



## Absolute Technologies Certify Responsibility Assignments™ Software for Oracle E-Business Suite

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### Introduction – Responsibility Assignments Audit

Many Oracle E-Business Suite customers periodically audit who has access to what EBS Responsibilities. This is an activity that falls under governance and risk compliance, and segregation of duties controls. In most cases, the Internal Audit organization creates the requirement and then the Information Technology organization conducts the responsibility assignment audit, due to the complexity of the EBS environment. IT extracts user and responsibility information from EBS, sorts and packages it, and distributes it to designated business process and responsibility owners. Those owners review the assignments and provide approval or removal decisions back to IT, who then end date some user Responsibilities and package the audit results for Internal audit and external auditors.

Absolute Technologies has added Certify Responsibility Assignments™ (CRA) to the Application Auditor family of products. CRA allows internal auditors and assignment approvers to be more independent. It eliminates IT's burdensome role of extracting information from EBS for auditors and approvers to review, collecting the approvers' decisions, and then taking action to end date designated assignments.

This document describes how Internal Audit and IT departments can use the CRA software to conduct periodic audits within the EBS environment and create a database of the audit results.

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### Audit Objective

Every Responsibility assigned to every EBS User must be reviewed by the Responsibility owner, known as the Approver, and the Approver must document that they approve of the assignment in the context of Segregation of Duties (SOD) policy. The Approver is the sole authority. The audit is complete when every User-Responsibility assignment has been approved or removed. Any assignments designated for removal will be end dated, which makes them ineffective and prevents the User from accessing the Responsibility.

Organizations want quick, painless, and effective audits. They look to minimize the workload on the audit manager, approvers, and IT staff. The process includes collecting baseline data and User Responsibility assignments, distribution to and review by the Approvers, execution of any assignment removal orders, and summary reporting. The steps and deliverables should include everything needed for executive management to certify that the audit met defined objectives and was accurate. The results should also include data retention for smooth and timely recurrences every quarter or as required.

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### Certify Responsibility Assignments Software

Absolute's Certify Responsibility Assignments software is an EBS extension that greatly simplifies the Audit work for all parties: Approvers, Users, IT staff, and external auditors. It is integrated with the EBS database instance, similar to Absolute's SOD Violations Manager software architecture. It adheres to Oracle's CEMLI guidelines for custom extensions to Oracle EBS.

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## Software License

The software is available via an annual subscription license, bundling license and support. CRA may include Absolute Pro\*View modules that complement responsibility assignment audits and provide access to designated relevant E-Business Suite objects. Installation is included with the first year's subscription.

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## Audit Findings Report

During the audit, each User-Responsibility Assignment can have one of four states. At the start of the audit, all assignments are **Not Done**. While the Approvers review the assignments, all four states are possible. At the end of the audit, all assignments are either **Approved** or **End Dated**.

The audit report is derived directly from EBS User and Responsibility data, and includes:

- Listings of all Responsibilities, including those that are out of scope of the review by virtue of not being assigned to an Approver.
- Listings of all in scope User-Responsibility Assignments, including the decision status for each.

<b>Not Done</b>	This is the state when the audit begins. It remains in this state until the Approver makes a decision or requests more information.
<b>Approved</b>	The Approver allowed the User to retain access to the Responsibility.
<b>End Dated</b>	The Approver removed access, which caused CRA to add an end date to the User's Responsibility assignment.
<b>Pending Justification</b>	The Approver requested additional information from the User and the User's Manager, so they can justify continuation of the responsibility assignment. The Approver can finalize the decision to Approve or Remove (End Date) based on the User's response or lack of response. Justification requests have a due date.

Secondary reports may look at other Responsibility assignment risks, such as one person having multiple User accounts, or departmental User accounts like "NCPAYABLES" where transactions cannot be traced to a specific person.

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## Responsibility Assignment Audit Activities

With CRA, it is easy to select Approvers from among the EBS Users and assign Responsibilities. If you have spreadsheets or tables of Approvers and their associated Responsibilities from prior audits, you will be able to load them into CRA, and then make adjustments for recent changes.

The Audit Manager will launch an audit by systematically sending each of the designated Approvers instructions and their list of EBS users requiring certification. The Approvers will click a link in the email to access Certify RA. Then they can review, approve, or reject their users' responsibility assignments from a standard browser. The Approvers will not need to download a spreadsheet, filter within Excel, enter data, or upload and email anything. This eliminates the handling, organization, and storage of individual and consolidated spreadsheets and the need to summarize the results manually.

