is a link that will open the Issue Page, page 11-18.
Originator column	User name of the person who created an issue.
Owner column	User name of the person currently logged on to Governance, Risk and Compliance Manager.

Feature	Description
Release Date column	Release date of an issue. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.

Issues on Hold for <user> Page

The Issues on Hold for <user> page lists information about all issues in a Hold state that are assigned to a user. To access this page, select **Issues—Held Issues**. For more information refer to About Issues, page 11-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Severity column	Severity of an issue: • Deficiency • Significant Deficiency • Material Weakness • Documentation Only
Type column	Type of document where an issue originated: • Evaluation • Process • Audit testing
State column	State of the issue: Hold.

Feature	Description
Organization column	Organization path name for a business process.
Process column	Title of a business process.
Title column	Title of an issue. Each title is a link that will open the Issue Page, page 11-18.
Originator column	User name of the person who created an issue.
Owner column	User name of the person currently logged on to Governance, Risk and Compliance Manager.
Release Date column	Release date of an issue. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.

Closed Issues for <user> Page

The Closed Issues for <user> page lists information about all closed and cancelled issues that are assigned to a user. To access this page, select **Issues—Closed Issues**. For more information refer to About Issues, page 11-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.

Feature	Description
Severity column	Severity of an issue: • Deficiency • Significant Deficiency • Material Weakness • Documentation Only
Type column	Type of document where an issue originated: • Evaluation • Process • Audit testing
State column	State of the issue: Closed.
Organization column	Organization path name for a business process.
Process column	Title of a business process.
Title column	Title of an issue. Each title is a link that will open the Issue Page, page 11-18.
Originator column	User name of the person who created an issue.
Owner column	User name of the person currently logged on to Governance, Risk and Compliance Manager.
Release Date column	The release date of an issue. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.

Issues Tab

The Issues tab is used to access existing issues and enables creating an issue for a

business process or a test cover. To access this tab, click the Issues tab on a business process page or a test cover page. For additional information refer to Creating Issues, page 11-3.

Feature	Description
Add Issue button	Displays the Issue Page, page 11-18, which is used to define a new issue for the business process.
Title column	Title of an issue.
Issue Type column	Type of document where an issue originated: • Evaluation • Process • Audit testing • Assessment
Severity column	Severity of an issue: • Material Weakness • Significant Deficiency • Deficiency ocumentation Only
State column	State of an issue: • Open • Hold • Close
Originator column	User name of the person who created an issue.
Owner column	User name of the issue owner.
Doc ID column	Content ID number used for the document when it is stored in the content server.

Feature	Description
Release Date column	Date a business process was released. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.

Issue Page

The Issue page is used to create an issue. It can be accessed in two ways: by selecting the Issues tab on a business process page or a test cover page (process test cover or audit test cover), then clicking the Add Issue button; or by clicking the Fail Test button when testing a control. For additional information refer to Creating an Issue Directly on a Business Process, page 11-3 and Creating an Issue During a Test Run, page 11-5.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Organization to which the process is associated. This field is not populated for an audit testing issue.
Title field	Name of the process.
State field	Current state of the issue.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is released. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.

Feature	Description
Version field	Number of versions of the control document. For an issue, this is always 1.
General	
Severity menu	Severity of the issue. Select one of the following from the menu: • Material Weakness • Significant Deficiency • Deficiency • Documentation Only
Type field	Type of document where an issue originated: • Evaluation • Process • Audit testing • Assessment
Requires Remediation check box	Check this box if the issue requires remediation. This information is used for reporting purposes.
Workflow	
Originator field	Specify the user name of person who initiated the Issues workflow.
Description field	Enter a description of the issue.

Feature	Description
Related Document(s) field	Enter the title of a related document. There can be zero or one related document. To view a list of related documents already available to the process, click the Info icon.
	For a business process or process test cover, the related document can be the process or one of its assertions, risks, or controls. For audit testing, the related document can be one of the controls in the control group being tested.
Remediation tab	
Expected Completion Date field	Enter a date for when the issue will be remediated. To select a date, click the Info icon.
Plan Description field	Enter a description of the plan for how to remediate the issue.
Comments tab	
Comments field	Enter any additional comments about the issue or the remediation plan.

Issue: <name> Page

The Issue: <name> page is used to view and modify an issue document created either through a Testing workflow or directly on a business process. For more information refer to Creating Issues, page 11-3.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Changes the document to an Edit state so modification can be made to the document.

Feature	Description
Close Issue button	Closes the issue.
Cancel Issue button	Cancels the issue.
Hold Issue button	Places the issue into a Hold state, which means it is unresolved until it is remediated at a later date.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Organization to which the process is associated. This field is not populated for an audit testing issue.
Process field	Name of the process. Clicking the Info icon displays a profile summary for the business process.
Title field	Name of the document.
State field	Current state of the issue.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created. Release dates are assigned only to issues that have completed the Issues workflow and are in a state of Closed or Cancelled.
Version field	Number of versions of the document.
Basics tab	

Feature	Description
Severity menu	Severity of the issue: • Material Weakness • Significant Deficiency • Deficiency • Documentation Only
Type field	Type of document where an issue originated: • Evaluation • Process • Audit testing • Assessment
Requires Remediation check box	This box is checked if the issue requires remediation.
Originator field	User name of person who initiated the Issues workflow.
Description field	Description of the issue.
Related Document(s) field	Titles of related documents. There can be zero or one related document. To view a list of related documents already available to the process, click the Info icon. For a business process or process test cover, the related document can be the process or one of its assertions, risks, or controls. For audit testing, the related document can be one of the controls in the control group being tested.
Remediation tab	

Feature	Description
Expected Completion Date field	Date for when the issue will be remediated. Clicking the Info icon displays a list of preprogrammed dates.
Plan Description field	Description of the plan for how to remediate the issue.
Comments tab	
Comments field	Comments about the issue or the remediation plan.
Attachments tab	
Add Attachment button	Click **Add Attachment** to display an Attachment screen. Use the screen to specify attachments for the document.
Title column	Name of the document.
State column	Current state of the document.
Doc ID column	Content ID number assigned to the document when it is stored in the content server
Doc Level column	Doc Level assigned to the document.
Revision column	Latest number of revisions of the document.
Release Date column	Date the document was released.
Actions column	Action links that can be performed on the attachment, usually "open" and "get" and sometimes "retire."
History tab	
Created By field	User name of person who created the document.
Create Date field	Date the document was created.

Feature	Description
Modified By field	User name of person who last modified the document.
CMS Status field	Current workflow status.
CMS Revision Number field	Revision number of the document.
Current User field	User name of person currently assigned the document.
Checked Out By field	User name of person who checked out the document.
Workflow Initiator field	User name of the person who initiated the workflow for the document.

12

Managing Action Items

This chapter covers the following topics:

- About Action Items
- Action Items Workflow Overview
- Creating Action Items
- Canceling an Action Item
- Closing an Action Item
- Action Items Interface
- Action Items Tray
- Action Items for <user> Page
- Open Action Item for <user> Page
- Closed Action Items for <user> Page
- Action Items Tab
- BP Action Item Page
- Action Item Page

About Action Items

The purpose of an Action Item and its documentation is to allow an organization to track actions assigned by users to other users regarding specific business processes. For example, an Action Item can be used to advise a user about forthcoming changes in requirements for a business process.

When an Action Item is closed, you can have email notifications sent to the initiator or other related users. This feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

An Action Item can be created at any time and assigned to users with appropriate permissions. By default, all users can create Action Items.

Action Items Workflow Overview

An Action Items workflow occurs when a user creates an Action Item from an open business process and assigns it to a user. This workflow can be customized.

Overview of Action
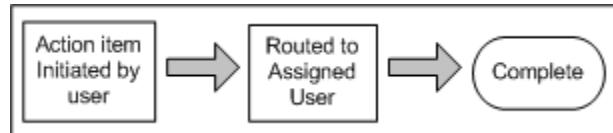
Creating Action Items

An Action Item is created directly from a business process. When an Action Item is created, it initiates a workflow for an Action Item document. For more information refer to Action , page 12-2.

> **Note:** All business processes can have Action Items created for them, except for processes that are in a Retired state.

To create an Action Item, complete the following steps:

1. Open an organization map to view the processes for an organization unit.

2. From the list of business processes, select a process. You can also open the process list from the Business Processes—View Processes link, then select a process to view.

    The Process Page, page 5-36 is displayed.

3. Click the Action Items tab.

    A list of Action Items for the business process is displayed. If there are no Action Items, the list is empty.

4. Click **Add Action Item**.

    The BP Action Item Page, page 12-9 is displayed with the Basics and Comments tabs enabled.

5. Enter information in the appropriate fields.

6. Click **Save**.

- If some fields are required and have not been filled in, a message is displayed informing you what fields are required.

- If all required fields have been filled in, or there are no required fields, the Action Item is entered into the system and the workflow is started.

    > **Note:** To undo changes, click **Cancel**. If you click **Close**, youare prompted to save any changes made and the document is closed.

Canceling an Action Item

An action item owner can decide to not continue the Action Item workflow and cancel the action item. Canceling anaction item does not delete theaction item from the system; it places the action item into a Canceled state.

To cancel an action item, complete the following steps:

1. Select **My Inbox**, or select **Action Item—Open Action Items** from the application navigation trays.

   The list of open action items assigned to the owner is displayed.

2. Click the title of the open action item.

   The Action Item Page, page 12-10 is displayed.

3. Click **Cancel Action Item**.

   A confirmation prompt is displayed.

4. Click **OK**.

   The action item is set to a Canceled state. The owner cannot manage the action item, and the action item is removed from the owner's Inbox. The canceled action item can be viewed by clicking the Closed Action Items link from the Action Items tray.

   Note: After an Action Item is canceled, you can have email notifications sent to the initiator or other related users. Note that this feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

Closing an Action Item

After an action item owner has completed the action item, , the action item can be closed.

To close an action item, complete the following steps:

1. Select **My Inbox**, or select **Issues—Open Action Items** from the application navigation trays.

   The list of open action items assigned to the owner is displayed.

2. Click the title of the open action item.

   The Action Item Page, page 12-10 is displayed.

3. If you want to add information before closing the action item, click **Edit** and add information to the Basics or Comments tabs.

   To add an attachment, select the Attachments tab and click the Add Attachments button.

4. Click **Close Action Item**.

   A confirmation prompt is displayed.

5. Click **OK**.

   The action item is removed from the owner's Inbox and is set to the Closed state.

   > **Note:** After an Action Item is closed, you can have email notifications sent to the initiator or other related users. Note that this feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

Action Items Interface

This section contains the following topics on the interfaces used for performing Action Items on business processes:

- Action Items Tray, page 12-5

- Action Items for <user> Page, page 12-5

- Open Action Item for <user> Page, page 12-6

- Closed Action Items for <user> Page, page 12-7

- Action Items Tab, page 12-8

- BP Action Item Page, page 12-9

- Action Item Page, page 12-10

Action Items Tray

The Action Items tray displays interface pages that enable users to view Action Items for business processes. If a business process or attached document is or has been affected by an Action Item workflow, all of the Action Items documentation and current status information can be found by using the tray options. The Action Items tray has three options: All Action Items, Open Action Items, and Closed Action Items.

For more information refer to About Action Items, page 12-1.

Option	Description
All Action Items	Displays all the Action Items assigned to or that can be viewed by the user. For administrators, all Action Items are visible. For non-administrators, only Action Items on processes that the current user owns are visible.
Open Action Items	Displays Action Items assigned to the current user or for the Organization (includes all maps), depending on the user's permissions. Only Action Items on processes that the current user owns are visible.
Closed Action Items	Displays the Action Items that are closed for the current user or for the Organization (includes all maps), depending on the user's permissions. Only Actions Items on processes that the current user owns are visible.

Action Items for <user> Page

The Action Items for <user> page enables a user to view all Action Items assigned to the user. To access this page, select **Action Items—All Action Items**. For more information refer to About Action Items, page 12-1.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list of Action Items. Criteria fields include title, organization, and status. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list of Action Items. The Clear Filter button removes all existing filter criteria.
Organization column	Name of the organization for the business process.
Process column	Name of the business process to which the Action Item is associated.
Title column	Title of an Action Item as a link that will open the Action Item document.
State column	Current state of an Action Item document.
Release Date column	Date on which the Action Item was closed or cancelled.
Related Document column	Title of a document related to the Action Item. The document can be an assertion, risk, control, or the business process itself.
Current User column	User name of the person who is the assigned user of the Action Item.

Open Action Item for <user> Page

The Open Action Items for <user> page enables a user to view open Action Items assigned to the user. To access this page, select **Action Items—Open Action Items**. For more information refer to About Action Items, page 12-1.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list of Action Items. Criteria fields include title, organization, and state. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list of Action Items. The Clear Filter button removes all existing criteria.
Organization column	Name of the organization for the business process.
Process column	Name of the business process to which the Action Item is associated.
Title column	Title of an Action Item. Each title is a link that will open the Action Item Page, page 12-10.
State column	Current state of an Action Item document.
Release Date column	This field is empty because it only shows the date for Action Items that are closed or cancelled.
Related Document column	Title of a document related to the Action Item. The document can be an assertion, risk, control, or the business process itself.
Current User column	User name of the person who is the assigned user of the Action Item.

Closed Action Items for <user> Page

The Closed Action Items for <user> page enables a user to view closed Action Items assigned to the user. To access this page, select **Action Items—Closed Action Items**. For more information refer to About Action Items, page 12-1.

> **Note:** After an Action Item is closed, you can have email notifications sent to the initiator or other related users. This feature is optional and must be set up in your e100Server.config file. Refer to the Governance, Risk and Compliance Implementation Guide for details.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list of Action Items. Criteria fields include title, organization, and state. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list of Action Items.The Clear Filter button removes all existing criteria.
Organization column	Name of the organization for the business process.
Process column	Name of the business process to which the Action Item is associated.
Title column	Title of an Action Item as a link that will open the Action Item document.
State column	Current state of an Action Item document.
Release Date column	Date the Action Item was closed or cancelled.
Related Document column	Title of a document related to the Action Item. The document can be an assertion, risk, control, or the business process itself.
Current User column	User name of the person who is the assigned user of the Action Item.

Action Items Tab

The Action Items tab is available in a business process in all conditions except when the Basics tab is being edited. Use it to view a list of action items created regarding the business process and assigned to a user.

Feature	Description
Add Action Item button	Opens the BP Action Item Page, page 12-9.
Title column	Name of the action item.

Feature	Description
Doc ID column	Content ID number assigned to the action item when it is stored in the content server.
Revision column	Revision of the action item.
State column	State of the action item document.
Type column	Content Server document type.
Release Date column	Release date of the action item document.

BP Action Item Page

The BP Action Items page is used to define an Action Item for a business process. To access this page, open a business process, select the Action Items tab, and click the Add Action Item button. For more information refer to Creating Action Items, page 12-2.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	Name of the organization to which the process is associated.
Process field	Name of the business process to which the Action Item is associated. The Info icon displays a profile screen that contains summary information about the Action Item.
Title field	Enter the name of the Action Item.
State field	Current state of the Action Item.

Feature	Description
ID field	Content ID number assigned to the document when it is stored in the content server.
Release Date field	Date and time the Action Item was released.
Version field	Number of versions of the document.
Basics tab	
Assigned To field	Name of the user to which the Action Item will be assigned. Click the Info icon to display a Directory Search window for finding user names.
Description field	Enter a description of the Action Item.
Related Document(s) field	Specify the titles of any related documents. To browse for documents, click the Info icon next to the field.
Comments tab	
Comments field	Enter additional comments about the Action Item.

Action Item Page

The Action Item page is used to view and modify an Action Item. To access this page, select the Action Items tray, select any of the three tray links, then click an Action Item title from the list displayed on the page. For more information refer to Action Items Interface, page 12-4.

Feature	Description
Close button	Prompts you to save changes to the document if not already saved, then closes the page.

Feature	Description
Edit button	Enables you to make modifications to the document. This button is available only on an Action Item page in an Open state.
Save button	Saves changes to the document. This button is available only on a document in Edit mode.
Cancel button	Cancels changes to the document. This button is available only on an Action Item page in Edit mode.
Close Action Item button	Closes the Action Item for the business process.
Cancel Action Item button	Cancels the Action Items workflow.
Organization field	Name of the organization to which the process is associated.
Process field	Name of the business process to which the Action Item is associated The Info icon displays a profile screen that contains summary information about the Action Item.
Title field	When the page is in Edit mode, modify the name of the Action Item.
State field	Current state of the Action Item document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document was released.
Version field	Number of versions of the document.
Basics tab	
Assigned To field	Name of the user to which the Action Item is assigned.

Feature	Description
Description field	When the page is in Edit mode, modify the description of the Action Item.
Related Document(s) field	Title of any related document. When the page is in Edit mode, to browse for documents, click the Info icon next to the field. A Select Documents screen is displayed and you can select available documents to be added to the field.
Comments tab	
Comments field	When the page is in Edit mode, modify additional comments about the Action Item.
Attachments tab	
Add Attachment button	With a design review in Open state, click **Add Attachment** to display an Attachment screen. Use the screen to specify attachments for the Action Item.
Title column	Name of the Action Item attachment.
State column	Current state of the Action Item attachment.
Doc ID column	Content ID number assigned to the document when it is stored in the content server
Doc Level column	Doc Level assigned to the process.
Revision column	Latest number of revisions of the document.
Release Date column	Date the document was released.
Actions column	Latest action that occurred to the document, such as "Open."
History tab	
Created By field	User name of person who created the document.

Feature	Description
Create Date field	Date the document was created.
Modified By field	User name of person who last modified the document.
CMS Status field	Current workflow status.
CMS Revision ID field	Identification for the document revision.
CMS Revision Number field	Revision number of the document.
Current User field	User name of person currently assigned the document.
Checked Out By field	User name of person who checked out the document.
Workflow Initiator field	User name of the person who initiated the Action Items workflow for the document.
Past Revisions button	Displays a list of previous revisions of the Action Item document, including information about revision number, final state, title, CMS revision, and release date. Click a revision title to view the Action Item document.
Doc History button	Displays a list of actions (such as "check out" and "check in") for the document revisions. Information includes CMS revision, title, action date, action, and user who performed the action.

13

Managing Reports

This chapter covers the following topics:

- About GRC Manager Reports
- Creating Reports
- Creating a Standard Report
- Creating a Relational Report
- Using the Matrix Tab
- Printing a Report
- Exporting a Report to Microsoft Excel
- Executive Dashboard
- Heat Report
- Current Issues
- Control Distribution
- Test Activity
- Audit Test Activity
- Reports Interface
- Reports Tray
- Project - Process Reports Page
- Project - Assertions Reports Page
- Project - Risks Reports Page
- Project - Control Reports Page
- Project - Issues Reports Page
- Project - Testing Reports Page
- Audit - Process Reports Page

- Audit - Control Reports Page

- Audit - Risk Reports Page

- Audit - Testing Reports Page

- Exception - Process Reports Page

- Exception - Control Reports Page

- Exception - Issue Reports Page

- Scheduling - Process Reports Page

- Scheduling - Testing Reports Page

- Scheduling - Issue Reports Page

- Matrix Reports Page

- Library Reports Page

- Ad-hoc Reporting

About GRC Manager Reports

Reports in GRC Manager provide information about process status and activity to support Sarbanes-Oxley requirements. Report information is generated and displayed online. Reports can be printed and exported.

The Reports tray on the application navigation panel provide a number of standard report options. Standard reports provide status information on process documentation, process attributes, and process activities. For standard reports you can select a variety of criteria to refine your data request. Standard report options include the following:

- Project—Process, Assertions, Risks, Control, Issues, Testing

- Audit—Process, Control, Risks, Testing

- Exception—Process, Control, Issues

- Scheduling—Process, Testing, Issues

- Library

The Reports tray on the application navigation panel also provides a link for relational reports. The Matrix report link provides two links to access pre-defined data sets:

- Assertions-risks-controls matrix

- Effectiveness reviews

Another method for viewing matrix information is Using the Matrix Tab, page 13-4.

When you create a report, if a report page appears with no entries, no data was found

that matched the selection criteria. You may need to modify your selection criteria and run the report again.

Some reports show numbers at the left bottom corner of the report. This numbers signify the number of pages of the report. You can click on any of the numbers to change the displayed page of the report.

For information on how to create and print reports refer to Creating Reports, page 13-3.

Creating Reports

This section covers the following topics:

- Creating a Standard Report, page 13-3

- Creating a Relational Report, page 13-4

- Using the Matrix Tab, page 13-4

- Printing a Report, page 13-5

- Exporting a Report to Microsoft Excel, page 13-5

Creating a Standard Report

To create a report, complete the following steps:

1. Select the desired type of report from the Reports tray in the application navigation panel (for example, Reports—Project—Process).

   The Reports page is displayed for the type of report you want to create. Any predefined report filters for that report type are listed by title as links.

2. To use one of the predefined report filters, click the link for that report.

   The Reports Interface, page 13-8 criteria panel is displayed with criteria fields for the type of report you selected.

3. Specify filter criteria by selecting the check box next to a field and entering a value or selecting an option or date. Any text entered into the text boxes will be used in a substring search where results will be returned if the text is contained anywhere within the field that is searched.

   Clicking the green arrows next to a field will display information for that criteria that you can select to enter into the field. For example, clicking the arrows by the Organization field displays an organization map from which you can select a unit.

4. Click **Run Report**.

The summary grid is displayed with the Export to Excel Window button (see Exporting , page 13-5) and Print button enabled. The summary grid displays the selected criteria in columns with a report heading that reflects the primary criteria.

Creating a Relational Report

The Reports tray in the application navigation panel provides one relational reports link: Matrix. Relational reports help you to see the relationships and effectiveness of how assertions, risks, and controls have been put in place within a given business process based on these two report types:

- Assertions-Risks-Controls Matrix: A report outlining the linkages between assertions, risks, and controls with the exceptions for a given business process.

- Effectiveness Reviews: A report highlighting the design effectiveness and operating effectiveness assessment for controls (and optionally risks) for a given business process.

To run a Matrix report, complete the following steps:

1. Select one of the Matrix reports from the application Reports tray, using the navigation links Reports—Matrix.

   The General Criteria page is displayed.

2. Enter criteria to refine the report results.

3. Click **Run Report**.

   A list of relevant business processes is displayed with a Matrix button next to each process.

3. Click the Matrix button next to the business process you want to view.

- A pop-up report is displayed with the report details.

4. Download or print the report details as desired.

Using the Matrix Tab

Another way to view information in a matrix format is to use the Matrix tab, which is viewable from a Business Process page. The Matrix tab provides information about the relationship between assertions, risks, and controls for a specific business process.

There are potentially five views you can select from the Matrix tab depending on the information entered in a business process. Each view displays the associated documents for a process as they are related to each other. Each title displayed is a link to the associated document.

- Risks and Controls

- Controls and Risks

- Assertions and Risks

- Risks and Assertions

- Assertions, Risks, and Controls

To use the matrix tab, complete the following steps:

1. Open a business process definition.

2. Click the Matrix tab.

3. Display a view by selecting an option from the Views menu.

   The selected view is displayed in the Matrix tab page.

4. To display any of the documents in the selected view, click the document title for the assertion, risk, or control.

Printing a Report

Users have two options for printing a displayed report:

- Use the Print button on the displayed report. This will refresh the popup window with all results on a single window, instead of a paged results layout.

- To select only the page of results that is currently displayed, not all results, use the right-click and select the print menu to use the browser's print functionality.

Exporting a Report to Microsoft Excel

> **Note:** Microsoft Excel must already be installed on your computer in order to view the export. Without Excel, you can only save the file.

To export a report to the Microsoft Excel application, complete the following steps:

1. Run a report.

2. Click **Export to Excel window** in the report display page.

3. Click **Open** in the File Download page.

   Your report is opened as an Excel spreadsheet. All of the Excel functions are

available to you, including saving the report as an Excel document. Without Excel, just choose the option to save when prompted.

Executive Dashboard

The Dashboard link in the Executive Tasks tray displays a page containing critical business and process management information for executives. The Dashboard is available only for users assigned to the following authorization roles:

• SOAICAdmin

• SOAGlobalICAdmin

• SOAExecutive

• SOAInternalAudit

The Dashboard consists of five sections:

• Heat Report, page 13-6

• Current Issues, page 13-7

• Control Distribution, page 13-7

• Test Activity, page 13-8

• Audit Test Activity, page 13-8

Heat Report

The Heat Report is the top section displayed on the GRC Manager Dashboard. You can access it by expanding the Executive Tasks tray and selecting **Dashboard**. The Heat Report displays the current status of risk exposure for all business processes for the organization. Not all risks will appear in the Heat Report. For each business process, the Heat Report shows the most significant risk as determined by the Risk Rating. The Risk Rating for each risk in a business process is determined by taking the value of the Risk Significance and multiplying it by the value of the Risk Likelihood.

A table (matrix) showing Risk Exposure distribution is displayed on the left side of the Heat Report. Each cell in the matrix displays a numeric value that represents the count of risks that match the risk exposure. You can select a cell to drill down and display a summary of the cell's contents on the right side of the Heat Report.

When you select a value in a cell in the matrix, the titles of the business processes at risk according to that cell are displayed in the center part of the Heat Report. Clicking a process title will display a process profile detail screen. The titles of risks for each

process are displayed in the right part of the Heat Report. Clicking a risk title will display a risk profile detail screen.

The Heat Report matrix uses the following legend:

- The table columns correspond to Risk Exposure values, determined from the Risk Significance value defined in a risk. The values are graduated from left to right descending (High, Medium-High, Medium, Medium-Low, and Low). A value is derived from the numerical value (5 through 1) assigned to the risk significance variable in the business process document. For example, a value of 5 equals High. The value is used in calculating the Risk Rating.

- The table rows correspond to Risk Likelihood values, determined from the Risk Likelihood value defined in a risk. The values are graduated from top to bottom descending (Extreme, High, Medium, Low, and Negligible). A value is derived from the numerical value (5 through 1) assigned to the Risk Likelihood value defined in a risk. For example, a value of 5 equals Extreme. The value is used in calculating the Risk Rating.

- The cells representing business processes with critical risk are colored red.

- The cells representing business processes with marginal risk are colored yellow.

- The cells representing business processes with little risk are colored green.

Current Issues

The Current Issues (*YearQuarter*) section of the Heat Report summarizes all business processes that have an associated issue or issues for the current fiscal year and quarter period. Clicking a process title will display a process profile screen containing a summary of the process, controls, and issues history. Selecting any one of the column headings sorts the list of processes by that heading: Location, Process, Issue, Originator, and Date. Clicking the Default Sorting... link returns the list to its original display.

Control Distribution

The Control Distribution section provides information on the distribution of business processes with respect to their COSO component (a control attribute). The section contains the following information:

- On the left side of the section is a Pie chart showing the distribution of processes with respect to their COSO component. The Pie chart is built with respect to percentages of total distribution for each of the five components.

- Click any Pie slice to drill down into its specific COSO component. The corresponding information is displayed on the right side of the section in a summary list of processes for the component.

- To the right of the Pie chart is a map of color-coded boxes and COSO components. A box color corresponds to the color used in the Pie chart. Clicking on a box or the COSO component name next to a box drills further into the processes related to that COSO component.

- The right side of the Control Distribution section lists a summary of the processes whose COSO component corresponds to the selected Pie slice or box. Clicking a process in the list will display its process profile detail screen.

Test Activity

The Test Activity (*YearQuarter*) section summarizes the status of all outstanding tests for the current fiscal year and quarter period. Clicking one of the process titles will display its process profile screen with a summary of the process, its controls, and its issues history. Clicking one of the test titles in the list will display its test profile screen with a summary of the test, the control test status, and issues history. You can select any one of the column heading to sort the list of processes by that heading: Process, Test, State, Owner, and Date. Clicking the Default Sorting... link returns the list to its original display.

Audit Test Activity

The Audit Test Activity (*YearQuarter*) section summarizes the status of all outstanding audit tests for the current fiscal year and quarter period. You can select any one of the column heading to sort the list of processes by that heading: Test, State, Owner, and Date. Clicking the Default Sorting... link returns the list to its original display.

Reports Interface

The following topics describe the Reports tray and the report links that can be accessed via the Reports tray:

Reports Tray

The Reports tray provides links to view reports available in the system. If no Reports tray is visible, then the user does not have the appropriate permissions to view reports. The Reports tray has six selections: Project, Audit, Exception, Scheduling, Matrix, and Library. These selections are described in the following table. All the Reports selections (except Matrix) have options to access specific reports by document type, described in a second table.

Reports	Description
Project	Provides options to create project reports, including reports on processes, assertions, risks, controls, issues, and testing.
Audit	Provides options to create audit reports, including reports on processes, controls, risks, and evaluations.

Reports	Description
Exception	Provides options to create exception reports, including reports on processes, controls, and issues.
Scheduling	Provides options to create scheduling reports on the status or process documentation, testing/monitoring, and issues remediation.
Matrix	Provides options to create reports on an assertions-risks-controls matrix and effectiveness reviews.
Library	Provides options to create reports on Master Component, Master Component Library (MCL), and Master Process information.

The following table summarizes the available reports by category, document type, and report name:

Report Category	Document Type	Report
Project	Process	Process Attachments Sorted by Organization
		Process Being Changed
		Process Flowcharts Sorted by Organization
		Processes Currently Initialized
		Processes Sorted by Organization
		Processes Sorted by Process Owner
		Processes That Have Been Retired
		Processes Under Review
		All Attachment Templates Sorted By DocLevel

Report Category	Document Type	Report
Project	Assertion	All Assertions And Matching Risks
		All Assertions Sorted By Process By Location
		All Assertions Sorted By Financial Element By Process
		All Assertions Sorted By Accounting Cycle By Process
		All Assertions Sorted By Control By Process
		All Assertions Sorted By Risks By Process
Project	Control	Control Attachments Sorted by Organization
		Controls Sorted by Accounting Cycles by Process
		Controls Sorted by COSO Category by Process
		Controls Sorted by Financial Element by Process
		Controls Sorted by Objective by Process
		Controls Sorted by Process by Location
		All Key Controls Sorted by Process by Location
Project	Risk	All Risks and Matching Controls
		All Risks Sorted by Accounting Cycle by Process
		All Risks Sorted by Financial Element by Process
		All Risks Sorted by Process by Location

Report Category	Document Type	Report
Project	Issue	All Generated Issues Within The Current Year
		All Issue Attachments Sorted by Organization
		All Material Weakness By Accounting Cycle Within The Period
		All Material Weakness By Financial Element Within The Period
		All Material Weakness Issues By Location Within The Period
		All New Issues Within The Period By Accounting Cycle
		All New Issues Within The Period By Financial Element
		All New Issues Within The Period
		All Open Issues By Accounting Cycle
		All Open Issues By Financial Element
		Closed Issues Within The Period
		Issues On Hold By Location
		Open Issues By Location
		All Issues By Location with Related Documents

Report Category	Document Type	Report
Project	Testing	All Active Tests By Location
		All Active Tests By Test Owner TP
		All Completed Tests By Test Owner Within The Period
		All Completed Tests By Test Owner Within The Period TP
		All Completed Tests Within The Period TP
Audit	Process	All Processes Changed Within The Last Period
		All Processes Sorted by Accounting Cycles
		All Processes Sorted by Financial Element
		All Processes Sorted by Risk Significance
Audit	Control	All Controls Changed Within The Last Period
		All Controls Sorted by COSO Component by Location
Audit	Risk	All New Risks Within The Period

Report Category	Document Type	Report
Audit	Evaluation	All Controls Not Tested Within The Period
		All Processes Not Tested Within The Period
		All Controls Tested Within The Period By Accounting Cycle
		All Controls Tested Within The Period By Financial Element
		All Controls Testes Within The Period
		All Processes Tested Within The Period By Accounting Cycle
		All Processes Tested Within The Period By Financial Element
		All Processes With No Changes Within The Period By Accounting Cycle
		All Processes With No Changes Within The Period

Report Category	Document Type	Report
Audit	Evaluation	All Controls Not Tested Within The Period TP
		All Processes Not Tested Within The Period CG
		All Controls Tested Within The Period By Accounting Cycle TP
		All Controls Tested Within The Period By Financial Element
		All Controls Tested Within The Period TP
		All Processes Tested Within The Period By Accounting Cycle CG
		All Processes With No Changes Within The Period By Financial Element CG
		All Processes With No Changes Within The Period By Financial Element

Report Category	Document Type	Report
Exception	Process	All Processes With Risks And No Matching Controls
		All Processes Without Accounting Cycles
		All Processes Without Controls
		All Processes Without Financial Element
		All Processes Without Flowcharts
		All Processes Without Risks
		All Released Processes Without Owners
		All Processes With Assertions And No Matching Risks
		All Processes Without Assertions
		All Processes With Insufficient Documentation
		All Processes Not Updated from Master Process
Exception	Control	All Controls With Missing COSO Attributes
		All Controls With No Risks By Process By Location
		All Controls With No Test Instructions
Exception	Issue	All Issues Not Closed From Previous Periods
		All Issues Without Remediation Plans
Scheduling	Process	Current Status of Process Documentation

Report Category	Document Type	Report
Scheduling	Evaluation	Current Status of Testing/Monitoring
Scheduling	Issue	Current Status of Issue Remediation
Matrix	Relational	Assertions/Risks/Controls Matrix. Effectiveness reviews.
Library	Assertion	All Master Component Assertions All Assertions linked from Master Components Assertions from MCL out of sync with MCL Source
Library	Attachment	All Master Component Attachments All Attachments linked from Master Components All Attachments from MCL out of sync with MCL Source
Library	Control	All Master Component controls All Controls linked from Master Components All Controls from MCL out of sync with MCL source
Library	Process	All Master Processes All Components in OU Process not from MCL All OU Processes linked to Master Processes

Report Category	Document Type	Report
Library	Risk	All Risks linked from Master Components
		All Risks from MCL out of sync with MCL Source

> **Note:** If you have implemented control automation integration, you can activate two additional reports available for that integration ("All Processes with Automated Controls by Organization" and "All Controls With Automations By Process"). For further information refer to Automation Integration for Controls, page C-xviii

Project - Process Reports Page

The following table describes the report links and criteria used in the different Project-Process reports.

The Project Management - Process Reports page is used to view reports on process information based on criteria specified by users. To access this reports page, from the Reports tray select Reports—Project—Process. The links for different process reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects.

- **All Process Attachments Sorted by Organization**: Displays information about all attachments to processes, sorted by organization. Information includes the organization, attachment title, status, process owner, the date a process was last updated, and the name of the user who made the last update.

- **All Process Flowcharts Sorted by Organization**: Displays information about all flowcharts used in processes, sorted by organization. Information includes the organization, process title, flowchart title, status, process owner, the date a process was last updated, and the name of the user who made the last update.

- **All Processes Sorted by Organization**: Displays information about all processes, sorted by organization. Information includes the organization, process title, process owner, the date a process was updated, the name of the user who created a process, and the name of the current user.

- **All Processes That Have Been Retired**: Displays information about processes that have been retired, sorted by organization. Information includes the organization, process title, process owner, the date a process was updated, the date a process was retired, and the name of the current user.

Feature	Description
Report criteria links (continued)	• **All Attachment Templates Sorted by DocLevel**: Displays information about all attachment templates sorted by document level. Information includes the organization, attachment template title, doc level, status, process owner, last date an attachment template was updated, and the name of the user who last updated an attachment template.
	• **All Processes Being Changed**: Displays information about all processes currently in an Edit state (being changed). Information includes the organization, process title, process owner, last date a process was updated, the name of the user who last changed a process, and the name of the current user for a process.
	• **All Processes Currently Initialized**: Displays information about all processes currently in an Initialized state (being created as new processes). Information includes the organization, process title, process owner, the date a process was created, the name of the user who created a process, and the name of the current user.
	• **All Processes Sorted by Process Owner**: Displays information about all processes sorted by process owner. Information includes the process owner, organization, process title, status, the name of the user who last changed a process, and the name of the current user for a process.

Feature	Description
Report criteria links (continued)	• **All Processes Under Review**: Displays information about all process currently in a Review workflow (in a state of Edit, Approve, Approval Rejected, Collection, Collection Rejected). Information includes the organization, process title, process owner, the name of the user who last changed a process, and the name of the current user for a process.
Criteria heading	Name of the criteria item.
Created By check box and field	Specify the name of a user who created processes.
Current User field	Specify the name of a current user.
Last Update check box and field	Specify a date for the last update to processes. You can click the double arrow icon next to the field to display a calendar and select a date.
Organization check box and field	Specify an organization unit.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify a title of a process.
Status check box and menu	Specify a process status. Select a status from the menu.
Run Report button	Initiates creation of the report based on the selected criteria.

Project - Assertions Reports Page

The following table describes the report links and criteria used in Project - Assertions reports.

The Project Management - Assertions Reports page is used to view reports on process assertion information based on criteria specified by users. To access this reports page, from the Reports tray select Reports—Project—Assertions. The links for different

process reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects.
	• **All Assertions And Matching Risks**: Displays information about all assertions related to risks within each process. Information includes the organization, process title, process owner, assertion, risk, risk type, risk exposure, and last risk update.
	• **All Assertions Sorted By Financial Element By Process**: Displays information about all assertions sorted by financial element and process. Information includes the financial element, process title, assertion, last assertion update, and organization.
	• **All Assertions Sorted By Control By Process**: Displays information about all assertions related to risks, and those risks in turn related to controls. Information includes the organization, process title, process owner, control, assertion, and last assertion update.
	• **All Assertions Sorted By Process By Location**: Displays information about all assertions for every process, sorted by location (in Organization map). Information includes the organization, process title, process owner, assertion, last update, and status.

Feature	Description
Report criteria links (continued)	• **All Assertions Sorted By Accounting Cycle By Process**: Displays information about all assertions for all processes, sorted by accounting cycle. Information includes the accounting cycle, process title, process owner, assertion, last update, and organization. • **All Assertions Sorted By Risks By Process**: Displays information about all assertions with related risks, sorted by process. Information includes the organization, process title, process owner, control, assertion, and last assertion update.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon to display an organization map of the accounting folders and select a folder.
Assertion check box and field	Specify an assertion.
Control check box and field	Specify a control.
Financial Element check box	Specify a financial element. You can click the double arrow icon to display an organization map of the financial folders and select a folder.
Last Assertion Update check box and field	Specify the last date assertions could be updated. You can click the double arrow icon to display a calendar and select a date.
Last Risk Update check box and field	Specify the last date risks could be updated. You can click the double arrow icon to display a calendar and select a date.
Last Update check box and field	Specify the last date processes could be updated. You can click the double arrow icon to display a calendar and select a date.

Feature	Description
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify a process owner.
Process Title check box and field	Specify a title of the process.
Risk check box and field	Specify a risk.
Risk Significance check box and field	Specify a value that indicates how likely it is that the risk will impact the process: • 1 Low • 2 Low-Med • 3 Medium • 4 Med-High • 5 High
Risk Type check box and field	Specify the type of risk: • Financial Fraud • Theft of Assets • Theft of Services • Regulatory Compliance • Breach of Security
Status check box and menu	Specify a process status. Select a status from the menu: Initialized, Collection, Edit, Approval, Released, Retired, Collection Rejected, Approval Rejected.

Feature	Description
Run Report button	Initiates creation of a report based on the selected criteria.

Project - Risks Reports Page

The following table describes the report links and criteria used in Project - Risks reports.

The Project Management - Risks Reports page is used to view reports on process risk information based on criteria specified by users. To access this page, from the Reports tray select Reports—Project—Risks. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects.
	• **All Risks and Matching Controls**: Displays information about all risks that are related to controls within a process. Information includes the organization, process title, process owner, risk, risk type, risk exposure, control, and last risk and last control updates.
	• **All Risks Sorted By Financial Element By Process**: Displays information about all risks for each process, sorted by financial element. Information includes the financial element, process title, risk, risk exposure, risk type, last risk update, and organization.
	• **All Risks Sorted By Accounting Cycle By Process**: Displays information about all risks for each process, sorted by

Feature	Description
	accounting cycle. Information includes the accounting cycle, process title, process owner, risk, risk exposure, risk type, last update, and organization.
	• **All Risks Sorted By Process By Location**: Displays information about all risks for each process, sorted by process and location in the organization map. Information includes the organization, process title, process owner, risk, risk exposure, risk type, last update, and status.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon to display an organization map of the accounting folders and select a folder.
Control check box and field	Specify a control.
Financial Element check box	Specify a financial element. You can click the double arrow icon to display an organization map of the financial folders and select a folder.
Last Control Update check box and field	Specify the last date controls could be updated. You can click the double arrow icon to display a calendar and select a date.
Last Risk Update check box and field	Specify the last date risks could be updated. You can click the double arrow icon to display a calendar and select a date.
Last Update check box and field	Specify the last date processes could be updated. You can click the double arrow icon to display a calendar and select a date.

Feature	Description
Organization check box and field	Specify an organizational unit You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify a process owner.
Process Title check box and field	Specify a title of the process.
Risk check box and field	Specify a risk.
Risk Significance check box and field	Specify a value that indicates how likely it is that the risk will impact the process: • 1 Low • 2 Low-Med • 3 Medium • 4 Med-High • 5 High
Risk Type check box and field	Specify the type of risk: • Financial Fraud • Theft of Assets • Theft of Services • Regulatory Compliance • Breach of Security

Feature	Description
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Edit • Approval • Released • Retired • Collection Rejected • Approval Rejected
Run Report button	Initiates creation of a report based on the selected criteria.

Project - Control Reports Page

The following table describes the report links and criteria used in Project - Control reports.

The Project Management - Control Reports page is used to view reports on process control information based on criteria specified by users. To access this page, from the Reports tray select Reports—Project—Control. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, CPL, and template processes and objects.
	• **All Control Attachments Sorted by Organization**: Displays information about all control attachments (as specified in Control and Test Instructions) in order by organization. Information includes the organization, process title, attachment title, status, owner, last update, and who last updated each control attachment.
	• **All Controls Sorted by COSO Category by Process**: Displays information about all controls in order by COSO category and process. Information includes the COSO category, organization, process title, control title, process owner, last update, and who lasted updated each control.
	• **All Controls Sorted by Objective by Process**: Displays information about all controls sorted by objective and process. Information includes the control objective, process title, control title, last update, who last updated each control, key control, status, and organization.
	• **All Key Controls Sorted By Process By Location**: Displays information about all key controls sorted by process and location. Information includes the organization, process title, control title, audit type, last update, who last updated a control, and status.
Report criteria links (continued)	• **All Controls Sorted by Accounting Cycles by Process**: Displays information about all controls sorted by accounting cycle and process. Information includes the accounting cycle, process title, control title, last update, who last updated each control, key control, status, and

Feature	Description
	organization.
	• **All Controls Sorted by Financial Element by Process**: Displays information about all controls sorted by financial element and process. Information includes the accounting cycle, process title, control title, last update, who last updated each control, key control, status, and organization.
	• **All Controls Sorted by Process by Location**: Displays information about all control sorted by process and location in Organization map. Information includes the organization, process title, control title, last update, who last updated each control, key control, and status.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon to display an organization map of the accounting folders and select a folder.
Attachment Title check box and field	Specify the title of an attachment.
Control Objective check box and field	Specify a control objective.
Control Title check box and field	Specify a control title.
COSO Category check box and field	Specify a COSO category: • Effectiveness and Efficiency of Operations • Reliability of Financial Reporting • Compliance with Applicable Regulations

Feature	Description
Financial Element check box	Specify a financial element. You can click the double arrow icon to display an organization map of the financial folders and select a folder.
Key Control check box and field	Specify a key control.
Last Update check box and field	Specify the last date processes could be updated. You can click the double arrow icon to display a calendar and select a date.
Last Updated By check box and field	Specify the name of the user who last updated the control.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify a process owner.
Process Title check box and field	Specify a title of the process.

Feature	Description
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Open • Edit • Closed • Cancel • Approval • Released • Retired • Collection Rejected • Approval Rejected • Prepare
Run Report button	Initiates creation of a report based on the selected criteria.

Project - Issues Reports Page

The following table describes the report links and criteria used in Project - Issues reports.

The Project Management - Issues Reports page is used to view reports on process issue information based on criteria specified by users. To access this page, from the Reports tray select Reports—Project—Issues. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports include issues on MCL, MPL, and template processes.
	• **All Generated Issues Within The Current Year**: Displays information about all issues generated within the current year. Information includes the organization, process title, issue, initiator, process owner, due date, and status.
	• **All Material Weakness Issues By Accounting Cycle Within The Period**: Displays information about all material weakness issues in order by accounting cycle and specified period of time. Information includes the accounting cycle, process title, issue, initiator, process owner, create date, status, and organization.
	• **All Material Weakness Issues By Location Within The Period**: Displays information about all material weakness issues sorted by location in Organization map and specified period of time. Information includes the organization, process title, issue, initiator, process owner, create date, and status.
	• **All New Issues Within The Period By Financial Element**: Displays information about all new issues sorted by period of time and financial element. Information includes the financial statement, process title, issue, severity of issue, initiator, status, and organization.
	• **All Open Issues By Accounting Cycle**: Displays information about all open issues sorted by accounting cycle. Information includes the accounting cycle, process title, issue, severity, initiator, and organization.

Feature	Description
Report criteria links (continued)	• **Closed Issues Within The Period**: Displays information about all issues in a Closed state, sorted by time period. Information includes the organization, process title, issue, severity, and initiator. • **Open Issues By Location**: Displays information about all issues in an Open state, sorted by location. Information includes the organization, process title, issue, severity, and initiator. • **All Issue Attachments Sorted By Organization**: Displays information about all attachments to issues, sorted by organization. Information includes the organization, process title, attachment title, status, process owner, last update, and who did the last update. • **All Material Weakness Issues By Financial Element Within The Period**: Displays information about all material weakness issues sorted by financial element and period of time. Information includes the financial statement, process title, initiator, process owner, create date, status, and organization. • **All New Issues Within The Period By Accounting Cycle**: Displays information about all new issues sorted by accounting cycle and period of time. Information includes the accounting cycle, process title, issue, severity, initiator, status, and organization.
Report criteria links (continued)	• **All New Issues Within The Period**: Displays information about all new issues, sorted by a period of time. Information includes the organization, process title, issue, severity, initiator, and status.

Feature	Description
	• **All Open Issues By Financial Element**: Displays information about all issues in an Open state, sorted by financial element. Information includes the financial statement, process title, issue, severity, initiator, and organization.
	• **Issues On Hold By Location**: Displays information about all issues in a Hold state, sorted by location in the Organization map. Information includes the organization, process title, issue, severity, and initiator.
	• **All Issues By Location with Related Documents**: Displays information about all issues with related documents, sorted by location in the Organization map. Information includes the organization, financial element, accounting cycle, process title, issue, related document, severity, and initiator
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon to display an organization map of the accounting folders and select a folder.
Attachment Title check box and field	Specify the title of an attachment.
Create Date check box and field	Specify the date when issues were created. You can click the double arrow icon to display a calendar and select a date.
Due Date check box and field	Specify the date by which issues are to be closed. You can click the double arrow icon to display a calendar and select a date.

Feature	Description
Financial Element check box and field	Specify a financial element. You can click the double arrow icon to display an organization map of the financial folders and select a folder.
Financial Statement check box and field	Specify a financial statement. You can click the double arrow icon to display an organization map of the financial folders and select a folder.
Initiator check box and field	Specify the name of the person who initiated issues.
Issue check box and field	Specify an issue.
Last Update check box and field	Specify the last date processes could be updated. You can click the double arrow icon to display a calendar and select a date.
Last Updated By check box and field	Specify the name of the user who last updated the control. You can click the double arrow icon next to the field to display a calendar and select a date.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify a process owner by name.
Process Title check box and field	Specify the title of a process.
Related Document check box and field	Specify the title for a related document.
Severity check box and field	Specify the severity of issues.

Feature	Description
Status check box and menu	Specify a process status. Select a status from the menu:
	• Initialized
	• Collection
	• Edit
	• Approval
	• Released
	• Retired
	• Collection Rejected
	• Approval Rejected
Run Report button	Initiates creation of a report based on the selected criteria.

Project - Testing Reports Page

The following table describes the report links and criteria used in Project - Testing reports.

The Project Management - Evaluation Reports page is used to view reports on test evaluation information based on criteria specified by users. To access this page, from the Reports tray select Reports—Project—Testing. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and

Feature	Description

template processes.

- **All Active Tests By Location**: Displays information about all tests of business processes, sorted by their location (includes tests in Active Tests, Validate, and Test Completed states). Information includes the organization, process title, test, start date, process owner, and test owner.

- **All Active Tests By Test Owner**: Displays information about all tests of business processes, sorted by test owner name (includes tests in Active Tests, Validate, and Test Completed states). Information includes the organization, process name, test, start date, process owner, and test owner.

- **All Completed Tests By Test Owner Within The Period**: Displays information about all tests of business processes that have been completed within a specific time period, sorted by test owner. Includes tests that were failed, unchanged, and completed. Information includes the organization, process title, test, start date, process owner, test owner, and final reviewer.

- **All Completed Tests Within The Period**: Displays information about all tests of business processes completed within a certain period of time. Includes tests that were failed, unchanged, and completed. Information includes the organization, process title, test, start date, process owner, test owner, and final reviewer.

Feature	Description
Report criteria links (continued)	• **All Active Tests By Test Owner TP**: Displays information about all test plan test covers that are in an Active Test state, sorted by test owner name. Information includes the organization, process name, test, start date, process owner, and test owner. • **All Completed Tests By Test Owner With The Period TP**: Displays information about all test plan test covers that have been completed, sorted by test owner and a specific period of time. Includes tests that were failed, unchanged, and completed. Information includes the organization, process title, test, start date, process owner, test owner, and final reviewer. • **All Completed Tests Within The Period TP**: Displays information about all tests plans completed, sorted by specific period of time. Includes tests that were failed, unchanged, and completed. Information includes the organization, process title, test, start date, process owner, test owner, and final reviewer.
Criteria heading	Name of the criteria item.
Final Reviewer check box and field	Specify the name of a final reviewer for tests.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify the title of a process.

Feature	Description
Start Date check box and field	Specify the start date for tests. You can click the double arrow icon to display a calendar and select a date.
Test check box and field	Specify a test.
Test Owner check box and field	Specify the name of a test owner.
Run Report button	Initiates creation of a report based on the selected criteria.