Another benefit is that the Approvers can approve assignments as time permits, a little at a time, thus allowing the Audit Manager to immediately see and report progress. From the Audit launch the Manager will be able to

monitor gradual completion at an individual and organization-wide level. Approvers will be able to change their decisions on a user-responsibility assignment detail level until the audit manager ends and freezes the audit. When all the work is complete or the audit deadline is reached, the Audit Manager may use CRA to produce final reports, both detail and summary, and rest assured that all transactions and results are maintained in the database to support the audit as long as desired.

If there are files and documents associated with the audit, the Audit Manager and Approvers can upload the files into the database, with descriptive information, for retrieval and long term storage.

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### **Some Software Functionality Specifics**

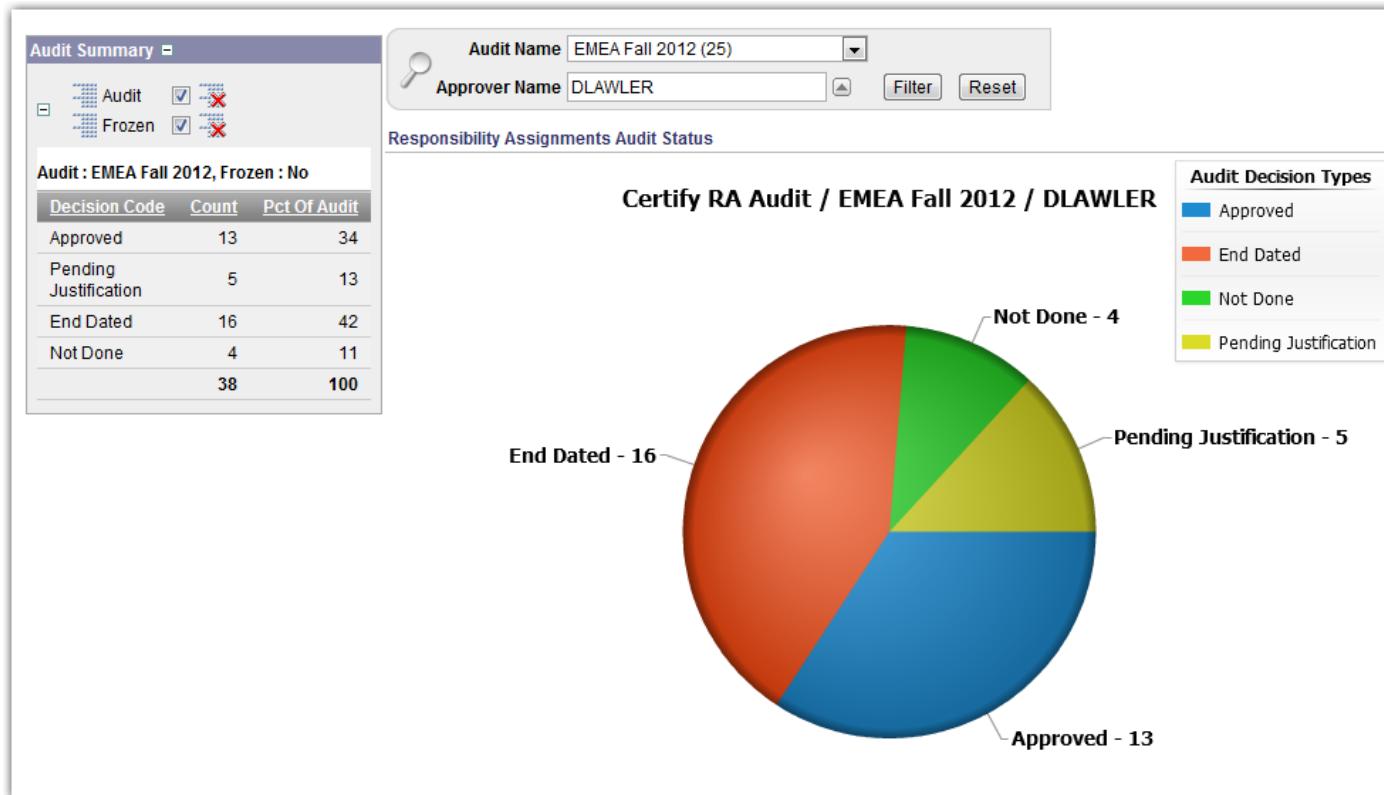
This describes the use of the software in the audit:

1. Audit Managers and Approvers use their EBS user credentials to log into Pro\*View APEX and Certify RA.
2. Detailed instructions are available within Certify RA in page sidebar explanations, page and field help, and downloadable instruction guides.
3. Approvers use a tabular form to approve or reject responsibility assignments. Since most of their decisions will be approvals, they will be able to approve multiple responsibility assignments efficiently.
4. Approvers select pre-defined reasons and write optional notes for their decisions.
5. Approvers can defer their decision and request justification from the User via automatic emails.
6. If the Approver rejects a responsibility assignment, they will select an end date.
7. The Approver can use or change defaults for the number of days before the new end date or before the user's justification response is due.
8. If the Approver removes an assignment, two things will happen:
  - a. Certify RA will send an email to the user and their manager, including the Responsibility name, the action taken, the reason, the scheduled end date, and any notes the Approver may have entered.
  - b. Certify RA will update the user's responsibility assignment record in EBS to reflect the new end date.
9. Audit managers can send reminder emails to the Approvers, which will include the status of the Approver's work.

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### **Example Screen Images**

The next pages show examples of key functionality in Certify Responsibility Assignments.



Screen Image 1 - One Approver's progress on one Audit's Responsibility Assignment approvals.

**ABSOLUTE TECHNOLOGIES**

Certify RA Home | Resp Assignment Approvals | **Approve Resp Assgnmts** | User Responsibilities | Audits | Audit Managers | Approvers | Approver Resps | Person Details | User Resps Chart | Mult Us...

Show All | Parameters | Approve Responsibility Assignments

Instructions +

Approver Name DLAWLER

Audit Name EMEA Fall 2012 (25)

Decision Not Done End Date Days 7 Justification Days 7 Filter Reset

Approve Selected Rows End Date Resp Assignments Request Justification

Assume you want to Approve most of the user assignments. Click the select box on the far left for any rows you want to group approve. You may also want to select a reason code. Then press this button. All the selected rows will update the database.

	Full Name	User Name	Application Name	Responsibility Name	Decision Code	New End Date	Justification Due
<input checked="" type="checkbox"/>	Brown, Ms. Casey	CBROWN	Treasury	Treasury, Vision Operations (USA)	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>
<input checked="" type="checkbox"/>	Fatima Celeste, Fatima	FCELESTE	Receivables	Credit Management Sao Paulo (BR)	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>
<input checked="" type="checkbox"/>	Francisco Luiz Rodrigues, Francisco	FRODRIGUES	Receivables	Credit Management Sao Paulo (BR)	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>
<input checked="" type="checkbox"/>	Francisco Luiz Rodrigues, Francisco	FRODRIGUES	Risk Management	Treasury and Risk Management Sao Paulo (BR)	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>
<input type="checkbox"/>	J Jansen	NETHERLANDS	Cash Management	Treasury/Cash Management, Vision Netherlands	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>
<input type="checkbox"/>	Larsson, Jan	SWEDEN	Receivables	Credit Management Super User	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>
<input checked="" type="checkbox"/>	Marcelo Oliveira,	MOLIVEIRA	Risk Management	Treasury and Risk Management Sao Paulo (BR)	<input checked="" type="radio"/> Not Done <input type="radio"/> Approve <input type="radio"/> Remove <input type="radio"/> Justify	<input type="text"/>	<input type="button"/>

Screen Image 2 - The Approver selects several assignments to approve with one button click.

Show All | Parameters | Responsibility Assignment Approvals

Audit Name: 2012 2nd Half (2) Decision: Justify Approver: KRAMBIS Reason: Filter Reset

Responsibility Assignment Approvals

Reports 4. Overdue Justifications Actions

1 - 8 of 8

Audit Name : 2012 2nd Half, Audit Type : Responsibility Assignments

Approver Full Name	User Full Name	User Name	Responsibility Name	Decision Code	Overdue	Justification Due	Reason Code	Notes	Assignment Reason
Rambis, Ms. Kathy	Brown, Ms. Casey	CBROWN	Assets, Vision Operations (USA)	Pending Justification	No	06-AUG-2012		Reason for the decision. Can also be the reason prompting the user to justify their retention of the responsibility.	Assets responsibility.
Rambis, Ms. Kathy	-	ALAN	Fixed Assets Manager	Pending Justification	Yes	26-JUL-2012	Shared User Name (not Person)	He's overdue - get ready to Remove.	-
Rambis, Ms. Kathy	Bernstein, Ms. Jillian Louise	I2	Engineering	Pending Justification	Yes	24-JUL-2012	Generic User Name with person	-	-
Rambis, Ms. Kathy	-	CWALKER	Engineering	Pending Justification	No	06-AUG-2012	Shared User Name (not Person)	-	-
Rambis, Ms. Kathy	-	ALAN	General Ledger Super User	Pending Justification	No	11-AUG-2012	Other	Alan - who are you?	-
Rambis, Ms. Kathy	-	DRUANE	General Ledger Super User	Pending Justification	No	11-AUG-2012	Other	Who's Druane?	-
Rambis, Ms. Kathy	Catonis, Mr. George	APERKINS	General Ledger Super User	Pending Justification	No	11-AUG-2012	Other	Why's A. Perkins using George Catonis' name?	-
Rambis, Ms. Kathy	-	MMAHON	General Ledger Super User	Pending Justification	No	11-AUG-2012	User Name without Person	MMAHON - who are you?	-

1 - 8 of 8

Screen Image 3 - Interactive report of an Approver's outstanding assignment justification requests.