Audit - Process Reports Page

The Audit - Process Reports page is used to view reports on audit process information based on criteria specified by users. To access this page, from the Reports tray select Reports—Audit—Process. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects.
	• **All Processes Changed Within The Last Period**: Displays information about all processes changed within the last specified period of time. Information includes the organization, process title, process owner, last update to a process, who last changed a process, and the current user of a process.
	• **All Processes Sorted by Financial Element**: Displays information about all processes sorted by financial element. Information includes the financial element, process title, process owner, current status of a process, last update to a process, and organization.
	• **All Processes Sorted by Accounting Cycle**: Displays information about all processes sorted by accounting cycles. Information includes the accounting cycles, process title, process owner, current status of a process, last update to a process, and organization.
	• **All Processes Sorted by Risk Significance**: Displays information about all processes sorted by their risk significance. Information includes the organization, process title, process owner, current status of a process, and date of last update to a process.
Criteria heading	Name of the criteria item.
Created By check box and field	Specify the name of a user who created processes.
Current User field	Specify the name of a current user.

Feature	Description
Last Update check box and field	Specify a date for the last update to processes. You can click the double arrow icon next to the field to display a calendar and select a date.
Organization check box and field	Specify an organization unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify a title of the process.
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Edit • Approval • Released • Retired • Collection Rejected • Approval Rejected
Run Report button	Initiates creation of the report based on the selected criteria.

Audit - Control Reports Page

The Audit - Control Reports page is used to view audit reports on control information based on criteria specified by users. To access this page, from the Reports tray select Reports—Audit—Control. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific

organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects. • **All Controls Changed Within The Last Period**: Displays information about all process controls changed within the last specified period of time. Information includes the organization, process title, control title, process owner, last update, and status. • **All Controls Sorted by COSO Component by Location**: Displays information about all process controls sorted by financial element. Information includes the COSO component, organization, process title, control title, process owner, last update, and status.
Criteria heading	Name of the criteria item.
COSO check box and field	Specify a COSO component: • Control Environment • Risk Assessment • Control Activities • Information and Communications • Monitoring.
Control Title check box and field	Specify the title of a control.

Feature	Description
Last Update check box and field	Specify a date for the last update to processes. You can click the double arrow icon next to the field to display a calendar and select a date.
Organization check box and field	Specify an organization unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify the title of a process.
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Edit • Approval • Released • Retired • Collection Rejected • Approval Rejected
Run Report button	Initiates creation of the report based on the selected criteria.

Audit - Risk Reports Page

The Audit - Risk Reports page is used to view audit reports on risk information based on criteria specified by users. To access this report, from the Reports tray select Reports—Audit—Risks. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific

organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. The report does not include MCL, MPL, and template processes and objects. • **All New Risks Within The Period**: Displays information about all new risks created within the specified period of time. Information includes the organization, process title, risk, process owner, last update, risk exposure, risk type, and status.
Criteria heading	Name of the criteria item.
Last Update check box and field	Specify a date for the last update to processes. You can click the double arrow icon next to the field to display a calendar and select a date.
Organization check box and field	Specify an organization unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify a title of the process.
Risk check box and field	Specify a risk.

Feature	Description
Risk Significance check box and field	Specify a value that indicates how likely it is that the risk will impact the process: • 1 Low • 2 Low-Med • 3 Medium • 4 Med-High • 5 High
Risk Type check box and field	Specify the type of risk: • Financial Fraud • Theft of Assets • Theft of Services • Regulatory Compliance • Breach of Security
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Edit • Approval • Released • Retired • Collection Rejected • Approval Rejected

Feature	Description
Run Report button	Initiates creation of the report based on the selected criteria.

Audit - Testing Reports Page

The Audit - Evaluation Reports page is used to view audit reports on test evaluation information based on criteria specified by users. To access this page, from the Reports tray select Reports—Audit—Testing. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects.
	• **All Controls Not Tested Within The Period**: Displays information about all process controls not tested via an Initiate Testing action from the business process, and within a specific period of time. This does not include control-based testing from the Audit Testing or Test Plans trays. Information includes the organization, process title, date last updated, process owner, and test owner.
	• **All Processes Not Tested Within The Period**: Displays information about all process not tested via an Initiate Testing action, and within a specific period of time. Information includes the organization, process name, last update, process owner, test owner, and status.
	• **All Controls Tested Within The Period By Accounting Cycle**: Displays

Feature	Description
	information about all process controls tested within a specific period of time, and sorted by accounting cycle. This does not include control-based testing from the Audit Testing and Test Plan trays. A control is displayed for each time it was tested. Information includes the accounting cycle, process title, date of the test, process owner, test owner, test status, and organization.

Feature	Description
Report criteria links (continued)	• **All Controls Tested Within The Period By Financial Element**: Displays information about all controls tested within a specific period of time, and sorted by financial element. This does not include control-based testing from the Audit Testing and Test Plan trays. A control is displayed for each time it was tested. Information includes the financial element, process title, test date, process owner, test owner, test status, and organization. • **All Controls Tested Within The Period**: Displays information about all process controls tested within a specific period of time. This does not include control-based testing from the Audit Testing and Test Plan trays. A control is displayed for each time it was tested. Information includes the organization, process name, test date, process owner, test owner, and test status. • **All Processes Tested Within The Period By Accounting Cycle**: Displays information about all processes tested within a specific period of time and sorted by accounting cycle. Information includes the accounting cycle, process title, start date, end date, process owner, test owner, test status, and organization. • **All Processes Tested Within The Period By Financial Element**: Displays information about all processes tested within a specific period of time and sorted by financial element. Information includes the financial element, process title, start date, end date, process owner, test owner, test status, and organization.

Feature	Description
Report criteria links (continued)	• **All Processes With No Changes Within The Period By Accounting Cycle**: Displays information about all processes with no changes within a specific period of time, sorted by accounting cycle. Information includes the accounting cycle, process title, last update, process owner, and organization. • **All Processes With No Changes Within The Period**: Displays information about all processes with no changes within a specific period of time. Information includes the organization, process title, last update, process owner, accounting cycle, and financial element. • **All Controls Not Tested Within The Period TP**: Displays information about all test plan controls not tested via control-based Testing (from the Audit Testing or Test Plan tray), within a specific period of time. Information includes the organization, process title, date last updated, process owner, and test owner. • **All Processes Not Tested Within The Period CG**: Displays information about all processes that have controls not tested through the Audit Testing tray, and within a specific period of time. Information includes the organization, process name, last update, process owner, test owner, and status. • **All Controls Tested Within The Period By Accounting Cycle TP**: Displays information about all controls tested via control-based testing (from the Audit Testing and Test Plan trays), within a specific period of time, and sorted by accounting cycle. Information includes the accounting cycle, process title, date of the test, process owner, test owner, test

Feature	Description
	status, and organization.
Report criteria links (continued)	• **All Controls Tested Within The Period By Financial Element TP**: Displays information about all controls tested via control-based testing (from the Audit Testing and Test Plans trays), within a specific period of time, and sorted by financial element. Information includes the financial element, process title, test date, process owner, test owner, test status, and organization.
	• **All Controls Tested Within The Period TP**: Displays information about all controls tested via control-based testing (from the Audit Testing or Test Plans trays), and within a specific period of time. Information includes the organization, process name, test date, process owner, test owner, and test status.
	• **All Processes Tested Within The Period By Accounting Cycle CG**: Displays information about all processes with controls tested through Audit Testing, within a specific period of time, and sorted by accounting cycle. Information includes the accounting cycle, process title, start date, end date, process owner, test owner, test status, and organization.
	• **All Processes Tested Within The Period By Financial Element CG**: Displays information about all processes with controls tested through Audit Testing, within a specific period of time, and sorted by financial element. Information includes the financial element, process title, start date, end date, process owner, test owner, test status, and organization.

Feature	Description
Report criteria links (continued)	• **All Processes With No Changes Within The Period By Financial Element**: Displays information about all processes with no changes within a specific period of time, sorted by financial element. Information includes the financial element, process title, last update, process owner, and organization.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon next to the field to display an organization map of the accounting folders and select a folder.
End Date check box and field	Specify the end date for tests. You can click the double arrow icon next to the field to display a calendar and select a date.
Financial Element check box and field	Specify a financial element. You can click the double arrow icon to display an organization map of the financial folders and select a folder.
Last Update check box and field	Specify a date for the last time the item was updated. You can click the double arrow icon next to the field to display a calendar and select a date.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify the title of a process.
Start Date check box and field	Specify the start date for tests. You can click the double arrow icon next to the field to display a calendar and select a date.

Feature	Description
Test check box and field	Specify a test.
Test Date check box and field	Specify a date for the test. You can click the double arrow icon next to the field to display a calendar and select a date.
Test Owner check box and field	Specify the name of a test owner.
Test Status check box and field	Specify a test status.
Run Report button	Initiates creation of a report based on the selected criteria.

Exception - Process Reports Page

The following table describes the report links and criteria used in Exception - Process reports.

The Exception - Process Reports page is used to view reports on process exceptions information based on criteria specified by users. To access this page, from the Reports tray select Reports—Exception—Process. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects.
	• **All Processes With Risks And No Matching Controls**: Displays information about all processes that have risks not related to controls. Information includes the organization, process title, risk, risk exposure, risk type, process owner, risk status, and last risk update.

Feature	Description
	• **All Processes Without Controls**: Displays information about all processes that have no controls. Information includes the organization, process title, process owner, status, and last update.
	• **All Processes Without Flowcharts**: Displays information about all processes that have no flowchart attachments. Information includes the organization, process title, process owner, status, and last update.
	• **All Released Processes Without Owners**: Displays information about all processes that are in a Released state and do not have assigned owners. Information includes the organization, process title, process owner, last update, who last updated a process, and current user.
	• **All Processes Without Assertions**: Displays information about all processes that do not have assertions. Information includes the organization, process title, process owner, status, and the last time a process was updated.
Report criteria links (continued)	• **All Processes Not Updated From Master Process**: Displays information about all linked processes that are not updated from their master process.
	• **All Processes Without Accounting Cycles**: Displays information about all processes that do not have accounting cycles. Information includes the organization, process title, process owner, status, and the last time a process was update.
	• **All Processes Without Financial Statement**: Displays information about all processes that do not have financial

Feature	Description
	statements. Information includes the organization, process title, process owner, status, and the last time a process was updated.
	• **All Processes Without Risks**: Displays information about all processes that do not have documented risks. Information includes the organization, process title, process owner, status, and the last time a process was updated.
	• **All Processes With Assertions and No Matching Risks**: Displays information about all processes that have assertions not related to risks. Information includes the organization, process title, process owner, assertion, assertion status, and the last time an assertion was updated.
	• **All Processes With Insufficient Documentation**: Displays information about all processes with a doc level of Medium-High, and High. Information includes the organization, process title, process owner, doc level, status, and the last time a process was updated.
Criteria heading	Name of the criteria item.
Assertion field	Specify an assertion.

Feature	Description
Assertion Status field	Specify the status of an assertion: • Initialized • Collection • Open • Edit • Closed • Cancel • Approval • Released • Retired • Collection Rejected • Approval Rejected • Prepare
Current User field	Specify the name of the user currently accessing the process.
Doc Level field	Specify a Doc Level: • 1 Low • 2 Low-Med • 3 Medium • 4 Med-High • 5 High

Feature	Description
Last Assertion Update field	Specify a date for the last time the item was updated. You can click the double arrow icon next to the field to display a calendar and select a date.
Last Risk Update check box and field	Specify a date for the last time the item was updated. You can click the double arrow icon next to the field to display a calendar and select a date.
Last Update check box and field	Specify a date for the last time the item was updated. You can click the double arrow icon next to the field to display a calendar and select a date.
Last Updated By field	Specify the name of the user who last updated the process.
Master Process Title field	Specify the title of a master process.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Process Title check box and field	Specify the title of a process.
Risk Significance check box and field	Specify a value that indicates how likely it is that the risk will impact the process: • 1 Low • 2 Low-Med • 3 Medium • 4 Med-High • 5 High

Feature	Description
Risk Status field	Specify a risk status.
	• Initialized
	• Collection
	• Open
	• Edit
	• Closed
	• Cancel
	• Approval
	• Released
	• Retired
	• Collection Rejected
	• Approval Rejected
	• Prepare
Risk Type check box and field	Specify the type of risk:
	• Financial Fraud
	• Theft of Assets
	• Theft of Services
	• Regulatory Compliance
	• Breach of Security

Feature	Description
Status field	Specify a process status.
	• Initialized
	• Collection
	• Open
	• Edit
	• Closed
	• Cancel
	• Approval
	• Released
	• Retired
	• Collection Rejected
	• Approval Rejected
	• Prepare
Run Report button	Initiates creation of a report based on the selected criteria.

Exception - Control Reports Page

The following table describes the report links and criteria used in Exception - Control reports.

The Exception - Control Reports page is used to view reports on control exception information based on criteria specified by users. To access this page, from the Reports tray select Reports—Exception—Control. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCP, MPL, and template processes and objects. • **All Controls With Missing COSO Attributes**: Displays information about all controls that do not have COSO attributes (COSO component and COSO category). Information includes the organization, process title, control title, process owner, the last date a process was updated, and the status of a control. • **All Controls With No Test Instructions**: Displays information about all controls that do not have test instructions. Information includes the organization, process title, control title, process owner, status, and the last date a process was updated. • **All Controls With No Risks By Process By Location**: Displays information about all controls that do not have related risks, sorted by process and location in Organization map. Information includes the organization, process title, control title, process owner, the date a process was last updated, and the status of a process.
Criteria heading	Name of the criteria item.
Control Title check box and field	Specify a control title.
Last Update check box and field	Specify the last date processes could be updated. You can click the double arrow icon to display a calendar and select a date.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.

Feature	Description
Process Owner check box and field	Specify a process owner.
Process Title check box and field	Specify the title of a process.
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Edit • Approval • Released • Retired • Collection Rejected • Approval Rejected
Run Report button	Initiates creation of a report based on the selected criteria.

Exception - Issue Reports Page

The following table describes the report links and criteria used in Exception - Issue reports.

The Exception - Issue Reports page is used to view reports on issue exception information based on criteria specified by users. To access this page, from the Reports tray select Reports—Exception—Issues. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports include MCL, MPL, and template processes and objects. • **All Issues Not Closed From Previous Periods**: Displays information about all issues not in a Closed state from previous periods of time. Information includes the organization, process title, issue, initiator, process owner, the last date a process was updated, and status. • **All Issues Without Remediation Plans**: Displays information about all issues that do not have plans for how to resolve the issue (remediation). This includes issues in Open and Held states. Information includes the organization, process title, issue, initiator, process owner, the last date a process was updated, and status.
Criteria heading	Name of the criteria item.
Issue check box and field	Specify an issue.
Initiator check box and field	Specify the name of a user who initiated an issue.
Last Update check box and field	Specify the last date processes could be updated. You can click the double arrow icon to display a calendar and select a date.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify a process owner.
Process Title check box and field	Specify the title of a process.

Feature	Description
Status check box and menu	Specify a process status. Select a status from the menu:
	• Initialized
	• Collection
	• Edit
	• Approval
	• Released
	• Retired
	• Collection Rejected
	• Approval Rejected.
Run Report button	Initiates creation of a report based on the selected criteria.

Scheduling - Process Reports Page

The following table describes the report links and criteria used in Scheduling - Process reports.

The Scheduling - Process Reports page is used to view reports on scheduling information based on criteria specified by users. To access this page, from the Reports tray select Reports—Scheduling—Process. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report: • **Current Status of Process Documentation**: Displays information about the current status of all processes in the Edit, Collection, and Approval states. Information includes the organization, accounting cycle, title, process owner, current user, initiator, the date a process is checked in to the content server.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon next to the field to display an organization map of the accounting folders and select a folder.
Current User check box and field	Specify the name of a user currently assigned to a process.
In Date check box and field	Specify a date. You can click the double arrow icon to display a calendar and select a date.
Initiator check box and field	Specify the name of a user who initiated a workflow.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify a process owner.
Title check box and field	Specify the title of a process.
Run Report button	Initiates creation of a report based on the selected criteria.

Scheduling - Testing Reports Page

The following table describes the report links and criteria used in Scheduling - Testing

reports.

The Scheduling - Testing Reports page is used to view reports on scheduling information based on criteria specified by users. To access this page, from the Reports Tray select Reports—Scheduling—Testing. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report: • **Current Status of Testing/Monitoring**: Displays status information about all processes in a Testing workflow. This includes test covers in a Validate, Active Test, Review, Completed, and Failed state. Information includes the organization, accounting cycle, process owner, test cover title, current owner, started by, test owner, and the date a process is scheduled to be through the workflow.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon next to the field to display an organization map of the accounting folders and select a folder.
Current User check box and field	Specify the name of a user currently assigned to a Process workflow.
In Date check box and field	Specify a date by which a process is scheduled to be through a Process workflow. You can click the double arrow icon to display a calendar and select a date.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.

Feature	Description
Process Owner check box and field	Specify the name of a process owner.
Started By check box and field	Specify the name of a user who initiated an issue.
Status check box and menu	Specify a process status. Select a status from the menu: • Initialized • Collection • Edit • Approval • Released • Retired • Collection Rejected • Approval Rejected.
Test Cover Title check box and field	Specify the test cover title of a process test.
Run Report button	Initiates creation of a report based on the selected criteria.

Scheduling - Issue Reports Page

The following table describes the report links and criteria used in Scheduling - Issue reports.

The Scheduling - Issue Reports page is used to view reports on scheduling information based on criteria specified by users. To access this page, from the Reports tray select Reports—Scheduling—Issues. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report: • **Current Status of Issue Remediation**: Displays status information about all issues in an Issue workflow. This includes issues in an Open, Closed, and Held state. Information includes the organization, accounting cycle, issue title, process owner, issue originator, current user, and the date an issue was created.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon next to the field to display an organization map of the accounting folders and select a folder.
Current User check box and field	Specify the name of a user currently assigned to a Process workflow.
Issue Create Date check box and field	Specify a date when an issue was created. You can click the double arrow icon to display a calendar and select a date.
Issue Originator check box and field	Specify the name of a user who created an issue.
Issue Title check box and field	Specify the title of an issue.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Run Report button	Initiates creation of a report based on the selected criteria.

Matrix Reports Page

The following table describes the report links and criteria used in Matrix reports.

The Matrix Reports page is used to view relational matrix reports of information based on criteria specified by users. To access this page, select **Reports—Matrix**. The links for reports are displayed at the top of the page. When the link is selected the criteria for refining the report is displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific organization name, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Relational Report, page 13-4.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report. Reports do not include MCL, MPL, and template processes and objects. • **Assertions-Risks-Controls Matrix**: Displays the list of business processes with a Matrix button. The matrix displays information about the assertions, risks, and controls within a process and the relationship between them. Does not include processes in a Retired state. Information includes the title, process owner, organization, accounting cycle, and "in" date. • **Effectiveness Reviews**: Displays the list of processes with a Review button. The review displays the controls (and, optionally, risks) within a process. Does not include processes in a Retired state. Information includes the title, process owner, organization, accounting cycle, and "in" date.
Criteria heading	Name of the criteria item.
Accounting Cycle check box and field	Specify an accounting cycle. You can click the double arrow icon next to the field to display an organization map of the accounting folders and select a folder.

Feature	Description
In Date check box and field	Specify a date. You can click the double arrow icon to display a calendar and select a date.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
Process Owner check box and field	Specify the name of a process owner.
Title check box and field	Specify a process title.
Run Report button	Initiates creation of a report based on the selected criteria.

Library Reports Page

The following table describes the report links and criteria used in Library reports.

The Library - Reports page is used to view reports on Master Component Library and Master Process Library status information based on criteria specified by users. To access this page, from the Reports tray select Reports—Library. The links for different reports are displayed at the top of the page. When a link is selected the criteria for refining reports are displayed in the lower part of the page. Users can specify criteria for the report, such as entering a specific process title, or users can leave the criteria empty and the report will automatically include all criteria.

For information on creating reports refer to Creating a Standard Report, page 13-3.

Feature	Description
Report criteria links	Select a link to specify criteria to run a report:

- **All Master Component Assertions**: Displays information about assertions in all Master Components. Information includes the process title, assertion title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Master Component Controls**: Displays information about controls in all Master Components. Information includes the process title, control title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Assertions linked from Master Components**: Displays information about assertions linked from Master Components to other processes in the application. Information includes the process title, assertion title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Controls linked from Master Components**: Displays information about controls linked from Master Components to other processes in the application. Information includes the process title, control title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

Feature	Description
Report criteria links (continued)	Select a link to specify criteria to run a report:

- **All Assertions from MCL out of sync with MCL Source**: Displays information about assertions linked to the Master Component Library (MCL) that are not synchronized with updates to the MCL assertions. Information includes the process title, assertion title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Controls from MCL out of sync with MCL Source**: Displays information about controls linked to the Master Component Library (MCL) that are not synchronized with updates to the MCL controls. Information includes the process title, control title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Master Processes**: Displays information about all processes in the Master Process Library (MPL). Information includes the process title and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

Feature	Description
Report criteria links (continued)	Select a link to specify criteria to run a report:

- **All Components in OU Process not from MCL**: Displays information about all components in Operating Unit (OU) processes which are linked from a master process, where the components are not from the Master Component Library (MCL). Information includes the OU process title, OU organization, and component title. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Master Component Risks**: Displays information about all the risks in Master Components. Information includes the process title, risk title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Master Component Attachments**: Displays information about all the attachments in Master Components, including attachments to MCL controls and MCL test instructions. Information includes the process title, control title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

- **All Risks linked from Master Components**: Displays information about all the risks linked from Master Components to other processes in the application. Information includes the process title, risk title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

Feature	Description
Report criteria links (continued)	Select a link to specify criteria to run a report: • **All Attachments linked from Master Components**: Displays information about all attachments linked from Master Components to other processes in the application. Information includes the process title, attachment title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder. • **All Risks from MCL out of sync with MCL Source**: Displays information about all risks linked to the Master Component Library (MCL) that are not synchronized with the updated MCL risks. Information includes the process title, risk title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder. • **All Attachments from MCL out of sync with MCL Source**: Displays information about all attachments linked to the Master Component Library (MCL) that are not synchronized with the updated MCL attachments. Information includes the process title, attachment title, and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.

Feature	Description
Report criteria links (continued)	Select a link to specify criteria to run a report: • **All OU Processes Linked to Master Processes**: Displays information about all Operating Unit (OU) processes that are linked to master processes. Information includes the process title and organization. You can click the double arrow icon next to the Organization field to display an organization map of the accounting folders and select a folder.
Criteria heading	Name of the criteria item.
Assertion Title check box and field	Specify an assertion title.
Attachment Title check box and field	Specify an attachment title.
Control Title check box and field	Specify a control title.
Organization check box and field	Specify an organizational unit. You can click the double arrow icon next to the field to display an organization map and select a folder.
OU Organization check box and field	Specify the Operating Unit (OU) organization.
OU Process check box and field	Specify the Operating Unit (OU) business process.
Process Title check box and field	Specify a business process title.
Risk Title check box and field	Specify a risk title.
Run Report button	Initiates creation of a report based on the selected criteria.

Ad-hoc Reporting

On some pages, for example, the Business Process search page, you can access ad-hoc reports by selecting the information (i) button. These reports contain details about the selected line item. For example, for a business process, the report includes information

about any assertions, risks, issues, or action items that are associated with the process. Another example is, on the Completed tests page, you can view the Control Profile for the current test. These reports contain different fields depending on the screen from which you access them.

14

Managing Templates and Libraries

This chapter covers the following topics:

- About Templates
- Template Types
- Template Storage
- Managing Business Process Templates
- Creating a Process Template
- Using a Business Process Template
- Using a Related Document Template
- Managing Attachment Templates
- Creating a Process Template for Attachments
- Creating an Attachment Template
- Revising an Attachment Template
- Using an Attachment Template
- Managing the Master Component Library
- Creating an MCL Container
- Revising an MCL Container
- Creating an MCL Component
- Revising an MCL Component
- Retiring an MCL Component
- Retiring a Linked Component on a Business Process
- Synchronizing Components
- Creating a Linked Component Document
- Revising a Linked Component Document

- Managing the Master Process Library

- Creating a Master Process

- Revising a Master Process

- Adding Components to a Master Process

- Retiring a Component from a Master Process

- Creating a Linked Process

- Revising a Linked Process

- Retiring a Linked Process

- Synchronizing Linked Processes

- Refreshing from a Business Process

- Template and Library Interfaces

- Template Selection Page

- Process Template Screen

- Attachment Template Screen

- Library Tray

- Master Library Business Processes Page

- Master Component Library Page

- Master Business Processes Page

- Master Component Page

- Master Process Page

- Master Component Library Selection Page

About Templates

A *template* is a predefined document that is available to be used as the basis for new business processes, for adding components (assertions, risks, and controls) to business processes, and for adding attachments to business processes. Templates can be useful for designing company standards regarding business processes. Template information can be inserted into existing business processes without having to perform data entry.

Depending on the type of template, a template can be used to make a simple copy of the source component (one or more documents), or a template can be used to make a component that is linked to its source component so that any changes to the template can be synchronized with its linked copies.

The following sections provide additional information about templates:

- Template Types, page 14-3

Template Types

The GRC Manager application supports four types of templates:

- *Process template*: a document of type *process*, which is a business process that holds a common set of components (assertion, risk, and control). Components in a process template can be added to already defined business processes by using the "Add from Template" button. After components from a process template are added to a business process, the copied components are managed independently of the template source.

- *Attachment template*, a document of type *attachment*, which can be used to define a required set of attachments that represent a formal specified level of documentation. This documentation level is tied to a business process to provide users with a standardized list of required documentation, which can be automatically copied directly into a business process. When a copy is made of the template, the copy is managed independently of the template source.

- *Master process template*: a document of type *process* that acts as a source document with links maintained to it from the copies. When a business process is copied from and still linked to the master process, any updates to the template propagates the changes to its linked processes. For master processes and master components, changes are propagated only for fields that are configured to do so.

- *Master component template*: a document of type *assertion*, *risk*, *control*, or *attachment* to a process that acts as a source document with links maintained to it from the copies. When a business process uses a master component template for its component documents and remains linked to the template, any updates to the template propagates the changes to its linked documents.

Template Storage

Templates are stored in folders (or *organization units*) within a Template folder in an organization map. For example, templates for business processes components that can be copied with no links to the source documents are stored in <*Root*>/Templates/Processes. Master process templates that can be copied with links to the source documents are stored in <*Root*>/Templates/Master Processes.

> **Note:** The Templates folder (unit) in the Organization map can have additional organization path levels below it for all four template types.

Throughout this user guide the storage location for master process templates is generally referred to as the Master Process Library (MPL). The storage location for

master component templates is generally referred to as the Master Component Library (MCL). For more information on where the templates are stored in maps refer to Managing Maps, page 4-xviii.

Managing Business Process Templates

A business process template can be created to be used *without* links to the source file or files. When a new business process uses components from a process template, the components are managed independently of the template source. This type of template can be used in one of two ways:

- Use the "Add from Template" button on a components tab of a new business process to select and add components (created in a business process template).

- Select a related-documents template (created in a business process template) and insert it into an existing business process.

Information on how to create a simple business process template and related-documents template is provided in the following section:

- Creating a Process Template, page 14-4

Information on how to use a business process template and related-documents template is provided in the following sections:

- Using a Business Process Template, page 14-5

- Using a Related Document Template, page 14-6

Creating a Process Template

> **Note:** All related documentation entered for a process template are also templates. Attachments are not allowed in process templates. Refer to Managing Attachment Templates, page 14-7.

To create a business process template, complete the following steps:

Permission: The Create right is required to perform this task. This right is assigned by default to the SOAICAdmins, SOAGlobalICAdmins, and SOABPCreator roles.

1. From the application navigation panel, select **Business Processes—Add New Process**.

   The Retired Processes Page, page 5-25 is displayed with the Basics tab enabled.

2. Select the organizational location for the business process by clicking the Info icon located to the right of the Organization path text box.

A Process Template Screen, page 14-35 with an organization map is displayed.

3. Select the appropriate organizational location for the process template.

> **Note:** To make the business process a template, select the *Root* /Templates/Processes (or below) organizational path, where *Root* is the top-level container in the map.

4. Click **OK** to continue.

5. Enter a title for the business process template.

6. Enter the appropriate information for the process template. For descriptions of the fields refer to Retired Processes Page, page 5-25

> **Note:** For instructions on entering related documents into a business process refer to Creating Business Processes, page 5-4.

> **Note:** Control-to-control relationships are not supported in process templates.

7. Click **Save**.

The business process is entered into the system.

> **Note:** After saving the business process template, all process template tabs are available. To revise information on the Basics tab, click **Edit** and make the desired changes. When finished, click **Save** to save changes, or click **Cancel** to undo changes. Clicking **Close** will prompt you to save any changes and then close the document.

Using a Business Process Template

To use a business process template to add predefined components to a new business process, complete the following steps:

1. Create a new business process.

2. Select the appropriate tab for assertions, risks, or controls.

3. On the tab select "Add from Template" to display a list of business process templates that contain the same type of component as the tab.

The Template Selection Page, page 14-33 is displayed.

4. Click the check box for a template process title from the list.

5. Click **OK**.

   The template component is added to the new process and the component title is included in the list on the tab.

Using a Related Document Template

After a business process template has been defined, all related documents added to that template can also be used as templates.

> **Note:** Attachments are not allowed in business process templates.

A related document template can be inserted into an existing business process by using the **Add from template** button located on the following document tabs:

- Assertions

- Risks

- Controls

- Control test instructions

To insert a related document template into a business process, complete the following steps:

Permission: The Modify right is required to perform this task. This right is assigned by default to the SOAICAdmins, SOAGlobalICAdmins, SOABPCreator, and SOABPUsers roles.

1. Verify that the selected business process is in a state of Initialized, Edit, or Collection.

2. Open the business process and click the Assertions, Risks, or Controls tab, depending upon where you want to add related documentation. For Control Test Instructions, also click the desired control title in the Instructions page.

   A list of the existing related documents for the business process is displayed. If there are no related documents, the list is empty.

3. Click **Add from template**.

   The Template Selection Page, page 14-33 is displayed.

4. Enter search criteria to find the template to insert. Use the fields to refine the search.

5. Click **Apply Filter**.

A search is performed in the *<root>*/Templates/Processes organizational unit for the associated related documents that match the criteria.

6. Place a check next to each related document to insert for this process and click **Continue**. You can select more than one related document.

   The selected related documents are copied onto the business process.

7. To edit any of the newly copied related documents, click the title to open the document, then click **Edit** and make the desired changes.

8. Click **Save**.

   The changes to the business process are saved in the system.

Managing Attachment Templates

An attachment template defines a set of documents (for example, Microsoft Word, Visio, and Excel documents) that are directly associated with a specified Doc Level for a business process. The default GRC Manager application provides five Doc Level settings: Low, Low-Med, Medium, Med-High, and High. These settings may be different if the application is customized.

An attachment template can be re-used to associate a set of documents with more than one business process. For example, a Doc Level of High could require the following attachments:

• Process Narrative

• Process Flowchart

• Business Continuity Schedule

If an attachment template is created and associated with a Doc Level of High, it is possible for any business process that is created with a Doc Level of High to select and use the documents in the attachment template.

Information on how to create a simple business process template for attachments and an attachment template is provided in the following topics:

• Creating a Process Template for Attachments, page 14-8

• Creating an Attachment Template, page 14-9

• Revising an Attachment Template, page 14-10

Information on how to use an attachment template is provided in the following topic:

• Using an Attachment Template, page 14-10

Creating a Process Template for Attachments

Attachment templates require that first a business process template be defined to correctly group the attachment templates together.

Permission: The Create right is required to perform this task. This right is assigned by default to the SOAICAdmins, SOAGlobalICAdmins, and SOABPCreator roles.

To create an attachment template using the GRC Manager user interface, complete the following steps:

1. From the application navigation panel, select **Business Processes—Add New Process**.

   The Process Page, page 5-36 is displayed with the Basics tab enabled.

2. Enter a title for the business process template that will hold the attachments.

3. Click the icon located to the right of the Organization path text box.

   A screen is displayed with an organization map. For more information on the screen options refer to Attachment Template Screen, page 14-36.

4. Select the organization location for the business process.

   > **Note:** To make the business process a container for template attachments, select the *Root*/Templates/Attachments (or below) organization path, where *Root* is the top-level container in the map.

5. Click **OK**.

6. From the Basics tab, select the appropriate Doc Level value by selecting a value from the list. This associates the business process template and attachments with the correct level of documentation.

7. When finished, click **Save** and the business process is entered into the system.

8. To enter more information about the process, click **Edit** and the process attributes are available for editing. For information on the process attributes refer to Retired Processes , page 5-25

9. When complete, click **Save** to save changes or click **Cancel** to undo changes. Clicking **Close** will prompt you to save any changes made and then close the document.

   > **Note:** After saving the business process template, all process

template tabs are available. To revise information on the Basics tab, click **Edit** and make the desired changes.

> **Note:** A process template for attachments is a regular business process that has its organizational path set to *Root*/Templates/Attachments (or below), and its System Type value set to Template and its System Sub Type set to Template.

> **Note:** For a process template for attachments, the only documents used are the attachments. All other Related Documents cannot be used. For more information refer to Revising Business Processes, page 5-10.

Creating an Attachment Template

After a business process template for attachments has been defined, all related attachments entered for that business process template are also templates.

Permission: The Create right is required to perform this task. This right is assigned by default to the SOAICAdmins, SOAGlobalICAdmins, and SOABPCreator roles.

To add an attachment template, complete the following steps:

1. Open the desired business process template under the *Root*/Templates/Attachments organizational path.

   The Process Page, page 5-36 is displayed.

2. Click **Attachments**.

   A list of attachments for the process is displayed. If there are no attachments, the list is empty.

3. Click **Add Attachment**.

   The Attachment Screen, page 5-46 is displayed.

   > **Note:** If GRC Manager has been configured to support adding multiple file attachments, the Attachment Screen, page 5-46 is displayed instead.

   > **Note:** Alternatively, you can click the **Add Reference** button to add a reference instead of an attachment.

4. Click **Browse** and select the file to attach.

   The name of the file will be used as the title.

5. Change the title as needed.

6. Click the check box if the document being added is a flowchart or other type of document.

7. Select a Document Type value from the menu.

8. Click **Save**.

   A confirmation message is displayed below the Save button upon successful completion of the upload.

   > **Note:** The attachment or attachments might not be displayed immediately in the attachments list. The content server needs to process the document before it can be displayed. This delay may vary depending on the current level of system activity.

Revising an Attachment Template

Permission: The Modify right is required to perform this task. This right is assigned by default to the SOAICAdmins, SOAGlobalICAdmins, SOABPCreator, and SOABPUsers roles

To revise an attachment template, complete the following steps:

1. Revise the document in whatever tool is required (for example, Microsoft Word, Visio, Excel).

2. Select the document title from the attachments list to display the Attachment Input page.

3. Browse for the new document, then click **Save**.

   A new version of the document is entered into the system.

Using an Attachment Template

Permission: The Modify right is required to perform this task. This right is assigned by default to the SOAICAdmins, SOAGlobalICAdmins, SOABPCreator, and SOABPUsers roles

To use an attachment template, complete the following steps:

1. Open an existing business process or create a new business process.

2. If using an existing process, click **Edit** to enable the Process Page, page 5-36

3. In the Basics tab select the appropriate Doc Level for the process.

4. Click **Save**.

   The process is saved.

5. Click the Attachments tab.

   A list of existing attachments for the process is displayed. If any of the attachments are part of the Doc Level group, a value is present in the Doc Level column of the list, indicating to which Doc Level the attachment belongs.

6. Click **Required Documentation.**

   A list of the required attachments that meet the Doc Level for the process is displayed.

7. Select the check box for each attachment template to insert into the process. To select all attachment templates, select the check box for All.

8. Click **Continue**.

   The selected attachments are copied into the process.

To edit the attachment, complete the following steps:

1. Click **Get** (next to the attachment title) to download the file.

2. Click **Save** on the Windows prompt to save the document to your local machine.

3. Edit the file as needed.

4. From the attachments list, click the attachment title to open the Upload Attachments page.

5. Click **Browse** and select the updated file from your local machine.

6. Click **Save**.

   The file is uploaded to the content server.

Managing the Master Component Library

The Master Component Library (MCL) consists of one or more business processes used as *containers* for master components. *Master components* are template documents of the following types, which are available to be used in other locations in Organization maps:

- Assertions

- Risks

- Controls (with associated test instructions and attachments)

- Attachments to a process

When a master component is copied, the new component remains linked to the source master component so that updates to the MCL can be propagated to all the linked components to keep them synchronized.

The MCL is used to create, store, and manage master components and their containers. Information on how to manage the MCL, containers and components is provided in the following sections:

> **Note:** An MCL container process cannot be retired.

- Creating an MCL Container, page 14-12

- Revising an MCL Container, page 14-13

- Creating an MCL Component, page 14-14

- Revising an MCL Component, page 14-16

- Retiring an MCL Component, page 14-17

- Retiring a Linked Component on a Business Process, page 14-19

- Synchronizing Components, page 14-19

- Creating a Linked Component Document, page 14-20

- Revising a Linked Component Document, page 14-21

Creating an MCL Container

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the process creator assigned permissions for the organization map to perform this task.

To create a business process document as an MCL container for hosting master component documents, complete the following steps:

1. Log in as a user with authority to create an MCL container.

2. Select **Library—Add New MCL**.

The Business Process Page, page 5-29 is displayed. The Organization path name is automatically set with the path name to the pre-configured location for MCL templates.

3. Specify the fields the same as you would for a business process.

4. Click **Save**.

> **Note:** After the container process is saved, it can be edited to add components before saving it again and then routing it for approval.

5. Click **Approve Changes**.

    A confirmation prompt is displayed.

6. Click **OK**.

    The container process is routed to reviewers for approval. When the process has been approved by all reviewers, the system will set the MCL process container and all it components to a state of Released, just as it would for a normal business process, and save the MCL container.

For information on how to propagate changes refer to Synchronizing Components, page 14-19.

Revising an MCL Container

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

To modify an MCL container process, complete the following steps:

1. Log in as a user with authority to modify the MCL.

2. Click **Library—Master Components**.

    The Master Library Business Processes Page, page 14-37 is displayed with a list of MCL container processes.

    > **Note:** An assigned process owner might not have permission to view the Library—Master Components menu item. An alternate method is to select the Business Processes tray and click the All Processes link to find and open the process.

3. Select an MCL container process.

    The Master Component Page, page 14-41 is displayed.

4. Click **Revise**.

5. Make changes to the MCL container process.

6. Click **Approve Changes**.

The MCL container process is routed to reviewers for approval. When all reviewers have approved the container, the process is routed back to the MCL editor for action.

7. Click **Approve**.

    1. The MCL container process is placed in a Released state.

    2. A screen prompts the user to start propagating changes from the container to the linked components. For information on how to propagate changes refer to Synchronizing Components, page 14-19.

Creating an MCL Component

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

> **Note:** A valid MCL process container must exist before a component can be added to the container. An MCL component must be created new; it cannot be linked to another MCL component as its source or copied from a template.

To create a component for the MCL and make it available for assignment as a master component, complete the following steps:

1. Log in as a user with authority to modify the MCL.

2. In the navigation panel select **Library—Master Components**.

The Master Library Business Processes Page, page 14-37 is displayed.

> **Note:** An assigned process owner might not have permission to view the Library—Master Components menu item. An alternate method is to select the Business Processes tray and click the All Processes link to find and open the process.

3. Select an MCL container process.

The Master Component Library Page, page 14-38 is displayed.

4. Click **Revise**.

5. Select the tab for the type of document to be created. The following document types can be components:

- Assertion

- Risk

- Control

- Attachment to a process

  > **Note:** MCL risk components are not allowed to have related assertions. MCL control components are not allowed to have related risks. Control-to-control relationships are not supported in the MCL.
  >
  > MCL control components are by default not allowed to add related automations. Because this is configurable, your administrator might allow it.

6. Click **Add** for the type of component.

   A definition page is displayed for the selected document type.

7. Fill in the fields with appropriate information for the document type, or upload an attachment, as you would for a regular business process. The list of fields to be propagated is defined in the configuration file.

8. Click **Save**.

   The component is saved in the system in the container process.

9. If desired, add additional components by repeating the previous steps in this procedure.

10. When finished adding component documents, click **Approve Changes**.

    A confirmation prompt is displayed.

11. Click **OK**.

    The MCL additions in the container process are routed for review and approval. Upon approval, the container process is routed back to the editor for action.

12. Click **Approve**.

    1. The MCL container process with the component (or components) is placed in a state of Released.

2. A pop-up window that controls the propagation appears and prompts the user to start propagating changes to the linked components. For information on propagating changes refer to Synchronizing Components, page 14-19.

Revising an MCL Component

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

To modify a Master Component Library component, complete the following steps:

1. Log in as a user with authority to modify the MCL.

2. Click **Library—Master Components**.

   The Master Library Business Processes Page, page 14-37 is displayed with a list of MCL container processes.

   > **Note:** An assigned process owner might not have permission to view the Library—Master Components menu item. An alternate method is to select the Business Processes tray and click the All Processes link to find and open the process.

3. Select an MCL container process title.

   The Master Component Library Page, page 14-38 is displayed.

4. Click **Revise**.

5. Modify components as follows:

   For assertions, risks, or controls:

   1. Find the master component document you want to change by clicking the appropriate tab.

   2. Select a component title.

   3. The Master Component Page, page 14-41 is displayed.

   4. Click **Edit**.

   5. Modify the component as needed.

   6. Click **Save**.

> **Note:** No related documents fields can be changed.

For attachments:

1. Click **Get** to download the current version of the attachment to modify.

   The attachment page is displayed.

2. Modify the attachment document.

3. Click the title to open the Attachment prompt.

4. Upload the master component attachment to the system.

6. Click **Approve Changes**.

   A confirmation prompt is displayed.

7. Click **OK**.

   The container process is routed to reviewers. When the container process is approved it is routed back to the MCL editor for action.

8. Click **Approve**.

   1. The MCL container process is placed in a Released state.

   2. A pop-up window that controls the propagation appears and prompts the user to start propagating changes to the linked components (see Synchronizing Components, page 14-19).

      If you do not want to propagate changes, click **Cancel**.

      > **Note:** If you do not propagate changes now, then every process where components are linked to will have to be refreshed one at a time by using the Refresh from MCL button in the process.

Retiring an MCL Component

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

> **Note:** MCL components cannot be retired if there are any non-retired linked components. Refer to Retiring a Linked Component on a Business , page 14-19.

To retire a Master Component Library component, complete the following steps:

1. Log in as a user with authority to modify the MCL.

2. Click **Library—Master Components**.

   The Master Library Business Processes Page, page 14-37 is displayed with a list of MCL container processes.

   > **Note:** An assigned process owner might not have permission to view the Library—Master Components menu item. An alternate method is to select the Business Processes tray and click the All Processes link to find and open the process.

3. Select an MCL container process title.

   The Master Component Library Page, page 14-38 is displayed.

4. Click **Revise**.

5. Click the tab for the type of component to be retired.

   For **assertions, risks, or controls** (including test instructions), complete the following steps:

   1. Select a title from the list of master component titles.

      The Master Component Page, page 14-41 is displayed. If the MCL component has linked components then the Retire button will be disabled. Before a linked component can be retired, every linked copy must be retired.

   2. Click **Retire**.

      For **attachments**, complete the following steps:

   3. Select a title from the list of attachment titles.

      The attachment page is displayed.

   4. Click **Retire**.

      A confirmation prompt is displayed.

      > **Note:** Retirement is permanent and cannot be reversed.

6. Click **OK**.

   The MCL component is retired and can no longer be used.

Retiring a Linked Component on a Business Process

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

To retire a business process component that is linked to a master component, complete the following steps:

1. Log in as a user with authority to retire a business process.

2. Locate a business process and open it.

   The Process Page, page 5-36 is displayed.

3. Click **Revise**.

4. Click the tab for the document type (assertion, risk, control, test instructions, or attachment).

   The selected tab is displayed with a list of existing components. Each component in the list is designated as to whether it is linked to a master component in the MCL.

5. Select the title of the component to be retired.

   The Master Component Page, page 14-41 is displayed.

6. Click **Retire**.

   A confirmation prompt is displayed.

   > **Note:** Retirement is permanent and cannot be reversed.

7. Select **OK**.

   The component is retired from the business process.

8. Click **Approve Changes**.

   A confirmation prompt is displayed.

9. Click **OK**.

   The business process is routed to reviewers for approval. When the process is approved by all required reviewers, it is set to the Released state.

Synchronizing Components

To synchronize linked components with master components from an open business process, complete the following steps. The business process remains in a Released state

during this procedure. If the process is not in a Released state, the Refresh from MCL button will not be enabled.

Permission: You must have a role that is configured with "MAINT_RefreshFromMCL" authorization to perform this task.

> **Note:** A business process component can be synchronized only with the following conditions:
>
> - The business process is in a Released state.
>
> - The component to be synchronized is in a Released state.
>
> - The business process is not locked because of an organization map renaming action or other synchronization activity.

1. Log in as a user with authority to edit a business process.

2. Locate a business process and open it.

   A Process Page, page 5-36 is displayed. If any linked components are not synchronized with their master components, the Refresh from MCL button is enabled.

3. Click **Refresh from MCL**.

   Data for all linked components is synchronized with information from the MCL for all fields configured to be propagated. Fields configured for propagation will depend on the document type. No status screen is displayed.

   > **Note:** Any fields in a linked component that are not propagated from the master component do not change.

Creating a Linked Component Document

Permission: You must have the SOAICAdmins role or the SOAGlobalICAdmins role to perform this task.

To add a master component from the Master Component Library to a business process, complete the following steps:

1. Log in as a user with authority to access the MCL and edit a business process.

2. Locate a business process and open it.

   A Process Page, page 5-36 is displayed.

3. Click **Revise**.

4. Click the tab for the document type (assertion, risk, control, attachment) to be added from the MCL.

   The selected tab is displayed with a list of existing components.

5. Click **Add from Library**.

   The MCL Selection page is displayed.

6. Enter filter criteria and click **Apply Filter**.

   The screen is re-displayed with the master components that match the filter criteria. If the criteria is not satisfactory, click **Clear Filter** and enter new criteria.

7. Select one or more master components and click **OK**.

   > **Note:** Master components must be in a Released state.

   The master components are copied to the business process with all available metadata from the MCL. The copied components are linked to their corresponding master components.

   The document type tab is displayed with the new components listed. Each component that is linked to the MCL is noted on the display.

8. Click **Approve Changes**.

   A confirmation prompt is displayed.

9. Click **OK**.

   The business process is routed to reviewers for approval. When the process is approved, it is set to the Released state.

Revising a Linked Component Document

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

To modify the non-linked metadata fields for a business process component that is linked to a master component, complete the following steps:

1. Log in as a user with authority to revise a business process.

2. Locate a business process and open it.

   The Process Page, page 5-36 is displayed.

3. Click **Revise**.

4. Click the tab for the document type (assertion, risk, control, or attachment).

   The selected tab is displayed with a list of existing components. Each component in the list is designated as to whether it is linked to a master component in the MCL.

5. Select a component title.

   The Master Component Page, page 14-41 is displayed.

6. Click **Edit**.

   Modify the component as desired.

   > **Note:** Component metadata fields that are propagated from the master component are not enabled for edit.

7. Click **Save**.

8. Click **Approve Changes**.

   A confirmation prompt is displayed.

9. Click **OK**.

   The business process is routed to reviewers for approval. When the process is approved, it is set to the Released state.

Managing the Master Process Library

The Master Process Library (MPL) is used to create and store business process templates, which become available to be used in other locations in GRC Manager. Master business processes (also called *master processes*) contain an entire business process, including all documents and attachments. When a master process is copied, the new business process remains linked to the source master process so that updates to the MPL can be propagated to the linked business processes to keep them synchronized.

> **Note:** Only MCL components can be added to a master process.

Information on how to manage the MPL and master processes is provided in the following sections:

- Creating a Master Process, page 14-23

- Revising a Master Process, page 14-24

- Adding Components to a Master Process, page 14-25

- Retiring a Component from a Master Process, page 14-26

Creating a Master Process

This section describes how to create a new *master process* to be used as the source for creating business processes that are linked to the master process. When a business process is created by copying a master process, the new process is also called a *linked process*. Before a master process can be created, some Master Component Library components must exist and be in a Released State.

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or the SOABPCreator role (and assigned create permissions in the organization map in the *Root*/Templates/Master Processes path) to perform this task.

To create a master business process, complete the following steps:

1. Log in to GRC Manager as a user with permission to create master processes.

2. Select **Library—Add New MPL** in the application navigation panel.

    A Business Process Page, page 5-29 is displayed. The Organization path name is automatically populated with a default value.

3. Enter information for the following fields:

    - Master process title

    - Default process owner

    - Default test owner (if required)

    - Values for all fields required for the process

    - Values for all other fields for the process

                    Note: Related Controls are supported in master processes. Control relationships can be edited in a master process. However, if the master process is linked to other processes, control relationships are locked down on both the master process and its linked processes. Once a master process is linked to its child process, there is no further link between the

related controls and the source.

> **Note:** Values for non-linked fields will not be propagated upon changes, but will be copied when a new business process linked to the master process is created.

4. Click **Save**.

   > **Note:** The new master process can be edited to add child component documents (refer to Adding Components to a Master Process, page 14-25).

5. When finished entering information, click **Approve Changes**.

   A confirmation prompt is displayed.

6. Click **OK**.

   The master process is routed to reviewers for approval. When all reviewers have approved the process it is routed back to the originating user.

7. Click **Approve**.

   The master process is set to a Released state and is available for use in the MPL.

Revising a Master Process

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

To modify a master process, complete the following steps:

1. Log in to GRC Manager as a user with authority to modify the Master Process Library (MPL).

2. Click **Library—Master Processes**.

   The Master Business Processes Page, page 14-40 is displayed with a list of MPL master processes.

   > **Note:** An assigned process owner might not have permission to view the Library—Master Processes menu item. An alternate method is to select the Business Processes tray and click the All Processes link to find and open the process.

3. Select an MPL master process.

   The Master Process Page, page 14-42 is displayed.

4. Click **Revise**.

5. Make changes to the MPL master process.

6. Click **Approve Changes**.

   The MPL master process is routed to reviewers for approval. When all reviewers have approved the master process, the process is routed back to the MPL editor for action.

7. Click **Approve**.

   1. The MPL master process is placed in a Released state.

   2. A pop-up window that controls the propogation appears and prompts the user to start propagating changes from the process to the linked processes. Only fields that are pre-configured for propagation will be copied to the linked processes. For information on how to propagate changes refer to Synchronizing Linked Processes, page 14-31.

Adding Components to a Master Process

To add master component documents to a master process and relate components as needed, complete the following procedure. Before master components can be added, MCL components must exist and be in a Released State.