Responsibility Account Manager (Vision Process) (TRADEPHARMA) will be Removed - skip.straus@gmail.co... X

<https://mail.google.com/mail/ca/u/0/?ui=2&view=btop&ver=18zqbez0n5t35&search=inbox&th=138d111d59639dcf&cvid=2>

**Responsibility Account Manager (Vision Process)  
(TRADEPHARMA) will be Removed**

skips41-dlawler@yahoo.com P Create a document Print all

Inbox X

9:50 PM (2 minutes ago) star back down

to Lipinski, nobody dropdown

Dear Lipinski, Mr. Larry (TRADEPHARMA),

During my work on the EMEA Fall 2012 audit, I have decided to end date your access to this Oracle EBS Responsibility.

Your access to "Account Manager (Vision Process)" ends on 31-AUG-2012.

The reason is: Generic User Name with person

Notes: Larry - I'll give you a month to drop this. Use LLIPINSKI when you do your account manager work.

Please reply or contact me by phone if you or your manager, Bailey, Mrs. Sara (SVP) have any concerns or if this will impact your job duties.

Sincerely,  
Darren Lawler

Sent from the Certify Responsibility Assignments audit application.

Screen Image 4 - Example Responsibility Assignment removal email

Responsibility General Ledger Super User (MMAHON) must be Justified - skip.straus@gmail.com - Gmail - G... X

<https://mail.google.com/mail/ca/u/0/?ui=2&view=btop&ver=18zqbez0n5t35&cat=Absolute%2FAudit%20Support&search=cat%3A%20Audit%20Support>

**Responsibility General Ledger Super User  
(MMAHON) must be Justified**

skips41-krambis@yahoo.com P Create a document Print all

to skips41-mretsov, skips41-mosbor. dropdown

Jul 30 (3 days ago) star back down

Dear (MMAHON),

For my work on the 2012 2nd Half audit, I will need more information about your use of this Oracle EBS Responsibility.

Please provide adequate justification about why you need access to "General Ledger Super User" by end of day on 11-AUG-2012. If I do not hear back from you, I will remove your Responsibility access.

The reason is: User Name without Person

Notes: MMAHON - who are you?

Please reply or contact me by phone if you or your manager, () have any concerns or if you want to use this responsibility after the above date.

Sincerely,  
Kathy Rambis

Sent from the Certify Responsibility Assignments audit application.

Screen Image 5 - Example Responsibility Assignment justification request email

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#### Prerequisite 1 – Oracle APEX

Oracle Application Express (APEX) is a pre-requisite for CRA. Oracle charges no license fee for APEX, and offers it as a downloadable database component. Absolute uses APEX for some of our new products, and for extensions of existing Oracle Forms-based products. Installation calls for 2 - 4 hours of DBA time. After that, almost all work for developers, administrators, and end users is via commercial browsers.

Our observations from attending Collaborate 12, where Skip Straus, Vice President of Sales at Absolute Technologies, gave a presentation on Pro\*View, is that the EBS community of users and IT organizations are adopting APEX as a platform for EBS extensions where using Oracle Applications Framework (OAF) is not practical or expedient.

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#### Summary

**Certify Responsibility Assignments** is Absolute's latest addition to its family of GRC targeted solutions. It replaces a disjointed, time consuming and burdensome manual audit process with an integrated and automated software solution that delivers process efficiency, audit accuracy and continuous visibility. Liberate your valuable resources with Certify RA!



Absolute Technologies, Inc. helps companies leverage their Oracle Applications investment through its line of products and solutions. Absolute provides software, professional services and support to assist customers with critical business functionality in particular under-developed areas of the Oracle Applications domain.

Founded in 1997, Absolute's commitment to affordable and innovative solutions for Oracle Applications customers is one of the main reasons why our customer base continues to expand year after year. Absolute solutions accommodate virtually any size company utilizing Oracle Applications. Our customers represent businesses in Manufacturing, Financial, Distribution, High-Tech and Internet industries.

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