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

1. Log in to GRC Manager as a user with permission to modify master processes.

2. Select **Library—Master Processes** in the application navigation panel.

   The Master Business Processes Page, page 14-40 is displayed with a list of master processes.

3. Select a master process to edit.

   The Process Page, page 5-36 is displayed.

4. Click **Revise**.

5. Select the tab for the type of component document to be added: Assertion, Risk, Control, or Attachment.

   A list of existing document components is displayed. The Add from Library button

is enabled.

> **Note:** Only MCL components can be added to a master process.

6. Click **Add from Library**.

   A selection page for the document type is displayed with a list of master components.

7. Specify filter criteria and click **Apply Filter**.

   The page is re-displayed with the master components that match the filter criteria. If the criteria is not satisfactory, click **Clear Filter** and enter new criteria.

8. Select all appropriate master components for the master process and click **OK**.

   > **Note:** Master components must be in a Released state.

   The master components are copied to the master process and linked so that updates to the MCL are propagated to the master process.

9. Relate associated risks to controls and assertions to risks as needed.

10. If appropriate, click **Edit** and change the values of component fields that are not propagated from the MCL.

11. When finished adding component documents, click **Approve Changes**.

    A confirmation prompt is displayed.

12. Click **OK**.

    The master process is routed to reviewers for approval. When the process has been approved it is routed back to the originating user.

13. Click **Approve**.

    1. The MCL container process is placed in a state of Released.

    2. A screen prompts the user to start propagating changes from the container to the linked components. For information on how to propagate changes refer to Synchronizing Linked Processes, page 14-31.

       If you do not want to propagate changes, click **Cancel**.

Retiring a Component from a Master Process

When a master component is retired from a master process, its linked components are

also retired when the master process is propagated. Before a master component can be retired, the master process must be in an Edit state.

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner to perform this task.

To retire a master component, complete the following steps:

1. Log in to GRC Manager as a user with permission to modify master processes.

2. Select **Library—Master Processes** in the application navigation panel.

   The Master Business Processes Page, page 14-40 is displayed with a list of master processes.

   > **Note:** An assigned process owner might not have permission to view the Library—Master Processes menu item. An alternate method is to select the Business Processes tray and click the All Processes link to access the process.

3. Select a master process to edit.

   The Process Page, page 5-36 is displayed.

4. Click **Revise**.

5. Select the tab for the type of component document to be retired:

   - Assertion

   - Risk

   - Control

   - Attachment

     A list of valid items is displayed.

6. Select the component to retire:

   - For assertions, risks, or controls (including test instructions), complete the following steps:

     1. Select a title from the list of master component titles

        .The component page is displayed..

     2. Click **Retire**

   - For attachments, complete the following steps:

1. Select a title from the list of attachment titles.The attachment page is displayed.

2. Click **Retire**

   A confirmation prompt is displayed.

   > **Note:** When a related control that is a key or secondary control is Retired, and a related monitoring control exists, the monitoring control is automatically updated to no longer reference the retired related control. Older versions of the process (accessed through the History tab) will still show the relationship.

7. Click **OK**.

8. When finished retiring component documents, click **Approve Changes**.

   A confirmation prompt is displayed.

9. Click **OK**.

   The master process is routed to reviewers for approval. When the process is approved it is routed back to the originating user.

10. Click **Approve**.

    The master process is set to a Released state.

    > **Note:** When the master process is propagated, components retired from the MCL will be retired from linked business processes.

Creating a Linked Process

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned master process owner (if you have a role configured with the "BP_CreateFromMPL" authorization) to perform this task.

To create a linked business process from a master process, complete the following steps. The master process to be linked to must be in a Released state.

1. Log in to GRC Manager as a user with permission to create linked processes.

2. Select **Library—Master Processes** in the navigation panel.

   The Master Business Processes Page, page 14-40 is displayed with a list of available master processes.

3. Select a master process title.

   The Master Process Page, page 14-42 is displayed.

4. Click **Create Linked Process**.

   The Copy Process (Single) Page, page 4-27 is displayed.

5. Enter the organizational path for the new linked process.

6. Click **Copy Process**.

   A prompt is displayed to enter users for the new linked process:

7. Enter a process owner name.

8. Enter a test owner name.

9. Click **OK**.

   The linked process is created as a complete copy of the master process. The new linked process is in the Initialized state; it must be approved to become Released. The components of the linked process are linked to the MCL component that was the original source.

Revising a Linked Process

Permission: You must have the SOAGlobalICAdmins role or be the assigned process owner to perform this task.

To revise a business process linked to a master process, complete the following steps:

1. Log in to GRC Manager as a user with permission to revise linked processes.

2. Select **Business Processes—All Processes** in the application navigation bar.

   A list of all available business processes is displayed.

3. Select a linked business process from the list.

   The Process Page, page 5-36 is displayed.

   > **Note:** If a business process is linked to a master process in the MPL, the process title is prefixed with the word "Linked."

4. Click **Revise**.

5. To add components, complete the following steps:

   1. Click the tab for the type of document to be added: assertion, risk, control, or

attachment.

The document tab is displayed with a list of existing components.

2. To add a local component, click **Add**.

3. To add an MCL component, click **Add from Library**.

4. To add a component from the templates folders or the MCL *without* linking the component click **Add from Template**. This is an easy method to start creating a local component.

6. To edit components, complete the following steps:

1. Click the tab for the type of document to be revised: assertion, risk, control, or attachment.

   The document tab is displayed with a list of existing components.

2. Click the title of the component to be revised.

   The Master Component Page, page 14-41 is displayed.

3. Click **Edit**.

4. Make changes to the component.

5. Click **Save**.

7. To retire components, complete the following steps:

1. Click the tab for the type of document to be retired: assertion, risk, control, or attachment.

   The document tab is displayed with a list of existing components.

2. Click the title of the component to be retired.

   The Master Component Page, page 14-41 is displayed.

3. Click **Retire**.

8. To edit the linked process complete the following steps:

1. From the business process page click **Edit**.

   The Process Page, page 5-36 is displayed in edit mode.

2. Make changes to the fields as necessary.

3. Click **Save**.

The system saves the process data.

9. When finished revising the linked process and its components select **Approve Changes**.

   A confirmation prompt is displayed.

10. Click **OK**.

    The process is routed to reviewers for approval. When all reviewers have approved the process it is set to a Released state.

Retiring a Linked Process

Permission: You must have the SOAICAdmins role, the SOAGlobalICAdmins role, or be the assigned process owner (if you have a role configured with the "BP_Retire_Proc" authorization) to perform this task.

To retire a business process linked to a master process, complete the following steps:

1. Log in to GRC Manager as a user with permission to retire linked processes.

2. Select **Business Processes—All Processes**.

   A list of all available business processes is displayed.

3. Select a linked business process from the list.

   The Process Page, page 5-36 is displayed.

   > **Note:** If a business process is linked to a master process in the MPL, the process title is prefixed with the word "Linked."

4. Click **Retire**.

   A confirmation prompt is displayed.

5. Click **OK**.

   The system retires the linked business process and all of its children documents.

Synchronizing Linked Processes

There are two methods for synchronizing linked business processes with their source MPL master processes:

- Respond to a propagation prompt that is displayed whenever a user modifies a linked process (Propagating from a Modified Business Process, page 14-31.)

- Use the Refresh from MCL button that is enabled on a Business Process page if the linked process is not synchronized with the master process (Refreshing from a Business , page 14-32.

> **Note:** A business process component can be synchronized only with the following conditions:
>
> The business process is in a Released state.
>
> The business process is not locked because of an open test, an organization map renaming action, or other synchronization activity.
>
> Propagating from a Modified Business Process, page 14-31

Permission: You must have the SOAGlobalICAdmins role or be the assigned process owner to perform this task.

To synchronize a linked component with a master component after modifying a linked component, complete the following steps.

1. Complete the instructions in Creating a Master Process, page 14-23.

   A propagation status screen is displayed. The system will update the status screen as propagation continues. Upon completion, the screen displays a status message and a Print button.

2. To print a copy of the status screen, click **Print**.

Refreshing from a Business Process

To synchronize a linked business process with its source master process from an open business process, complete the following steps. The business process remains in a Released state during this procedure.

> **Note:** You must have the role of SOAICAdmins, SOAGlobalICAdmins, or be the assigned process owner (if you have a role that is configured with "MAINT_RefreshFromMPL" authorization) to perform this task.

1. Log in as a user with authority to edit a business process.

2. Locate a business process and open it.

   A Process Page, page 5-36 is displayed. If the linked process is not in a Released state, the Refresh from MCL button is not enabled. If the linked process is current with the master process, the Refresh from MCL button is not enabled.

3. Click **Refresh from MCL**.

Data for the linked process and components is synchronized with information from the MPL. All fields on the process that are configured to be propagated are updated on the linked process. All new components added to the master process are added to the linked process. All components retired from the master process are retired from the linked process. All document relationships (control to risk, and risk to assertion) currently defined on the master process are updated on the linked process. No status screen is displayed.

> **Note:** Any fields in a linked process that are not propagated from the master process do not change. Any additional documents defined directly on the linked process do not change.

Template and Library Interfaces

The following topics describe the pages used in managing templates and template libraries:

- Template Selection Page, page 14-33

- Process Template Screen, page 14-35

- Attachment Template Screen, page 14-36

- Library Tray, page 14-36

- Master Library Business Processes Page, page 14-37

- Master Component Library Page, page 14-38

- Master Business Processes Page, page 14-40

- Master Component Page, page 14-41

- Master Process Page, page 14-42

- Master Component Library Selection Page, page 14-44

Template Selection Page

The following example shows the template selection page for a business process control. The structure is similar for all the document types.

The Template Selection page is used to specify a component (document) template to be inserted into an existing business process. To access this page click the **Add from Template** button (refer to Using a Related Document Template, page 14-6) located on

the following business process document tabs:

- Assertions

- Risks

- Controls

- Control test instructions

Field	Description
Continue button	Applies the selected template to the new component.
Cancel button	Cancels information entered on the template selection page and closes the page.
Organization heading	Path name of organization map.
Process heading	Name of business process.
By template item title field	Enter part of the title of a template item to filter the search.
By template process title field	Enter part of the title of a template process to filter the search.
By template org path field	Enter part of an organization map path to filter the search.
By cycle field	Enter part of a financial cycle to filter the search.
Apply filter button	Displays the available templates based on the selections entered in the "By" fields.
Clear filter button	Clears the template selections specified in the "By" fields, resets the fields to empty, and displays all available templates.

Field	Description
Template list	When the Apply filter button is clicked, a list of templates that meet the selected criteria is displayed. The list is organized by title, template process title, organization path, and cycle. To select one or more templates, click the check box to the left of the template process title.
Continue button	Applies the selected template to the new component.
Cancel button	Cancels information entered on the template selection page and closes the page.

Process Template Screen

When adding a template for a business process, a screen is used to display the organization map for where to locate the template. To access this page, select the Business Processes tray and the Add New Process link, then save the process in the Templates—Processes organization folder. For details refer to Creating a Process Template, page 14-4.

Feature	Description
Organization folders	Displays an organization map and folders that are located within the map. The Templates folder is open and highlighted.
Ok button	Click this button to save a process as a template in the Processes folder.
Cancel button	Click this button to cancel the action to save a process as a template.
Set Default button	Sets the selected organization folder as the default folder where processes are saved. The default persists only during a user's login session.

Feature	Description
Clear Default button	Clears the selected organization folder so it is not the default folder where processes are saved.

Attachment Template Screen

When adding a template for an attachment file, a screen is used to display the organization map for where to locate the template. To access this page, select the Business Processes tray and the Add New Process link, then save the process in the Templates—Attachments organization folder. For details refer to Creating an Attachment Template, page 14-9.

Feature	Description
Organization folders	Displays an organization map and folders that are located within the map. The Attachments folder is open and highlighted because it is the folder in which attachment templates are stored.
Ok button	Click this button to save an attachment as a template in the Attachments folder.
Cancel button	Click this button to cancel the action to save an attachment as a template.
Set Default button	Sets the selected organization folder as the default folder where attachments are saved. The default persists only during a user's login session.
Clear Default button	Clears the selected organization folder so it is not the default folder where attachments are saved.

Library Tray

The Library tray enables you to view and manage Master Component Library and Master Process Library components and processes from the navigational links. The

Master Component Library contains all master components that can be created for reuse as linked templates for components in business processes. The Master Process Library contains all master processes that can be created for reuse as linked templates for business processes.

For additional information refer to Managing the Master Component Library, page 14-11 and Managing , page 14-22.

Issues Options	Description
Master Processes	Displays all master processes in the Master Process Library. Information for each master process includes organization path, process title, Doc ID, current status, process owner, release date of the process, and (if the process is currently in a workflow) the name of the person responsible for the next action in the workflow.
Add New MPL	Displays a business process page for creating a new master process.
Master Components	Displays all master components in the Master Component Library. Information for each master component includes organization path, title of the process container for the component, Doc ID, current status, container process owner, release date of the container process, and (if the process is currently in a workflow) the name of the person responsible for the next action in the workflow.
Add New MCL	Displays a business process page for creating a new component in a container process.

Master Library Business Processes Page

The Master Library Business Processes page is used to list and access container processes that hold master components (templates) in the Master Component Library (MCL). To access this page, select the Library tray and the Master Components link. For details refer to Managing the Master Component Library, page 14-11.

Field	Description
Show Filters button	Expands the page to show filter criteria fields that can be used to specify criteria for what master processes to display. Clicking Apply Filter re-displays the list of processes according to the criteria.
Organization Path column	Path name of an organization map.
Title column	Title of a process containing master components.
Doc ID column	Content Server identification number for a process containing master components.
State column	Current state of a process containing master components.
Owner column	User name of the owner of a process containing master components.
Release Date column	Release date of a process containing master components.
Current User column	User name of user currently assigned to take action on a process containing master components.

Master Component Library Page

The following sample page shows a master component container process page with the Controls tab selected to display titles for MCL component documents in a Released state. The buttons displayed on the page depend on the document state.

The Master Component Library page is used to view and access master container processes (templates) in the Master Component Library (MCL). To access this page, select the Library tray and the Master Components link, then select a container process title. For more information refer to Managing the Master Component Library, page 14-11. For information on a master component document refer to Master Component Page, page 14-41.

Field	Description
Close button	Closes the master component page.
Revise button	Sets the document to an Edit state, so data can be modified or added.
Edit button	Enables user to revise the document.
Data Collection button	Initiates a Data Collection workflow and sends email to users in the workflow to provide data.
Approval button	Initiates an Approval workflow and sends email to users to review and approve the component.
Approve Changes button	Approves changes to the assertion when the document is in a workflow.
Cancel Changes button	Cancels changes to the assertion when the document is a workflow.
Initiate Testing button	Initiates a Testing workflow and sends email to users in the workflow to test the component.
Initiate Assessment button	Initiates an Assessment workflow.
Retire button	Retires the master container process so it cannot be used again.
Organization field	Organization path name for the master component.
Title field	Title of the master component.
State field	Current state of the master component process.
ID field	Content Server identification number for the master component document.
Release Date	Release date of the component document.

Field	Description
Version	Number of versions of this master component process.
Tabs	Tabs provide access to different types of components. Assertions, Risks, Controls, and Attachments tabs can list component titles.

Master Business Processes Page

The Master Business Processes page is used to list and access master business processes (templates) in the Master Process Library (MPL). To access this page, select the Library tray and the Master Processes link. For details refer to Managing the Master Process Library, page 14-22.

Field	Description
Show Filters button	Expands the page to show filter criteria fields that can be used to specify criteria for what master processes to display. Clicking Apply Filter re-displays the list of processes according to the criteria.
Organization Path column	Path name of an organization map.
Title column	Title of a business process.
Doc ID column	Content Server identification number for a process document.
State column	Current state of a process document.
Owner column	User name of the owner of a process.
Release Date column	Release date of a process.
Current User column	User name of user currently assigned to take action on a process.

Master Component Page

The Master Component page is used to manage information for a master component template (also called a *master component*) in the Master Component Library. To access this page, select the Library tray and the Master Components link, select a master container process title from the list displayed, select a tab for a component, then select a component title. This page also can be accessed immediately after a master component document has been created and saved. For additional information refer to Managing the Master , page 14-11.

Field	Description
Close button	Closes the master component page.
Edit button	Enables the page tabs and field to be modified.
Retire button	Retires the master component so it cannot be used again.
Show Linked Locations button	Displays a list of locations (path names) to processes containing components that are linked to the master component.
Organization field	Organization path name for the master component.
Process field	Name of the MCL process to which the master component is associated. Clicking the Info icon will display a profile of the container process.
Title field	Title of the master component.
State field	Current state of the master component.
ID field	Content Server identification number for the master component document.
Release Date	Release date of the component document.
Version	Number of versions of this master component.

Field	Description
Basics tab	Content of the Basics tab depends on the type of component.
Tabs	The additional tabs displayed will depend on the type of component. Tabs can include Comment, Description, Attachments, Test Instructions, History.

Master Process Page

The following example shows a master process with the Risks tab selected.

The Master Process page is used to manage information and related documents for a master business process (also called a *master process*) in the Master Process Library. To access this page, select the Library tray, the Master Processes link, then select a master process. It can also be accessed immediately after a master process document has been created and saved. For additional information refer to Managing the Master Process Library, page 14-22.

Field	Description
Close button	Closes the process page.
Revise button	Sets the process to a state of Edit so data can be modified or added.
Data Collection button	Initiates a Data Collection workflow and sends email to users in the workflow to provide data for the process.
Approval button	Initiates an Approval workflow and sends email to users to review and approve the process.
Initiate Testing button	Initiates a Testing workflow and sends email to users in the workflow to test the process.
Initiate Assessment button	Initiates as Assessment workflow.

Field	Description
Retire button	(This function is not currently supported.) Retires the master process from active use.
Create Linked Process button	Creates a new business process that is linked to this master process in the MPL.
Refresh from MCL	Updates documents (components) in the master process that are linked from the MCL. This button is enabled if there are any updates to linked components in the MCL.
Organization field	Organization path name.
Title field	Title of the master process.
State field	Current state of the master process.
ID field	Content Server identification number for the process document.
Release Date	Release date of the component document.
Version	Number of versions of this master process.
Tabs	Each tab provides access to a different type of information about the process, which can include related documents.
Add Assertion button	Displays a page for adding a new assertion to the process. This button is not enabled on an MPL process.
Add from Template button	Displays a list of template titles for the document type associated with the tab. This button is not enabled on an MPL process.
Add from Library button	Displays a list of master component titles for the document type associated with the tab. This button is enabled if the process is in a state of Initialized or Edit.

Master Component Library Selection Page

The following sample shows the selection page for a control.

The Master Component Library Selection page is used to select a component template from the Master Component Library. To access this page, select the Add from Library button on any Assertions, Risks, or Controls tab for a business process.

Feature	Description
By Master component title	Part of a title of master component to filter the search.
By Master process title	Part of a name of the MCL process to which the master component is associated to filter the search.
By Master org path	Part of a master organization path to filter the search.
By cycle	Part of an accounting cycle to filter the search.
Apply filter	Displays the available components based on the selections entered in the "By" fields.
Clear filter	Clears the selections specified in the "By" fields, resets the fields to empty, and displays all available components.
OK button	Processes the component selections and adds it to the business process.
Cancel button	Cancels selected criteria and closes the screen.

A

Administering GRC Manager

This appendix covers the following topics:

- Administration Tasks
- Using Administrative Tools
- Managing Fiscal Periods
- Managing Keys
- Replacing Page Keys
- Managing Lists
- Managing User Defined Fields
- Managing Available Surveys
- Managing Mass Updates
- Configuration Administration Interface
- Configuration Administration Page
- Maintain Fiscal Periods Page
- Update and Add Keys Page
- Replace Page Keys Page
- Maintain Lists Page
- Maintain User Defined Fields Page
- Add User Defined Fields Page
- Maintain Available Surveys Page
- Security
- Setting Up User Accounts
- User Roles and Permissions
- Setting Up Active Directory For User Authentication

- Configuring Control-Based Owners (Optional)

Administration Tasks

The Governance, Risk and Compliance Manager administrator is responsible for managing the application. The following list summarizes administrator management tasks and where to find information:

- If required, install and configure GRC Manager. See the *Governance, Risk and Compliance Manager Implementation Guide*.

- Create user accounts for GRC Manager users on Content Server, assigning GRC Manager roles provided with the application or using customized roles. For information on Content Server security, roles and permissions see the *Managing Security and User Access* guide. Information about GRC Manager security, roles, and permissions is provided in User Roles and Permissions, page A-33.

- Create organization, financial, and accounting cycles maps for the business processes. See Managing Maps, page 4-xviii.

- Manage GRC Manager elements, links, and controls through use of the administration tool. See Using the Administration Tool, page A-2.

- If required, review, modify, or create GRC Manager workflows for automatically directing and tracking business process documents and activity. Basic information about GRC Manager workflows is provided in this guide based on the activity. For example, the Design Review workflow is summarized in Managing Action Items, page 12-xviii. See also the *Workflow Implementation* guide for Content Server.

- If required, create business processes. See Managing Business Processes, page 5-xviii.

- If required, review, modify, or create template business processes and components. These documents can be standard templates or master processes and components. See Managing Templates and Libraries, page 14-xviii.

- If required, modify the language resource file by updating or adding new keys for use with specific languages. Refer to the configuration information in this chapter as well as the *Governance Risk and Compliance Implementation Guide* for additional details.

Using Administrative Tools

The administration tool enables authorized users to customize the GRC Manager interface for your organization by configuring the user interface for lists, fiscal periods, display text, and user defined fields. This tool is accessible to administrators from the

Administrative Tools tray by selecting the Configuration Admin link to open the Configuration Administration Page, page A-19. The following topics explain how to configure different parts of the interface:

- Copy Process (Single) Page, page 4-27

- Copy Process (Org Unit) Page, page 4-28

- Managing Fiscal Periods, page A-3

- Managing Keys, page A-5

- Replacing Page Keys

- Managing Lists, page A-7

- Managing User Defined Fields, page A-10

- Managing Available Surveys, page A-15

- Managing Mass Updates, page A-16

Generally, use these lists shortly after installation to configure your system to correspond to your internal practices and to ensure that the interface is set up in a way that is intuitive for your organization. For example, your fiscal year may be different than the out-of-the-box setup, so you'll need to use this tool to specify the beginning and end of the quarters within your fiscal year.

> **Note:** The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

> **Note:** When the Update and Add Keys page is used, the resource language files should be backed up as well.

Managing Fiscal Periods

To add or modify fiscal periods for the user interface, see the following topics:

- Adding Fiscal Periods, page A-3

- Modifying Fiscal Periods, page A-4

Adding Fiscal Periods

Please read the following note before proceeding.

> **Note:** Modify lists with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To add a fiscal year for the user interface, follow these steps:

1. From the navigation panel select **Organization—Configuration Admin**.

    The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain Fiscal Periods.**

    The Maintain Fiscal Periods Page, page A-20 is displayed.

3. Click **Add Fiscal Year**.

    The next fiscal year is automatically added to the top of the list of fiscal periods, in the format that is specified in the e100Server.cfg file. For example, this can include fiscal year periods (2007 Q1).

4. On the Configuration Administration Page, page A-19 click **Refresh** to update the configuration.

Modifying Fiscal Periods

Please read the following note before proceeding.

> **Note:** Modify lists with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To edit a fiscal period for the user interface, follow these steps:

1. From the navigation panel select **Organization—Configuration Admin**.

    The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain Fiscal Periods.**

    The Maintain Fiscal Periods Page, page A-20 is displayed.

3. Select a period from the Fiscal Periods field.

4. Click **Edit**.

    The fiscal period values are displayed in fields you can edit.

    > **Note:** The value for the Fiscal Period cannot be changed.

5. Modify the Display Text, Start Date, and End Date fields as desired, then click **Save**.

6. When you are finished selecting and modifying fiscal periods, click **Close**.

7. On the Configuration Administration Page, page A-19 click **Refresh** to update the configuration.

Managing Keys

To add, modify, or replace a key in the GRC Manager interface, see the following topics:

- Adding New Keys

- Modifying Keys

- Replacing Page Keys

Adding New Keys

> **Caution:** Adding or modifying keys does not change the e100Server.config file. It does change the files in the LanguageFiles folder of the web application. The file names appear as, SSOSExplicit.xx.resx, for example where xx is a language identifier.

To add a new key to the user interface, follow these steps:

1. From the navigation panel select **Administrative Tools**.

   The Configuration Administration Page is displayed.

2. Select **Update and Add Keys**.

   The Update and Add Keys Page is displayed.

3. Choose the **Add New Key** button

4. Enter a name for the new key. For example, BPObjective.

5. Enter the display text for the new key. For example, Business Process Objective.

6. Click the **Add** button. The new key is displayed.

7. Click **Save**.

8. When you are finished adding keys, click **Close**.

Note that all new keys are created in the neutral language file, but you can use the

Modifying Keys procedure to change the display text to another language.

Modifying Keys

> **Caution:** Adding or modifying keys does not change the
> e100Server.config file. It does change the files in the LanguageFiles
> folder of the web application. The file names appear as,
> SSOSExplicit.xx.resx, for example where xx is a language identifier.

To modify keys for the user interface, follow these steps:

1. From the navigation panel select **Administrative Tools** .

   The Configuration Administration Page is displayed.

2. Select **Update and Add Keys** .

   The Update and Add Keys Page is displayed.

3. From the Language drop down menu, select the language in which you would like the display text to appear.

4. Enter the Display text or Key for the key that you wish to modify, then click the **Search** button.

   The Change Display screen appears.

5. Search results are displayed that match the specified criteria. Click the Change button on the item you desire to modify.

6. Enter the text that you would like displayed, in the language you selected. For example, if you chose Spanish for the language, and the key is "Business Process" you might enter "Operaciones del Negocio".

7. Click **OK** .

8. When you are finished modifying the display text, click **Save** .

9. Choose **Close** when finished making changes.

Replacing Page Keys

You can use the Replace Page Key Page to adjust the user interface labels to reflect your organization.

> **Caution:** Modify keys with care. The administrative tool alters your

configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To replace page keys, follow these steps:

1. From the navigation panel select **Administrative Tools**.

    The Configuration Administration Page is displayed.

2. Select **Replace Page Keys** .

    The Replace Page Key Page, page A-23 is displayed.

3. Perform a search.

4. The system displays data with **Change**button on each row. Select the Change button.

    The system displays a pop-up window to search for and select a different key to use.

5. On the Replace Page Key Page click **Save**.

6. Click **Close**.

Managing Lists

To add, modify, or delete a list in the GRC Manager interface, see the following topics:

*   Adding Lists, page A-7

*   Modifying List Contents, page A-8

*   Deleting Lists and List Contents, page A-9

Adding Lists

Please read the following note before proceeding

> **Note:** Modify lists with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To add a list to the user interface, follow these steps:

1. From the navigation panel select **Organization—Configuration Admin**.

    The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain Lists**.

   The Maintain Lists Page, page A-24 is displayed.

3. Enter a new list name in the List Name field, then click **Add**.

4. Click **Add** (below the List Contents field) to add a content item to the list.

   The Value field is enabled for entry.

5. Click the i button to search for and select the Display text and key. The display text and key are created on the Update and Add Keys Page.

6. Enter the value for the item in the list contents. The value is used in the database.

7. Click **Save**.

   The Display Text appears in the List Contents field.

8. When you are finished adding lists and their contents, click **Close**.

9. On the Configuration Administration Page, page A-19 click **Refresh** to update the configuration.

Modifying List Contents

Please read the following note before proceeding.

> **Note:** Modify lists with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To edit list contents for the user interface, follow these steps:

1. From the navigation panel select **Administrative Tools—Configuration Admin**.

   The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain Lists**.

   The Maintain Lists Page, page A-24 is displayed.

3. Select a list name in the List Name menu.

   The list contents are displayed in the List Contents field.

4. Select an item in the List Contents field that you wish to modify.

5. Click **Edit**.

   The i button is enabled.

6. Click the i button to search for and select the Display text and key. The display text and key are created on the Update and Add Keys Page.

   The modified Display Text appears in the List Contents field.

7. When you are finished modifying list contents, click **Save** .

8. Choose **Close** when finished making changes.

9. On the Configuration Administration Page, page A-19 click **Refresh** to update the configuration.

Deleting Lists and List Contents

Please read the following note before proceeding.

> **Note:** Modify lists with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

If the Remove button is disabled, then the selected list or item is not configured as removeable.

You can remove an entire list, or just items from a list. To remove a list and/or its contents from the user interface, follow these steps:

1. From the navigation panel select **Administrative Tools—Configuration Admin**.

   The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain Lists**.

   The Maintain Lists Page, page A-24 is displayed.

3. To remove an entire list, select a list name from the List Name field, then click **Remove**.

   The list items are only stored in the e100Server.config file. They are not in the database and cannot be removed from the database.

4. To remove an item from the contents of a list, do the following:

   1. Select a list name from the List Name field. The list contents are displayed in the List Contents field.

   2. Select an item in the List Contents field and click **Remove**. The item is deleted from the e100Server.config file and the database.

5. When you are finished removing lists or list contents, click **Close**.

6. On the Configuration Administration Page, page A-19 click **Refresh** to update the configuration.

Managing User Defined Fields

The following conditions apply to user defined fields:

- Where user defined fields appear on a screen is predefined by the application.

- User defined fields cannot be made required fields.

- The Configuration Admin tool adds a user defined field to the database as well as to the interface.

- When a user defined field is added, the field is marked as "Searchable" in the database.

- When the metadata for a user defined field is created, the database field name is generated based on administrator input and is read-only. All field names are prefixed with XSOA_C_<*FIELD NAME*>. The database field name must begin with a letter and only consist of alphanumeric characters.

- A user defined field will adhere to the state of the screen to which it is added (as if it were manually added).

- User defined fields are generated at run-time (source code will not be modified.)

- Adding a user defined fields will not affect Advanced Reporting features.

- Adding a user defined field will not cause the new field to appear in any of the internal reports.

See the following topics:

Adding User Defined Fields

Please read the following note before proceeding.

Note: Modify user defined fields with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To add a user defined field, follow these steps:

1. From the navigation panel select **Administrative Tools tray—Configuration Admin**.

   The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain User Defined Fields**.

   The Maintain User Defined Fields Page, page A-26 is displayed.

3. Using the Screen Filter list, select a type of screen in which to add a user defined field. See Default Interface Screens, page A-14 for a list of screen options. The list of screens is filtered from the e100Server.cfg file.

4. Click **Add**.

   The Add User Defined Fields Page, page A-29 is displayed.

5. Verify the host screen name in the Host Screen field, or select a different host screen from the list.

6. Enter a name in the Field Name field.

   Note: The Field Name may be used in the database and follows database naming criteria. No spaces or special characters are allowed.

7. Click the i button to select the display text and key. The Display Text that you choose on this page is modified on the Update and Add Keys Page. .

8. Specify the Data Type from the drop-down list. For information about the options refer to Add User Defined Fields Page, page A-29.

   Note: In Edit mode, the Date Type field cannot be changed.

9. Specify the Field Type from the drop-down list. For information about the options refer to Add User Defined Fields Page, page A-29.

   Note: In Edit mode, the Field Type field cannot be changed.

10. Select the Visibility check box if you want the user defined field to be visible to all users.

> **Note:** In Edit mode, the user defined field can be changed between hidden or visible.

11. Click **OK**.

The Maintain User Defined Fields Page, page A-26 is displayed.

12. Click **Apply Changes**.

The new user-defined field is added to the specified screen in the interface.

> **Note:** If two or more people are working with the User Defined Fields administration page at the same time, only the first applied changes are effective. For example, if UserA opens the User Defined Fields page and immediately afterward UserB opens the page, the first user to apply their changes will succeed. The user that attempts to apply changes second will receive an exception error.

13. Click **Close** to return to the Configuration Administration Page, page A-19.

14. You must refresh the database views. If your configuration displays a Refresh DB Views button on the Configuration Administration page, you may use it. Otherwise, you must execute the DBSetupUtility with the database account information used at installation, and use the refresh Views button

Modifying User Defined Fields

Please read the following note before proceeding.

> **Note:** Modify user defined fields with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To modify a user defined field, follow these steps:

1. From the navigation panel select **Administrative Tools tray—Configuration Admin**.

The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain User Defined Fields**.

The Maintain User Defined Fields Page, page A-26 is displayed with a list of all user defined fields.

3. If you want to view user defined fields for only one type of screen, use the Screen Filter list to select the type of screen in which the user defined field you wish to modify appears. See Default Interface Screens, page A-14 for a list of screen options.

> **Note:** The list of screens is filtered from the e100Server.cfg file.

4. Click **Select** to chose the user defined field you wish to modify.

   The row for the user defined field is highlighted.

5. Click **Edit**.

   The Add User Defined Fields Page, page A-29 is displayed.

6. You can select the i button to select a new Display Name and key, and can modify visible field. No other fields can be modified. .

7. Click **OK**.

   The Maintain User Defined Fields Page, page A-26 is displayed.

8. Click **Apply Changes**.

   The modified user-defined field is updated in the specified screen in the interface.

9. Click **Close** to return to the Configuration Administration Page, page A-19.

Deleting User Defined Fields

Please read the following note before proceeding.

> **Note:** Modify user defined fields with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

To delete a user defined field, follow these steps:

1. From the navigation panel select **Administrative Tools tray—Configuration Admin**.

   The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain User Defined Fields**.

The Maintain User Defined Fields Page, page A-26 is displayed with a list of all user defined fields.

3. If you want to view user defined fields for only one type of screen, use the Screen Filter list to select the type of screen in which the user defined field you wish to modify appears. See Default Interface Screens, page A-14 for a list of screen options.

> **Note:** The list of screens is filtered from the e100Server.cfg file.

4. Click Select to choose the user defined field you wish to delete.

The row for the user defined field is highlighted.

5. Click **Delete**.

The user defined field is removed from the list on the Maintain User Defined Fields , page A-26.

> **Note:** Metadata for the user defined field remains in the database after the field is deleted from the interface. Users can access a business process History tab to view the history of a user defined field in the process.

6. Click **Apply Changes**.

The user-defined field is removed from the interface.

7. Click **Close** to return to the Configuration Administration Page, page A-19.

Default Interface Screens

The Governance, Risk and Compliance Manager interface supports user defined fields in the following pages (screens):

- Business Process Basics

- Assertion Basics

- Risk Basics

- Business Process Control Basics

- Design Review Basics

- Issues Basics

- All Description Tabs

- All Comment Tabs

- Business Process Testing Basics

- Control Test Plan Basics

- Control Audit Testing Basics

- Control Test Instructions Basics

- Assessment Cover Basics

- Issue Remediation Basics

- Audit Testing Results Basics

- Test Plan Results Basics

- Control Design Assessment Result Basics

- Control Operating Assessment Result Basics

- Process Design Assessment Result Basics

- Process Operating Assessment Result Basics

- Risk Design Assessment Result Basics

- Risk Operating Assessment Result Basics

Managing Available Surveys

> **Note:** GRC Manager Survey Integration is a separate add-on
> application to GRC Manager

You can use the Maintain Available Surveys Page, page A-31 to add, modify, or
remove surveys from the list of URLs accessed by the Assessment workflow during a
management assessment of a business process and its controls and risks.

To access and manage surveys, follow these steps:

1. From the navigation panel select **Organization—Configuration Admin**.

    The Configuration Administration Page, page A-19 is displayed.

2. Select **Maintain Available Surveys.**

    The Maintain Available Surveys Page, page A-31 is displayed.

3. You can perform the following tasks:

    *   To add a survey, click **Add**, and the fields for specifying a survey name, description, and URL are enabled. Enter the information and click **Save**.

    *   To modify a survey description or URL, select a survey title from the list and the Edit button is enabled. Make the changes and click **Save**.

    *   To remove a survey, select a survey title from the list and the Remove button is enabled. Click **Remove**.

4. When you are finished managing surveys, on the Maintain Available Surveys Page, page A-31 click **Save**.

5. Click **Close**.

Managing Mass Updates

Access Mass Update from the Administrative Tools menu. Mass updates can be made to the following fields:

*   Process owner for the business process.

*   Process tester for the business process.

*   The three Process approvers: Department, Project, Finance.

*   The 'In Scope' indicator for the Control in the business process.

    > **Note:** Updates to these fields are limited to only business processs and Controls. There is no propagation of updates to other document types associated with the process.

An administrator using the mass update feature can:

*   Use mass update to processes and controls in a "Released" state; a control's business process must also be in a "Released" state.

*   Create a revision to the document(s) the mass updates is being applied to.

*   Use filters to search for applicable business processes or controls; such as by map, process owner, process tester, Doc ID, process, and for controls the in scope and control.

- Sort fields displayed in the grid/table

There is no workflow triggered by mass update action. The administrator makes the changes without anyone approving them. There is a record of the changes because each business process gets a new revision.

> **Note:** Mass update does not support mass updates of MCL, MPL, and templates.

Mass Update

There are two menu items in the Administrative Tools menu tray for mass updating.

- Mass Update – Processes

- Mass Update – Controls

Each of the mass update screens has similar steps for locating and updating items.

Step 1: Search for Processes (or Search for Controls)

The first step is to specify filter criteria in order to locate a small set of processes or controls. The following fields on a process may be used as criteria to search for a list of processes:

- Organization

- Financial Element

- Audit Cycle

- SOA Map

- Process Title

- Doc ID

- Process Owner

- Process Tester

- Approvers (Department, Project, or Finance)

The following fields on a control may be used as criteria to search for a list of controls:

- Organization

- Financial Element

- Audit Cycle

- SOA Map

- Process Title

- Doc ID

- In Scope

The Search button uses the specified criteria to get a list of all of the items that match, and presents them in Step 2 Search Results. Before using the Search button, specify the desired sort field and order.

Step 2: Search Results

After using Step 1 to search, the results are listed in this section. Select items from this list by marking the checkbox in the left column. The grid header has a checkbox labeled "All" that can be used to mark all of the checkboxes. After selecting all with this method, individual items may be unchecked, as desired.

> **Note:** Only the items in Search Results that have the checkbox marked will be processed for updates.

Step 3: Fields to be Updated

When you use the Fields to be Updated option, for Modified Processes, you fill-in the Process Owner, Process Tester, Department Approver, Project Approver, or Finance Approver fields. Optionally, when applying a "Control" update, you select whether or not it is In Scope. Either selection is a required field. Select the Update button in either case to execute the change.

Modified Items (Processes or Controls)

After the system updates the selected items with the specified field values, the last section displays a list of the modified items. The columns displayed will be the same as in the search results section.

The system also refreshes the Search Results section. If the search criteria was organization, for example, then the search results would still be the same, because that has not changed on any of the items. However, if search criteria for a process included process owner, for example, and the update was to change the process owner, then the refreshed search results would no longer contain these items.

Configuration Administration Interface

The following topics describe the Configuration Administration pages:

- Configuration Administration Page, page A-19

- Maintain Fiscal Periods Page, page A-20

- Update and Add Keys Page

- Replace Page Keys Page, page A-23

- Maintain Lists Page, page A-24

- Maintain User Defined Fields Page, page A-26

- Add User Defined Fields Page, page A-29

- Maintain Available Surveys Page, page A-31

Configuration Administration Page

The Configuration Administration page is used to access the administration tool selections provided through the user interface. To access this page, select the Administrative Tools tray and click the Configuration Admin link.

> **Note:** The administrative tool pages alter your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with these pages.

Feature	Description
Refresh button	This button causes the application to reread the configuration file and implement changes that you made to it. Any time a change is made to the config file through any of the admin pages, it is necessary to click this button to activate the changes. (There's no need to restart the services.)

Feature	Description
Refresh DB Views button	Refreshes the cache of the view without having to restart the database service. This button is only visible when the database configuration is for SQL Server.
Maintain Fiscal Periods	Opens the Maintain Fiscal Periods Page, page A-20 on which you maintain the fiscal calendar.
Update and Add Keys Page	Opens the Update and Add Keys Page on which you maintain display text and new keys. Modify keys with care.
Replace Page Keys	Opens the Replace Page Keys Page, page A-23 on which you replace keys with new keys. Modify keys with care.
Maintain Lists	Opens the Maintain Lists Page, page A-24 on which you maintain the UI lists. Modify lists with care.
Maintain User Defined Fields	Opens the Maintain User Defined Fields Page, page A-26 on which you can add and manage user defined fields to the interface.
Maintain Available Surveys (if available)	Opens the Maintain Available Surveys Page, on which you maintain the customized survey .htm files used in management assessments of business processes.

> **Note:** If you have implemented control automation integration, you can activate two buttons on the Configuration Administration page (" Initialize Automation Data" and "Refresh Automation Data") to improve your web service performance. For further information refer to Automation Integration for Controls, page C-xviii

Maintain Fiscal Periods Page

Use this page to adjust the fiscal period information in GRC Manager to reflect your organization's fiscal periods. To access this page, open the Administrative Tools tray and select the Configuration Admin link, then click the Fiscal Period link. For more

information refer to Managing Fiscal Periods, page A-3.

> **Note:** The administrative tool alters your configuration file
> (e100Server.config). Therefore, always remember to back up your
> configuration file before working with the tool.

Feature	Description
Close button	Closes the page and returns you to the Configuration Administration page.
Fiscal Periods menu	Menu of available fiscal periods.
Selected Fiscal Period	Fiscal period assigned when adding a fiscal year.
Edit button	If you select a fiscal period and display text, you can click this button to change the value, start, and end date of the fiscal period. For example, you may prefer to change the fiscal period "2007 Q1" to start "April 1." Note, the value doesn't change. Just the text, start, and end date changes to be more reflective of your organization.
Display Text:	Text that is displayed on the user interface for the specified fiscal period.
Value:	Definition of the fiscal period. This cannot be edited.
Start Date:	Date on which the fiscal period begins.
End Date:	Data on which the fiscal period ends.
Add Fiscal Year button	Reads the fiscal periods template in the config file and creates the pre-formatted fiscal period entries for an additional year.

Update and Add Keys Page

Use this page to update display text and add new keys in your GRC Manager user
interface. To access this screen, select the Administrative Tools tray and click the

Configuration Admin link, then select the Update and Add Keys link.

> **Note:** Modify with care. The administrative tool alters your
> configuration file (e100Server.config), and your language resource files
> in the LanguageFiles folder. Therefore, always remember to back up
> your configuration file before working with the tool.

Feature	Description
Close button	Closes the page and returns you to the Configuration Administration page
Save button	Save any changes.
Cancel button	Sets unsaved values to their defaults.
Add New Key Button	Select to add a new key.
Display Text:	Enter the text that is displayed to search for a specific key. For example, Risk Significance:
Language field	Select a display language for the display text or key you wish to search for. Important note: When a new key is added to the neutral language file, it is pre-pended with "_U_" in order to distinguish it from system delivered keys. This is to support future upgrades. Do not delete the _U_ from keys that you have created or modified. Refer to the instructions for adding a new key for details.
Key	Enter the name of key to search for a specific key. For example, _RiskSignificanceColon.
Sort By field	Specify which of the above fields you wish to sort your search results by, then choose Ascending or Descending.
Search button	Click this button to initiate a search for the specified criteria.
Clear Filter button	Clears the fields of entered information.

Feature	Description
Display Text column	Text that is displayed on the user interface for the specified content.
Change button	Click the Change button to change the description of the display text.
New Display Text column	After the Change button has been used to change the display text, the new Display Text is displayed.
Key column	After the Change button has been used to change a key, the new key name is displayed.

Replace Page Keys Page

Use this page to adjust the user interface labels to reflect your organization. To access this page, open the Administrative Tools tray and select the Configuration Admin link, then click the Replace Page Keys link. For more information refer to Replacing Page Keys, page A-6.

> **Note:** The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

Feature	Description
Close button	Closes the page and returns you to the Configuration Administration page.
Save button	Saves any changes.
Cancel button	Sets unsaved values to their defaults.
Display Text	Enter the text that is displayed to search for a specific key. For example, Risk Significance:

Feature	Description
Key	Enter the name of key to search for a specific key. For example, _RiskSignificanceColon. **Important note:** When a new key is added to the neutral language file, it is pre-pended with "_U_" in order to distinguish it from system delivered keys. This is to support future upgrades. You cannot delete the _U_ from keys that you have created or modified.
Page Name	Enter a page name to search for a specific key. For example, BPRiskBasics.
Search button	Click this button to initiate a search for the specified criteria.
Clear Filter button	Click this button to delete any search filter criteria.
Change button	Click this button in the row of a specific key to replace that key's name and display information with that of another. Refer to Replacing Page Keys, page A-6 for details.
New Key column	After the Change button has been used to change a key, the new key name is displayed.
New Display Text column	After the Change button has been used to change a key, the new Display Text is displayed.

Maintain Lists Page

Use this page to maintain the lists in your GRC Manager user interface. To access this screen, select the Administrative Tools tray and click the Configuration Admin link, then select the Maintain Lists link. For more information refer to Managing Lists, page A-7.

> **Note:** Modify lists with care. The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

Feature	Description
Close button	Closes the page and returns you to the Configuration Administration page
List	The name of a new list that you are creating.
List Name menu	Name of the interface lists. Click on a list name to display its contents in the List Contents box.
Add Button	Select to add a new list name to the List name Menu.
List Contents field	Content that corresponds to the selected list name. You can edit the list content.
Remove button	Click to remove a list that you have created from the menu. Note that you cannot delete lists that you did not create.
Edit button	If you select a list name and list content, you can click this button to change the display text and key of the content. For example, you may prefer to change the list name "Frequency" content "Annually" to "Yearly." Note, the value of the Annually doesn't change. Just the text changes to be more reflective of your organization.
Add button	Choose to add items to a list that you created. Note that you cannot add items to a list that you did not create.
Remove button	Choose to remove items from a list that you created. Note that you cannot remove items from a list that you did not create.
Save button	Choose to save any changes you have made to a list.
Cancel button	Choose to cancel any unsaved changes.
Display Text field	Text that is displayed on the user interface for the specified content.

Feature	Description
Key field	This is the key that is associated with the Display text.
i button	Choose to select a new Display Text and Key for the current list item. The Display Text that you choose on this page is modified on the Update and Add Keys Page.
Value field	Data value of the list item. You cannot change a data value.

Maintain User Defined Fields Page

Use the Maintain User Defined Fields page to add customized fields to the GRC Manager interface. To access this page, open the Administrative Tools tray and select the Configuration Admin link, then click the Maintain User Defined Fields link. For more information refer to Managing User Defined Fields, page A-10.

> **Note:** The administrative tool alters your configuration file (e100Server.config). Therefore, always remember to back up your configuration file before working with the tool.

Feature	Description
Close button	Closes the page and returns you to the Configuration Administration page.
Screen Filter menu	List of screens that can have user defined fields added to them. Select a screen from the list. For a complete list of screens refer to Default Interface Screens, page A-14. The default is <All Screens>, which displays all user defined fields.

Feature	Description
User Defined Fields area	List of user defined fields in the order they appear on the screen selected from the Screen Filter menu. By default, the list displays all user defined fields on all pages.
Select item	Click this to select a user defined field from the list displayed on the screen.
Host Screen column	Name of the interface screen where the user defined field is located.
Field Name column	Name used in the database for the user defined field.
Display Text column	Name used in the interface for the user defined field. This is the name that users will see.
Key column	Displays the key that is always associated with this user defined field, regardless of what the display text is. For example, you can select this resource key, and create display text for it in additional languages. Refer to the Update and Add Keys Page for details on modifying keys.
Display Type column	Display type of the user defined field; for example, text or choice selection.

Feature	Description
Data Type column	Data type of the user defined field; for example, text, date, or integer. The data type has the following limitations: **Text** • Single line text • Choice selection • Predefined choices • User created choices (from the Maintain Lists section) **Big text** • Multi line text **Memo** • Multi line text **Date** • Single line text **Integer** • Single line text
Data Column Name column	Name assigned by the database to the user defined field.
Visible column	Indicates whether the user defined field is visible to users.
Move Up/Move Down buttons	When the list of displayed user defined fields is long, use these buttons to move selections up or down in the order of presentation on the screen in the User Defined Fields list.

Feature	Description
Add button	Displays the Add User Defined Fields Page, page A-29 for adding a new user defined field to an interface page.
Edit button	Displays the Add User Defined Fields Page, page A-29 for modifying an existing user defined field. This button is only enabled if you have selected a user defined field.
Delete button	When a user defined field is selected, this deletes the user defined field from the interface. It does not delete the field from the database; the History tab can be used to view previous use of a deleted user-defined field. For more information refer to Deleting User Defined Fields, page A-13. This button is only enabled if you have selected a user defined field.
Apply Changes button	Applies user-defined field changes to the configuration. The configuration file does not need to be refreshed. This button is only enabled if you have made changes.

Add User Defined Fields Page

Use the Add User Defined Fields page to add or modify user defined fields in the Governance, Risk and Compliance Manager interface. To access this page, open **Administrative Tools tray—Configuration Admin**, click **Maintain User Defined Fields**, then click **Add** or click **Edit**.

For more information refer to Managing User Defined Fields, page A-10.

Feature	Description
Host Screen field	Name of the interface screen where the user defined field is to be added, or the name of the interface screen for the existing user defined field to be modified.
Field Name field	Name used in the database for the user defined field. The Field Name is used in the database and follows database naming criteria. No spaces or special characters are allowed. The Field Name must be in English. The Field Name cannot be edited after it is added and applied to the interface.
Display Text field	Text used in the interface for the user defined field. This is the text that users see on the interface.
i button	Allows you to select the display text and key. The Display Text that you choose on this page is modified on the Update and Add Keys Page.
Key field	Displays the key that is associated with the Display Text.
Data Type field	Data type for the user defined field: • Text • Big Text • Memo: This is added as a metadata column. • Date: This will activate a date selection icon in the interface. • Integer

Feature	Description
Display Type field	Display type for the user defined field: • Single Line Text • Choice Selection: This allows you to select an item from an interface list that must be first created via the Configuration Admin tool for maintaining lists. When you select Choice Selection, you must use the Choice List to specify a list that you added to the interface. New items for a choice list can only be added to new lists.
Visibility check box	Indicates if the user defined field is visible to users. If left blank, the field will be hidden.
Choice List menu	If you have selected Choice Selection for the Display Type, you must use the Choice List to specify a list that you added to the interface. New items for a choice list can only be added to new lists.
OK button	Saves the information to be applied to the interface from the Maintain User Defined Fields Page, page A-26.
Cancel button	Cancels any changes to the Add User Defined Fields , page A-29.

Maintain Available Surveys Page

Note: GRC Manager Survey Integration is a separate add-on application to GRC Manager.

You can use the Maintain Available Surveys page to add, modify, or remove customized survey files, which are accessed via links from pages used in management assessment. To access this page, open **Organization—Configuration Admin**, then click **Maintain Available Surveys**.

For more information refer to Managing Available Surveys, page A-15.

> **Note:** The administrative tool alters your configuration file
> (e100Server.config). Therefore, always remember to back up your
> configuration file before working with the tool.

Feature	Description
Close button	Closes the window.
Survey Configuration Page URL link	URL and active link to Governance, Risk and Compliance Manager Survey Integration tool. Use the tool to create a customized survey.
Available Surveys field	List of available surveys. To edit or remove a survey select a survey name, which enables the buttons.
Description field	Brief description of the survey. Enabled when a survey is selected, added, or edited.
Link field	URL to a survey. Enabled when a survey is selected from the list, added, or edited.
Edit button	Enables you to modify the survey description.
Add button	Enables you to add a survey, description, and link.
Remove button	Removes the selected survey.
Save button	Saves a new or modified survey.
Cancel button	Cancels any changes.

Security

This section covers the following topics:

- Setting Up User Accounts, page A-33

- User Roles and Permissions, page A-33

- Setting Up Active Directory For User Authentication, page A-42

- Configuring Control-Based Owners (Optional), page A-43

Setting Up User Accounts

Security features control which users can view, edit, and manage documentation in GRC Manager. Security is provided in Oracle Content Server for the documentation created with GRC Manager and for the user accounts set up to create, use, and manage information with GRC Manager. Security is also implemented through the assignment of specific GRC Manager roles and permissions to users.

User accounts, IDs, and passwords are set up in Content Server by the system administrator, who may or may not be the same person as the administrator for the application. The system administrator assigns one or more GRC Manager roles to each user based on the user's need to work with GRC Manager content and to track activity for compliance. The GRC Manager administrator manages organizational maps, workflows, libraries, and also can manage business processes and process owner assignments.

Users are required to provide a user ID and password to log on to the content server and access the application via a browser. The security functions allow users to access only authorized GRC Manager functions and content. Functions that a user is not authorized to access do not appear in the interface for a user's account.

For more information, refer to the *Content Server: Managing Security and User Access Guide*

User Roles and Permissions

The GRC Manager application provides a default set of authorization roles that can be assigned to users by a GRC Manager administrator. Each role has a predefined set of permissions for accessing and using GRC Manager functions. Users can be assigned one or more GRC Manager roles, and a role can have modified permissions, depending on each user's need for access to GRC Manager content and for tracking activity for compliance. Roles can be customized according to an organization's requirements.

The following tables describe the default user roles and permissions provided with the application.

Function	SOAGlobalICAdmins Role	SOAICAdmins Role
Organization Maps		
View maps	X	X
Create maps	X	X

Function	SOAGloballCAdmins Role	SOAICAdmins Role
Modify maps	X	X
Manage maps	X	X
Business Processes		
View business processes	X	X
Create business processes	X	X
Modify business processes	X	X
Retire business processes	X	X
Library Components and Processes		
View library components and processes	X	X
Create library components and processes	X	X
Modify library components and processes	X	X
Retire library components and processes	X	X
Management Assessments		
View assessment cover	X	X
Create assessment cover	X	X
Modify assessment cover	X	X
View assessment results	X	X
Test Covers		

Function	SOAGlobalICAdmins Role	SOAICAdmins Role
View test covers	X	X
Create test covers	X	X
Modify test covers	X	X
Test Plans		
View test plans	X	X
Create test plans	X	X
Modify test plans	X	X
Retire test plans	X	X
Test Plan Test Covers		
View test plan test covers	X	X
Create test plan test covers	X	X
Modify test plan test covers	X	X
Issues		
View issues	X	X
Create issues	X	X
Modify issues	X	X
Close issues	X	X
Action Items		
View Action Items	X	X
Create Action Items	X	X

Function	SOAGloballCAdmins Role	SOAICAdmins Role
Modify Action Items	X	X
Close Action Items	X	X
Manage Action Items	X	X
Reports		
View reports	X	X
Modify reports		
Dashboard		
View Dashboard	X	X

Function	SOAExecutives Role	SOAInternalAudit Role	SOAExternalAudit Role
Organization Maps			
View maps			X
Create maps			
Modify maps			
Manage maps			
Business Processes			
View business processes	X	X	
Create business processes			
Modify business processes			

Function	SOAExecutives Role	SOAInternalAudit Role	SOAExternalAudit Role
Retire business processes			
Library Components and Processes			
View library components and processes			
Create library components and processes			
Modify library components and processes			
Retire library components and processes			
Management Assessments			
View assessment cover	X	X	X
Create assessment cover			
Modify assessment cover			
View assessment results	X	X	
Test Covers			
View test covers	X	X	
Create test covers			

Function	SOAExecutives Role	SOAInternalAudit Role	SOAExternalAudit Role
Modify test covers			
Test Plans			
View test plans	X	X	
Create test plans			
Modify test plans			
Retire test plans			
Test Plan Test Covers			
View test plan test covers	X	X	
Create test plan test covers			
Modify test plan test covers			
Issues			
View issues	X	X	X
Create issues	X	X	
Modify issues		X	
Close issues			
Action Items			
View Action Items	X	X	X
Create Action Items			
Modify Action Items			

Function	SOAExecutives Role	SOAInternalAudit Role	SOAExternalAudit Role
Close Action Items			
Manage Action Items			
Reports			
View reports	X	X	X
Modify reports			
Dashboard			
View Dashboard	X	X	

Function	SOABPCreator Role	SOABPUsers Role	SOAControlOwner Role
Organization Maps			
View maps	X		
Create maps			
Modify maps			
Manage maps			
Business Processes			
View business processes	X	X	X
Create business processes	X		
Modify business processes	X	X	X

Function	SOABPCreator Role	SOABPUsers Role	SOAControlOwner Role
Retire business processes			
Library Components and Processes			
View library components and processes			
Create library components and processes			
Modify library components and processes			
Retire library components and processes			
Management Assessments			
View assessment cover	X	X	X
Create assessment cover	X	X	X
Modify assessment cover	X	X	X
View assessment results	X	X	X
Test Covers			
View test covers	X	X	X
Create test covers	X	X	X

Function	SOABPCreator Role	SOABPUsers Role	SOAControlOwner Role
Modify test covers	X	X	X
Test Plans			
View test plans			
Create test plans			
Modify test plans			
Retire test plans			
Test Plan Test Covers			
View test plan test covers	X	X	
Create test plan test covers	X		
Modify test plan test covers			
Retire test plan test covers			
Issues			
View issues	X	X	X
Create issues	X	X	X
Modify issues	X	X	X
Close issues			
Action Items			
View Action Items	X	X	X

Function	SOABPCreator Role	SOABPUsers Role	SOAControlOwner Role
Create Action Items			
Modify Action Items			
Close Action Items			
Manage Action Items			
Reports			
View reports			
Modify reports			
Dashboard			
View Dashboard			

Setting Up Active Directory For User Authentication

Active Directory is not part of the standard GRC Manager installation; however, it can be used for user security authentication along with single sign-on capability by leveraging Oracle Content Server for all authentication. If a site has installed GRC Manager on a server other than Content Server, using Active Directory will require that users be authenticated on Content Server.

For information on configuring GRC Manager to use Active Directory refer to *Governance, Risk and Compliance Manager Implementation Guide*. For information on using Active Directory on Content Server refer to *Managing Security and User Access*.

Logout With Active Directory

When Active Directory is configured, the Logout link does not appear in the GRC Manager navigation bar. Users do not log out, they just close the browser. If the Logout link does appear, you can edit the Active Directory configuration to make the Logout link not appear by changing the provider setting from:

```
<SECURITY_PROVIDER value="Stellent" />
```

to:

```
<SECURITY_PROVIDER value="AD" />
```

Configuring Control-Based Owners (Optional)

The GRC Manager application includes an optional capability for assigning users as owners of controls in business processes. This feature is referred to as *control-based ownership*. This feature is disabled by default. If the feature is enabled, users can be assigned as control owners and also can be assigned as Approvers for controls in the Approval, Edit, Testing, and Management Assessment workflows. Also, the Basics tab in a BP Control Page, page 7-12 will display a control owner field.

B

Testing Business Processes

This appendix covers the following topics:

- About Testing Business Processes

- Process Testing Workflow Overview

- Workflow Prerequisites

- Workflow Details

- Starting a Process Test Run

- Starting a Test Run for a Single Process

- Initiate Testing (Testing / Monitoring – single BP)

- Starting a Test Run for Multiple Processes

- Validating Control Documentation

- Performing Tests and Documenting Results

- Testing Controls and Entering Control Test Results

- Completing a Test Run

- Failing a Test Run

- Reviewing a Test for Compliance

- Passing a Process Test

- Failing a Process Test

- Revising Test Run Documentation

- Testing/Monitoring Interface

- Testing/Monitoring Tray

- Process Evaluations - Completed Testing Workflows for <user>

- Process Evaluations - Active Testing Workflows for <user>

- Process Evaluations - Validation Workflows for <user>

- Process Evaluations - Active Eval Workflows for \<user\>

- Test Cover Page

- Multiple Processes Test Run Screen

- Process Evaluation Page

- Control Test Page

- Test Results Page

About Testing Business Processes

During a fiscal period, business processes in an organization or an organizational unit can be scheduled for testing. Each process owner is responsible for both creating controls for their business processes and instructions for testing those controls. Some business process controls may have multiple test instructions and some controls may have none. When testing is initiated, the test owner assigned to the business process uses the test instructions to perform tests on the controls, document the test results, and pass or fail each control. Tests can be performed on one or on multiple business processes.

The following topics contain information on testing controls based on selected business processes:

- Process Testing Workflow Overview, page B-2

- Managing Test Instructions, page 7-7

- Starting a Process Test Run, page B-5

- Performing Tests and Documenting Results, page B-8.

For information on testing controls based on selected controls across multiple business processes refer to Audit Testing and Test Plans, page 10-xviii.

Process Testing Workflow Overview

Business process controls can be tested by running a process test (or test run), which uses the Testing workflow to route a business process for evaluation and testing of its controls. This section describes the basic workflow for testing a business process.

The purpose of business process testing is to have the business process and associated documentation (including risks, controls, and attachments) be fully tested by one or more specified users. Process testing provides the automation to verify the accuracy and completeness of documentation for a given business process.

Reviewers for process testing can be specified by the user initiating the testing, or the administrator for your company may have assigned default reviewers, in which case business processes are automatically routed to the designated reviewers.

The Testing workflow is activated whenever a user with permissions wishes to have controls tested. The workflow progresses between users in the following order:

1. Initiated by a user with rights to the business process and authorized to initiate testing.

2. The business process owner validates the Controls documentation.

3. The test owner tests the controls according to the test instructions and reports the results.

4. The test initiator reviews the test results and its documentation and passes or fails the test.

Overview of Testing Workflow
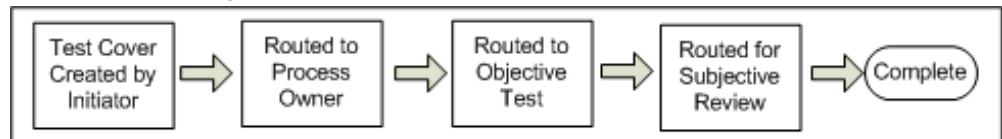
Workflow Prerequisites

The prerequisites to begin testing a process using the Testing workflow are the following:

• A business process that is in a Released state

• An assigned business process owner

• An assigned test owner

• Appropriate security rights

Workflow Details

The following list describes in more detail what happens during a Testing workflow.

> **Note:** A business process can be tested even if it is in another workflow.

1. A user with permission to a business process initiates process testing from the open business process and creates a Test Cover document with information about the test.

2. An email notification is sent to the process owner, notifying the owner to enter the

system and check their Inbox. The email notification includes a link to the system that takes the user to the application log-in page.

3. The process owner opens the business process and reviews the control documentation. The owner either validates or invalidates the process.

- If the process is validated, the test run is removed from the process owner's Inbox and sent to the next step.

- If the process is invalidated, an email is sent to the user who initiated the test run, notifying them of the reason.

4. An email notification is sent to the test owner, who is responsible for testing and providing test results for each control within the business process. The email notification includes a link to the system that takes the user to the application log-in page.

5. The test owner follows the test instructions to test each control, documents the result of each control test, and assigns a pass/fail state to each control test. While the actual testing occurs outside of the application, the results and status are captured at each control level.

- If the process passes the tests, the test run is removed from the test owner's inbox and sent to the next step.

- If the process fails any of the tests, the test owner creates an issue for each test that failed, and the issue or issues are routed to the process owner for remediation.

6. An email notification is sent to the test initiator, notifying the user to enter the system and check the inbox. The email notification includes a link to the system that will take a user to the application log-in page.

7. The user reviews the test results and any changes to the business process, and assigns a pass/fail status to the process. The user can change any of the test results documentation to ensure its integrity and validity.

- If the business process passes, its state is changed to Completed, the system is notified that the process owner is finished contributing to the process, and the Test Cover document is removed from the Testing workflow.

- If the business process fails, the user must create an issue, and the issue is routed to the process owner for remediation. The Testing workflow ends in a Failed state.

Starting a Process Test Run

Note: For more information on the Testing workflow refer to Process Testing Workflow Overview, page B-2

There are two options for starting a test on a business process (also referred to as a test run). When you start a test run you are initiating a Testing workflow.

- Starting a Test Run for a Single Process, page B-5

- Starting a Test Run for Multiple Processes, page 4-21

Starting a Test Run for a Single Process

To start a test run for a single business process, complete the following steps:

1. Open a released business process from the Organization map or Business Processes tray—Released Only link.

2. From the business process list, select a process to enter into the Testing workflow.

   The Process Page, page 5-36 is displayed.

   > **Note:** A business process must be approved and released before it can be tested. Testing can be initiated even when a business process is in another workflow.

3. Click **Initiate Testing**.

   A confirmation prompt is displayed.

4. Click **Yes**.

   The business process Test Cover Page, page B-19 is displayed.

5. Verify that the selected process is in a Released state and that it has a process owner and a test owner.

6. Enter a title for the test cover.

7. Enter or select appropriate information for the fields on the Basics and Comments tabs.

8. Click **Save**.

   The Process Evaluation Page, page B-22 for the process is displayed.

9. Click **Close**.

The business process page is displayed.

10. Click **Close**.

The process is entered into the Testing workflow and an email is sent to the tester.

> **Note:** To view who received an email for a Testing workflow, select the Timestamps tab for the process. The Current Workflow User value shows the person who received the email notification.

Initiate Testing (Testing / Monitoring – single BP)

When selecting the "Initiate Testing" button, a BP Test Cover is created and you fill in the necessary information. One of the available options on the Basics tab page is a 'Controls to Test' field. 'Controls to Test' include: All Controls, Key Controls Only, Optional, and Controls in Scope. The "Controls in Scope " value allows you to filter only controls that are indicated as yes, in scope, as defined on the Controls Basic tab.

> **Note:** When selecting the new value (Controls in Scope) for "Controls to test", it does not actually filter the controls, but does allows a test cover to be completed even if all controls have not been tested, as long as the group indicated have all been tested (key or in-scope).

Once a Business Process Test is created (via Initiate Testing button), the Controls tab for test will also contain a new column in the grid/table called "In Scope", displaying whether the control – Yes or No – is in scope. This information is useful for you to know when the test was created using one of other delivered option under 'Controls to Test', such as All Controls, Key Controls Only, and Optional.

Optionally, you can use the Organization map to also 'Initiate Testing'. Here the organization map displays a list of BP's to the right of the map, defined for the organization path selected. "In Scope" column is included so you can easily find the processes that contain controls that are in scope. After selecting the BP's to include, clicking the 'Initiate Testing' option to further define criteria for testing.

> **Note:** The 'In Scope' column applies only to Organization maps, and does not impact other map types.

Starting a Test Run for Multiple Processes

> **Note:** A business process must be in the Released state for the Testing

workflow to be initiated.

To start a test run for multiple business processes, complete the following steps:

1. From an Organization map, select a folder and double click the folder title to display the list of business processes for that unit.

2. Select individual processes by checking the boxes next to each process title, or select all the processes by checking the box at the top of the process list.

3. Click **Initiate Testing**.

   The Multiple Processes Test Run Screen, page B-21 is displayed.

4. Enter or select information for the fields in the screen.

5. Select **Yes** or **No** for Recursive testing.

6. Click **Yes**.

   A confirmation prompt is displayed.

   - If you click **Yes**, the processes that are available for testing are entered into the Testing workflow. A status screen is displayed to show the processes that are now in the workflow.

   - If you click **Cancel**, the process is not sent for testing and the Test Cover page is closed.

        Note: If the Testing workflow did not start for a business process, check to see if it is a valid process that is in the Released state and that it has an assigned process owner and test owner.

Validating Control Documentation

When a Testing workflow is initiated, an email notification is sent to the next user in the workflow to notify them to log in to the system and check their Inbox. A link is provided from the email to the system. Clicking the link will take the user to the application log-in page.

The process owner is the user who validates control documentation after reviewing a business process. After the process owner has finished reviewing the control documentation, the owner notifies the workflow that the documentation is valid or invalid. The workflow notifies the system that the process owner is done reviewing the controls about to be tested.

To validate control documentation when testing a process, perform the following steps:

1. Find the business process to be tested by clicking **Testing/Monitoring—Validation Inbox**. You can also access processes by clicking **My Inbox**, but it can display other documents and document types in addition to those that need to be validated.

   Test runs in a Testing workflow and waiting to be validated are displayed.

2. Click Test Run title.

   The Process Evaluation Page, page B-22 is displayed with the Valid Controls and Invalid Controls buttons enabled.

3. To view the test plan for the controls click **Test Plan** on the Basics tab. It displays a window that contains summary information of the process control or controls and test plan.

4. Click the Controls tab.

5. Select each control title, and review and evaluate the process control documentation to be tested.

6. When you are finished evaluating the control documentation, you can declare it is valid or invalid.

   - If you find the control documentation to be valid, click **Valid Controls**. A confirmation screen is displayed asking if you approve the controls.

     Click **Yes**.

     The process is removed from the process owner's inbox and sent to the next step in the Testing workflow.The Process Evaluation page is displayed with the current user now changed to the test owner.

   - If you find the control documentation to be invalid, click **Invalid Controls**. An Issue Page, page 11-18 is displayed.

     Enter information describing why the control documentation is being invalidated. When you are finished with the message, click **Yes**.

     An email is sent to the user who initiated the Testing workflow, notifying them of the issue. The Testing workflow is discontinued.

7. Click **Close**.

Performing Tests and Documenting Results

After control documentation for a business process has been validated, an email notification is sent to the test owner responsible for testing the process controls and providing the test results for each control. The email notifies the user to log in to the

system and check their inbox. A link is provided from the email to the system. Clicking the link will take the user to the application log-in page.

The test owner can perform the following tasks when testing a process:

- Testing Controls and Entering Control Test Results, page B-9

- Completing a Test Run, page B-10

- Failing a Test Run, page B-11

Testing Controls and Entering Control Test Results

The test owner assigned to a business process must perform tests on the controls and then document the results of each control test, assigning a Pass or Fail status to each control test. While the actual testing occurs outside of the GRC Manager application, the results and status are captured at each control level.

To perform control tests and enter control test results for a business process, complete the following steps:

1. From the GRC Manager main navigation panel select the Test Run to be tested (it is already in the Testing workflow). The Test Run can be accessed from the My Inbox tray, or the Testing/Monitoring tray using the Open Tests or Active Tests Inbox options.

2. Select the title of the process to be tested.

   The Process Evaluation Page, page B-22 for the process is displayed.

   > **Note:** If you wish to view test instructions before viewing the controls, click **Test Plan**.

3. Click the Controls tab to view a list of the controls to be tested.

4. Click a control title to view the control information, including test instructions.

5. Test the control outside the application.

   You can refer to the Test Instructions Page, page 7-30 from the control you are testing by clicking on the control title from the list of controls and then clicking the Tests tab to view a list of instructional documentation for the control.

6. After testing the control, return to the Process Evaluation page and click the **Test** button to the left of the control title on the Controls tab.

   The Control Test Page, page B-24 is displayed.

7. Enter a title for the control test.

8. Select the **Pass** or **Fail** status from the Result menu.

9. Enter a description of the test results in the Description field.

10. Click **Save**.

   The Test Results Page, page B-25 is displayed.

   > **Note:** If you have implemented control automation integration, you must activate the "Automation" tab for the test results document that is hidden from view on all the test results pages. For further information refer to Automation Integration for Controls, page C-xviii.

11. If you want to revise the Basics, Instructions, or Attachments tab information, click **Edit**. If you make any changes, click **Save** to save the changes.

12. Click **Close**.

13. The Process Evaluation Page, page B-22 is displayed with the Testing Completed and Failed Testing buttons enabled.

14. If there are more controls to be tested, test each one and document the test results.

15. When testing is complete on all controls, the Process Evaluation page is displayed with two buttons enabled: Testing Completed and Failed Testing.

   • If testing is complete on all controls and all controls passed, follow the instructions in Completing a Test Run, page B-10 to complete the test.

   • If testing is complete on all controls but one or more control tests failed, follow the instructions in Failing a Test Run, page B-11 to complete the test.

Completing a Test Run

When the test owner has finished testing all controls for a business process and entered **Pass** for all the control tests, the system must be notified that the test is complete. To finish the test stage for a Testing workflow, complete the following steps:

1. After control test results have been documented, click **Testing Complete** on the Process Evaluation Page, page B-22.

   A confirmation prompt is displayed.

2. Click **Yes**.

   The test run is removed from the test owner's Inbox and sent to the next step in the

Testing workflow.

Failing a Test Run

When performing tests on controls for a business process, the test owner can notify the system that a test has failed and that there is an issue with either the control test or the business process documentation. To fail a test for a process test run, complete the following steps:

1. On the Process Evaluation Page, page B-22 for a business process, click **Fail Testing**.

    A confirmation prompt is displayed.

2. Click **Yes**.

    The Issue Page, page 11-18 is displayed.

3. Enter the appropriate information on the Issue page. For information on creating an issue refer to Creating an Issue During a Test Run, page 11-5.

4. When you are finished creating an issue, click **Yes**.

    An issue is routed for remediation, and an email is sent to notify the process owner about the issue. The test run in the workflow is stopped.

    > **Note:** For information about issues and how to use them refer to Managing Issues, page 11-xviii.

Reviewing a Test for Compliance

After a Testing workflow has gone through the steps of testing and documenting test results, it is routed to a compliance reviewer for a final review. The final review step enables a compliance administrator or other assigned user to review, change, and approve the business process test results. If the business process test results are approved, the Test Cover document and its associated documentation is set to a Released state and removed from the Testing workflow. The reviewer can change any of the business process test results documentation to ensure its integrity and validity for the various risks, controls, and compliance related attributes.

An email notification is sent to notify the user to log on to the system and check My Inbox. The compliance reviewer can perform the following actions:

*   Passing a Process Test, page B-12

*   Failing a Process Test, page B-12

- Revising Test Run Documentation, page B-12

Passing a Process Test

When a business process has been tested and passed, the Testing workflow notifies the compliance reviewer (or reviewers) by email that a business process is ready for approval. The user reviews the process test run results and either passes or fails the process.

To pass a business process for compliance in a test run, complete the following steps:

1. On the business process page click **Pass Process**.

   A confirmation prompt is displayed.

2. Click **Yes**.

   The Test Cover document is set to a Released state and removed from the Testing workflow.

Failing a Process Test

When a business process has been tested and passed, the Testing workflow notifies the compliance reviewer by email that a business process is ready for approval. The user reviews the process test run results and either passes or fails the process. If the compliance reviewer fails the process, that means there is an issue with either the test or with the process documentation, and the workflow does not continue.

To fail a business process for compliance in a test run, complete the following steps:

1. On the business process page click **Fail Process**.

   The Issue Page, page 11-18 is displayed.

2. Enter information in the Issue definition page. For more information on creating an issue refer to Creating Issues, page 11-3.

3. When an issue is saved, it is routed for remediation and the Testing workflow does not continue.

Revising Test Run Documentation

The business process documentation for the test run, including the control test results, can be changed by the compliance reviewer. To change the test run documentation, complete the following steps:

1. On the business process page click **Edit**.

The process attributes are enabled for the Basics and Comments tabs.

2. Enter changes or additions to the test run documentation.

3. Click **Save** to save any changes.

   To undo changes click **Cancel**. If you click **Close**, you are prompted to save any changes, then the document is closed.

Testing/Monitoring Interface

This section contains the following topics on the interfaces used for testing and monitoring processes:

- Testing/Monitoring Tray, page B-13

- Process Evaluations - Completed Testing Workflows for <user>, page B-14

- Process Evaluations - Active Testing Workflows for <user>, page B-15

- Process Evaluations - Validation Workflows for <user>, page B-16

- Process Evaluations - Active Eval Workflows for <user>, page B-18

- Test Cover Page, page B-19

- Multiple Processes Test Run Screen, page B-21

- Process Evaluation Page, page B-22

- Control Test Page, page B-24

- Test Results Page, page B-25

Testing/Monitoring Tray

The Testing/Monitoring tray provides interface pages to view and manage test runs assigned to a user. If a business process is being tested or has been tested, all of the associated text documentation and status can be found via this tray.

For additional information refer to About Testing Business Processes, page B-2.

Testing/Monitoring Options	Description
Completed Tests	Displays the Testing workflows for business process and control test results that have been completed. This view provides an immediate final review status for an evaluated process. Information includes Period (of time), Process, Title, Doc ID, Process Owner, Process Tester, and Release Date.
Open Tests	Displays the Test Cover documents in Testing workflows for business processes that need to have their controls tested or have the control results evaluated for final review. This view provides an immediate status for the current level of testing within the organization. Information includes Period (of time), Process, Title, Doc ID, Process Owner, Process Tester, Release Date, and Current User.
Validation Inbox	Displays the Validation workflows for business processes that need to be validated for accuracy before having their controls tested. Clicking an active link opens a test review page with a link to the business process. Information includes Period (of time), Process, Title, Doc ID, Process Owner, Process Tester, and Release Date.
Active Tests Inbox	Displays active Evaluation workflows for business processes that need to have their controls tested by the designated test owner. Clicking the active link opens the test review page with a list of the controls to be tested. Information includes Period (of time), Process, Title, Doc ID, Process Owner, Process Tester, Release Date, and Current User.

Process Evaluations - Completed Testing Workflows for <user>

The Process Evaluations - Completed Testing Workflows for <user> page displays a list of tests that have completed processing through the Testing workflow. To access this page, select the Testing/Monitoring tray, then click Completed Tests.

For more information refer to About Testing Business Processes, page B-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	The period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Process column	The path name for a business process.
Title column	The title of the Test Run. Each title is a link that will open the Process Evaluation Page, page B-22.
Doc ID column	The document ID number in the content server.
State column	The state of the Testing workflow.
Process Owner column	User name of the person assigned as the owner of the business process.
Process Tester column	User name of the person assigned as the tester for the business process test.
Release Date column	The release date of the business process.
Current User column	The user name of the person currently accessing the test.
Info icon	Displays a Process Test Plan screen that summarizes information in the test plan for the process. This summary can be printed.

Process Evaluations - Active Testing Workflows for <user>

The Process Evaluations - Active Testing Workflows for <user> page displays a list of tests that are active in a Testing workflow. To access this page, select the Testing/Monitoring tray, then click Open Tests.

For more information refer to About Testing Business Processes, page B-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	The period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Process column	The path name for a business process.
Title column	The title of the business process. Each title is a link that will open the Process Evaluation Page, page B-22.
Doc ID column	The document ID number in the content server.
State column	The state of the Testing workflow.
Process Owner column	User name of the person assigned as the owner of the business process.
Process Tester column	User name of the person assigned as the tester for the business process test.
Release Date column	The release date of the business process.
Current User column	The user name of the person currently assigned the test.
Info icon	Displays a Process Test Plan screen that summarizes information in the test plan for the process. This summary can be printed.

Process Evaluations - Validation Workflows for <user>

The Process Evaluations - Validation Workflows for <user> page displays a list of tests

that are active in a Validation workflow. To access this page, select the Testing/Monitoring tray, then click Validation Inbox.

For more information refer to About Testing Business Processes, page B-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	The period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Process column	The path name for a business process.
Title column	The title of the business process. Each title is a link that will open the Process Evaluation Page, page B-22.
Doc ID column	The document ID number in the content server.
State column	The state of the Validation workflow.
Process Owner column	User name of the person assigned as the owner of the business process.
Process Tester column	User name of the person assigned as the tester for the business process test.
Release Date column	The release date of the business process.
Current User column	The user name of the person currently assigned the test.
Info icon	Displays a Process Test Plan screen that summarizes information in the test plan for the process. This summary can be printed.

Process Evaluations - Active Eval Workflows for <user>

The Process Evaluations - Active Eval Workflows for <user> page displays a list of tests that are active in an Evaluation workflow. To access this page, select the Testing/Monitoring tray, then click Active Tests Inbox.

For more information refer to About Testing Business Processes, page B-2.

Feature	Description
Show Filters button	Expands the page to display fields to specify criteria for filtering the list. Criteria fields include title, organization, status, and owner. The Hide Filter button collapses the criteria fields on the page. The Refresh Data button processes the criteria and re-displays the list.
Period column	The period of time specified in the test. The default format is year and quarter (for example, Y2006Q1).
Process column	The path name for a business process.
Title column	The title of the business process. Each title is a link that will open the Process Evaluation Page, page B-22.
Doc ID column	The document ID number in the content server.
State column	The state of the Evaluation workflow.
Process Owner column	User name of the person assigned as the owner of the business process.
Process Tester column	User name of the person assigned as the tester for the business process test.
Release Date column	The release date of the business process.
Current User column	The user name of the person currently assigned the test.

Feature	Description
Info icon	Displays a Process Test Plan screen that summarizes information in the test plan for the process. This summary can be printed.

Test Cover Page

The Test Cover page is used to define information about a test being initiated for a process control. To access this page, open a business process that is in a Released state, and click the Initiate Testing button. The Initiate Testing button is enabled when a user has permission and the business process is not locked. For more information refer to Starting a Test Run for a , page B-5.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	The name of the organization to which the process is associated.
Process field	The name for the business process.
Title field	Enter the name of the Test Run.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is released.
Version field	Number of versions of the document. For a Test Cover document, it enters a workflow at version 1, completes the workflow and is stored for historical purposes at version 1.

Feature	Description
Basics tab	
Period field	Select the year and quarter (one through four) for the period of time the test will cover.
	The period selections can be customized to list different dates or times, and may not match the examples displayed here.
Type field	Select the type of test to perform:
	• Test All Processes
	• Test Updated Processes Only
Controls to Test field	Select the controls to test for the process or processes:
	• All Controls: Requires that all key and non-key controls be tested.
	• Key Controls Only: Requires that all key controls be tested; other controls can be tested but are not required.
	• Optional: Any control can be tested; there are no requirements.
Process Owner field	Name of the user assigned as the process owner.
Test Owner field	Name of the user assigned as the test owner for the process.
CMS Status field	The status of a document in the content server.
Current User field	Name of the user currently assigned the process.
Description field	Enter a description of the test.
Comments tab	

Feature	Description
Comments field	Additional comments about the test.

Multiple Processes Test Run Screen

When a test run for multiple business processes is started, a screen is displayed that is used to define test run parameters for the multiple processes. To access this screen, select an organization map, select a number of business processes, and then click the Initiate Testing button. For additional information refer to Starting a Test Run for Multiple Processes, page 4-21.

Feature	Description
Title field	The title of the Test Cover to be created. The title defaults to the organization map for the business processes to be tested.
Period field	Select the year and quarter (one through four) for the period of time the test will cover. The period selections can be customized to list different dates or times, and may not match the examples displayed here.
Type field	Select the type of test to perform: • Test All Processes • Test Updated Processes Only • Test Processes In Scope Only

Feature	Description
Controls to Test field	Select the controls to test: • All Controls: Requires that all key and non-key controls be tested. • Key Controls Only: Requires that all key controls be tested; other controls can be tested but are not required. • Optional: Any control can be tested; there are no requirements. • Controls in Scope: Requires that only controls designated as being in scope for testing are tested.
Recursive check option	Select whether to make the test recursive: **Yes** or **No**. Recursive means that tests are also created for processes in child folders of the selected folder.
Yes button	Starts test run for the selected processes.
No button	Cancels the creation of the test run for the selected processes.

Process Evaluation Page

The Process Evaluation page is used by test owners when testing controls for business processes. The test owner assigned to a business process must perform tests on each control, document the result of each control test, and assign a Pass or Fail status to each test. To access this page, select a Test Run title that is displayed either in the My Inbox tray or displayed in the Open Tests page or Active Tests page via the Testing/Monitoring tray links (indicating it is in a Testing workflow and assigned to you). For additional information refer to Performing Tests and Documenting Results, page B-8.

Feature	Description
Process Evaluation page title	Title of the Test Run being evaluated.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Enables the user to make changes to the Test Cover. This button is enabled if the process is in the Testing workflow.
Testing Completed button	This button is enabled when all required controls for a process have been tested. If all controls have passed their tests, clicking this button inform the systems that testing is complete and the workflow should continue.
Fail Testing button	This button is enabled when controls for a process are being tested. If one or more controls fail their tests, clicking this button informs the system that testing has failed and the workflow cannot continue. When a particular control test gets a failed status, it is not required to fail the entire test cover. The objective testing may be completed and allow the reviewer to fail the test cover and create the issue.
Organization field	The name of the organization to which the process is associated.
Title field	The name of the test.
State field	Current state of the document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created.
Version field	Number of versions of the document.
Controls tab	

Feature	Description
Test button	Creates the Control Test Results page, where information about the results of a test is documented.
Class Column	Specifies the classification of the control's relationship to other controls in the business process.
Title column	Title of the control.
Status column	State of the business process.
Doc ID column	Content ID for the document.
In Scope column	Indicates whether or not the control is in scope for testing by way of a Yes/No flag for each of the controls in the business process.
Method column	Indicates the way a control mitigates risk, such as whether it is implemented manually or automatically.
Revision column	Revision number of the document.
Type column	Type of document as assigned by Governance, Risk and Compliance Manager.
Release date column	Date the document was released.

Control Test Page

The Control Test page is used to document information about the results of a test on a control for a business process. To access this page, click the Test button on the Controls tab of a Process Evaluation page. For additional information refer to Process Evaluation Page, page B-22) and Testing Controls and Entering Control Test Results, page B-9.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Save button	Saves changes to the page.
Cancel button	Cancels changes to the page.
Organization field	The name of the organization to which the process is associated.
Title field	Enter a title for the control test document.
State field	Current state of the control test document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created.
Version field	Number of versions of the document.
Basics tab	
Result field	Select a result for the test: • Pass • Fail
Period	The year and quarter (one through four) selected in the Test Cover page for the period of time the test covered.
Test Owner	The name of the test owner.
Description field	Enter a description of the test results in this field.

Test Results Page

The Test Results page is used to view and review the documented information about

the results of a test on a control for a business process. It is displayed when a test owner has completed entering test results on a Control Test page and clicked the Save button. It can also be accessed by clicking the Completed Tests link in the Testing/Monitoring tray, clicking a test title, selecting the Controls tab, and clicking the Test Results link in the Title column of the tab display. For additional information refer to Testing Controls and Entering , page B-9.

Feature	Description
Close button	Prompts users to save changes to the page if they have not done so, then closes the page.
Edit button	Enables user to make changes to the page documentation.
Organization field	The name of the organization to which the process is associated.
Title field	The title for the control test document.
State field	Current state of the test results document.
ID field	Content ID number used for the document when it is stored in the content server.
Release Date field	Date and time the document is created.
Version field	Number of versions of the document.
Basics tab	
Result field	Select a result for the test: • Pass • Fail
Period	The year and quarter (one through four) selected in the Test Cover page for the period of time the test covered.
Test Owner	The name of the test owner.

Feature	Description
Description field	Enter a description of the test results in this field.
Instructions tab	Provides information about test instructions.
Attachments tab	Provides information about attachments.
History tab	Displays information about the history of the process and the test.

C

Automation Integration for Controls

This appendix covers the following topics:

- Introduction to Implementing Control Automations
- Managing Control Automations
- Administrative Tools for Automations
- Additional Information

Introduction to Implementing Control Automations

Control automation technology provides the ability to create and administer preventative and detective control automations. An automation management system such as GRC Controls (GRCC) can provide segregation of duties and transaction monitoring. These capabilities significantly enhance the internal control environment by detecting risks and creating finer controls over enterprise applications.

GRC Manager can be configured to expose control automation integration points. This can be useful to business users and audit users throughout the GRC Manager application. When implementing the optional control automation, there are several areas for which you can enable new tabs, buttons, links, and fields including:

- The Automation tab located on controls in the business process
- The Automation tab located on the results document for testing
- Additional reporting options
- Tools for automation performance

Note: Your system administrator or server administrator who manages the e100server.config file for GRC Manager must enable these control automation integration points to use this feature. Additionally, there are implementation considerations for the external automation system in order for GRC Manager to effectively use the control automation services. For further information refer to the

Oracle Governance Risk and Compliance Implementation Guide.

Currently automation integration includes GRC Controls 7.2 (GRCC.)

Managing Control Automations

The Control page provides access to a business process control document after it has been created and saved. To access and update this page, open a business process, select the Controls tab, and select the title of a control document. For more information refer to Revising Controls.

> **Note:** Retiring a control also retires any test instructions and attachments. Any related automations that had been selected are unaffected in the external control automation management system

Control Automation Tab

The following table summarizes the information on the Automation tab that is available when control automation has been enabled in GRC Manager.

Feature	Description
Add Automation button	Enables you to relate the GRC Manager control to specific automation(s) located in a control automation management system, such as GRC Controls (GRCC).
Remove button	Enables you to remove an automation at the row level in the table when in Edit mode.

ID	Automation ID is a unique identifier to an automation in GRC Controls. This automation ID is stored as metadata in GRC Manger.
Automation Name	Name given to the control automation. When available, the Automation Name is a hyperlink that allows user to access information about the automation rules in the control automation management system.
Automation Type	Type of automation. Automation types include: Control Monitor Segregation of Duties Change Control Oracle Flow Rule Oracle Form Rule
Policy Name	Name of the associated control related to automation in the control automation management system. The Policy Name is a hyperlink that allows user to access the related control information in the control automation system.
Effective From	When available, date that the automation is effective from.
Effective To	When available, date that the automation is effective to.

Note: To successfully use the hyperlinks for Automation Name and Policy Name, you must have separate security into the automation management system (such as access to GRCC).

Control Automation Tab - Automation Selection Window

The following table summarizes the information on the Automation Selection page that is available when control automation has been enabled in GRC Manager.

Feature	Description

Search criteria section

Automation Name field	Perform partial or specific searches against control automation name.
Automation Type field	Select the type of automation you want to search. The available options to filter against include: Control Monitor Segregation of Duties Change Control Oracle Flow Rule Oracle Form Rule
Policy Name field	Perform partial or specific searches against policy name associated to the automations.
Apply Filter button	After entering filter criteria, execute the search for control automation.
Clear Filter button	Clears the fields of entered information and executes the search for control automation.

Automation Results (List)

All / Checkbox column	Select All available automations generated from search, or individually select the automations to relate to the control.
ID column	Automation ID number is a unique identifier to an automation system.
Automation Name column	Name given to the control automation.
Automation Type column	Type of automation.
Policy Name column	Name of the associated control related to automation in the control automation management system.

Automation Test Results for Controls

When the control automation integration is implemented for GRC Manager, the Automation tab is available as part of your testing results documents for all testing types. There is an Automation tab for the following:

- Control Test Results for Testing/Monitoring

- Control Test Results for Audit Testing

- Control Operating Assessment Results for Management Assessment

- Control Design Assessment Results for Management Assessment

These results pages display similar information. You can use the page to verify automations that are associated with the control, and access the control automation system to verify automation results, such as user conflicts and suspect data.

The following table summarizes the information for the results Automation tab when working with Testing/Monitoring, Audit Testing, and Management Assessments in conjunction with the control automation integration enabled in GRC Manager.

Feature	Description
ID	Automation ID is a unique identifier to the control automation management system (such as GRC Controls).
Automation Name	Name given to the control automation. When available, the Automation Name will be a hyperlink that allows user to access and monitor automation results in the control automation management system.
Automation Type	Type of automation.
Policy Name	Name of the associated control related to automation in the control automation management system. The Policy Name is a hyperlink that allows user to access the related control information in the control automation system.
Effective From	When available, date that the automation is effective from.

Effective To	When available, date that the automation is effective to.

Note: To successfully use the hyperlinks for Automation Name and Policy Name, you must have separate security into the automation management system (such as access to GRCC).

Automation Related Reporting

This section describes automation related reporting.

Report Tray

The Reports navigation tray provides links to view reports that are available in the system. If no Reports tray is visible, then you do not have the appropriate permissions to view reports. The Reports tray has six selections (Project, Audit, Exception, Scheduling, Matrix, and Library), but only the Project tray provides reports to view information related to control automations. If you have implemented control automation integration, you will have two additional reports.

> **Note:** The available control automation reports are available when the control automation feature is implemented by a system administrator or server administrator. For further information refer to the *Oracle Governance Risk and Controls Implementation Guide*.

The following table summarizes the two available automation reports:

Report Category	Document Type	Report
Project	Process	All Processes with Automated Controls by Organization
Project	Control	All Controls With Automations By Process

Document Reports

When reviewing a specific document, such as a business process or control, reports are available that summarize the document contents. These reports can also be printed. When the control automation is implemented with GRC Manager, several reports will display an additional section called Automations. These reports include:

• Process Profile

- Control Profile

- Process Test Plan

- Management Assessment Report

Administrative Tools for Automations

This section describes administrative tools for automations.

Configuration Administration Page

The Configuration Administration page is located in the Administrative Tools navigation tray. When implementing a control automation management system (such as GRC Controls), you can activate the two optional buttons on the Configuration Administration page to improve your web service performance. These buttons perform data retrieval operations and store the data locally for performance improvement. The setting for the length of time to cache data before automatically refreshing is configurable. To access this page, select the Administrative Tools navigation tray and click the Configuration Administration link.

The following table summarizes the two buttons available:

Feature	Description
Initialize Automation Data button	Allows the administrator to pre-fetch the control automation data after restarting the GRC Manager web application.
Refresh Automation Data button	Allows the administrator to refresh the cached data when updates are available from the control automation system.

Note: Even if an administrator decides not to activate these two automation-related buttons, the application will still perform correctly.

Note: he available Configuration Administration buttons for improving performance may be accessed by a user with the SOAICAdmins role or SOAGlobalICAdmins role.

Additional Information

Refer to this additional information

- Integration with GRC Controls 7.2 (GRCC) is enabled via the e100server.config file - not only enabling integration with the web services but also providing additional 'Automation' tabs for controls and test results pages and additional reporting features.

- The Administrator of the configuration file can configure if automation is allowed in MPL, MCL, or templates, and also if changes to MCL controls will be propagated to linked controls.

- The administrator can optionally use the configuration file to enable buttons that provide links to access other environments directly from the control, such as a link to the GRCC application.

> **Note:** For further information regarding these topics, refer to the *Oracle Governance, Risk and Compliance Implementation Guide*.

D

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Zlib License

* zlib.h -- interface of the 'zlib' general purpose compression library

version 1.2.3, July 18th, 2005

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Glossary

Accounting Cycle

The accounting cycles for the organization.

Active Tests Workflow

The workflow for testing a business processes controls.

Approval Workflow

The workflow for approving the content of a business process. The workflow includes individuals that have responsibility for a business process.

Assignments

Individuals (users) that have been given responsibility for a task.

Attachment

Any file type allowed by the Windows operating system that becomes part of the subject's definition.

BP

See *Business Process*.

Business Process

Definition of a process, policy, or activity that must be monitored to ensure compliance with the Sarbanes-Oxley Act of 2002.

Business Process Owner (BPO)

A person who has access to individual business process tasks as assigned by the internal control administrator.

Changed By

The individual (user) that effected a change.

CMS

Content Management System.

CMS Status

Status of the document as retained by the content management system.

Collection Workflow

The workflow for collecting information content for a business process. The workflow includes individuals that have knowledge of and responsibility for a business process.

Comments

Related additional and optional information about a subject.

Complexity

The subjective value for a business process or control level of complexity as it pertains to the organization.

Control Distribution

The distribution of controls within the organization by various attributes including COSO Component.

Control Name

Title for a control. This can be a formatted name or an abbreviated description of the control.

Control

A control point on a given business process set in place to mitigate a specific set of risks for that process.

Control Test

A description document that is linked to a control for a business process. It describes the tests required to validate that the control is being applied as intended.

Control Tester

A person responsible for testing the controls for a given business process as assigned by the internal control administrator.

Controls to Test

The type of controls to test for a given test run.

COSO

The Committee of Sponsoring Organizations of the Treadway Commission.

COSO Category

The COSO Category as defined by the COSO Framework.

COSO Component

The COSO Component as defined by the COSO Framework

Created By

The user who created a given document.

Created Date

The date the document was created.

CS

Content Server

Current User

The current user assigned to a task for a specific workflow.

Current Workflow User

The current user assigned to a task for a specific workflow.

Date Closed

The date closed for an issue.

Date Opened

The date an issue was opened.

Dept Approval

Individual (user) responsible for departmental approval.

Description

A description for the document.

Doc ID

The permanent identifier assigned to a document.

Doc State

See *Document State*.

Doc Type

A system type field denoting the document type.

Document State

Denotes a stage in the life cycle of a document.

Evaluations

Tests performed on a process for determining its accuracy and effectiveness.

Executive Management

The person or persons responsible for verifying and attesting to the status of controls and business processes relevant to maintaining compliance with the Sarbanes-Oxley Act of 2002.

Expected Completion Date

Date upon which an action is to be finished.

External Audit Group (EA

The person or persons responsible for providing an external attestation of compliance with the Sarbanes-Oxley Act of 2002.

Fail

A state or status used in testing business processes to indicate that a test has not met the specified requirements.

File

An attachment document is a file.

Finance Approval

Individual (user) responsible for finance approval. One of the minimum of three approvers in a workflow.

Financial Statement

The financial elements defined for the organization.

GAAP

Generally Accepted Accounting Principles.

GRC

Governance, Risk and Compliance Intelligence

Heat Report

A report designed to highlight the high risk processes within the organization.

ID

Identifier.

Initiator

The user who initiated the workflow.

Internal Audit Group (IA)

The person or persons responsible for providing internal business process auditing.

Internal Control Administrator (ICAdmin)

The person responsible for the Governance, Risk and Compliance Manager toolset.

Issue

Issue document that is created when an issue is identified. An issue can be associated with a control or with a business process. It is a child of the business process or business process control, or a control test cover. Can cause a business process Remediation workflow to be initiated.

Key Control

Denotes a control that is of significant importance to the proper operation of a business process.

Last Changed By

The individual (user) that effected a change.

Last Changed Date

Last date upon which a change was effected.

Last Risk Update

Last date upon which a change to a risk was effected.

Last Update

Last date upon which a change was effected.

Last Updated By

The individual (user) that effected the last change.

Linked Component

A document in a business process that has a link to its source Master Component in a Master Component Library.

MA

Management Assessment

Map Type

A system field type denoting the type of map.

Map

A hierarchical definition of an organization.

Master Component

A document of type Assertion, Risk, Control, or Attachment to a business process that acts as a source to be copied from, with a link maintained to it so that updating a Master Component will allow a propagation of changes to its linked documents.

Master Component Library (MCL)

One or more business processes used as containers for Master Components.

Material Weakness

A significant deficiency in a business process.

Maturity As Is

The subjective status of the current level of maturity for a control.

Maturity Target

The subjective status of the intended level of maturity for a control.

Mitigating Controls

Controls that are currently eliminating risk for a process.

Modified By

The individual (user) that effected a change.

Modified Date

Last date upon which a change was effected.

Org Path

The organizational mapping for an associated document.

Originator

The issue originator.

Owner

The owner of the document.

Pass

The status that determines the success of a process, control, or test.

Period

The accounting year and quarterly period (for example, 2003 Q3).

Plan Description

The description for the remediation plan for a given issue documenting the resolution steps required.

Process Name

The title assigned to a business process.

Process Owner

The overall owner of the business process. Responsible for maintaining and documenting the process details.

Process Profile

A profile of the process outlining its attributes.

Process Test Cover

Test document for an associated process in a given fiscal quarter. Linked to the parent business process workflow

Process Tester

The test owner responsible for the objective testing of the controls for a business process.

Project Approval

Individual (user) responsible for finance approval. One of the minimum of three approvers in a workflow.

Propagation Field List

A list of metadata fields that propagate from Master Components to linked components when the Master Components are updated. These are also known as *linked fields*.

Related Risk(s)

Risks that are mitigated by the control.

Release Date

The date that the document was last updated.

Requires Remediation

Denotes that an issue is severe enough to warrant corrective action

Retired

A document that is no longer in use.

Revision Unique ID

The unique ID for the documents current version.

Revision

As a document changes, each save action creates a new revision or version of the document.

Risk Exposure

The exposure that the risk has to the given business process.

Risk Type

The type of financial risk that can affect a given business process, such as fraud or regulatory compliance.

Risk

A negative impact that may occur for a given business process.

Severity

The severity of the issue.

SOA

Sarbanes-Oxley Act of 2002.

Subject

The information or document that has been selected.

Template

There are two types of templates: predefined business processes (including controls, risks, and attachments) that can be used in creating a new business process; and

predefined sets of attachments (relevant documents) that can be used in creating new business processes.

Test

A test document that tracks the status and control test collection for a given test run of a business process.

Test Owner

The test owner responsible for the objective testing of the controls for a business process.

Test Profile

A displayed summary of information about a specific test. The summary can be printed.

Test Result

The document that reports the results of a test on a business process.

Test Run

The Process Testing workflow in action.

Test Status

The status of a test run, which can be one of the following:

- Active Tests

- Cancelled

- Completed

- Failed

- Tests Completed

- Unchanged

- Validate

Tester

The user who tests the business process controls.

Testing Completed Workflow

The workflow for evaluation a completed processes control tests.

Timestamps

Historical and audit related information.

Use Templates

Templates that are available for use by Risk documents.

Validation Workflow

The workflow for reviewing a process's documentation before testing.

Version ID

The version ID for a given document.

Workflow

A workflow is the process of controlling a set of actions on a given document through individual access and passing the document from one step to another through an Approve/Reject concept.

Workflow User

The current user assigned to perform an action on a given document in order to pass in onto the next step within a workflow.

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