kinsey™

Segregation of Duties User Guide

Document contains instructions related to Segregation of Duties reporting

2023

0902A

Contents

Introduction

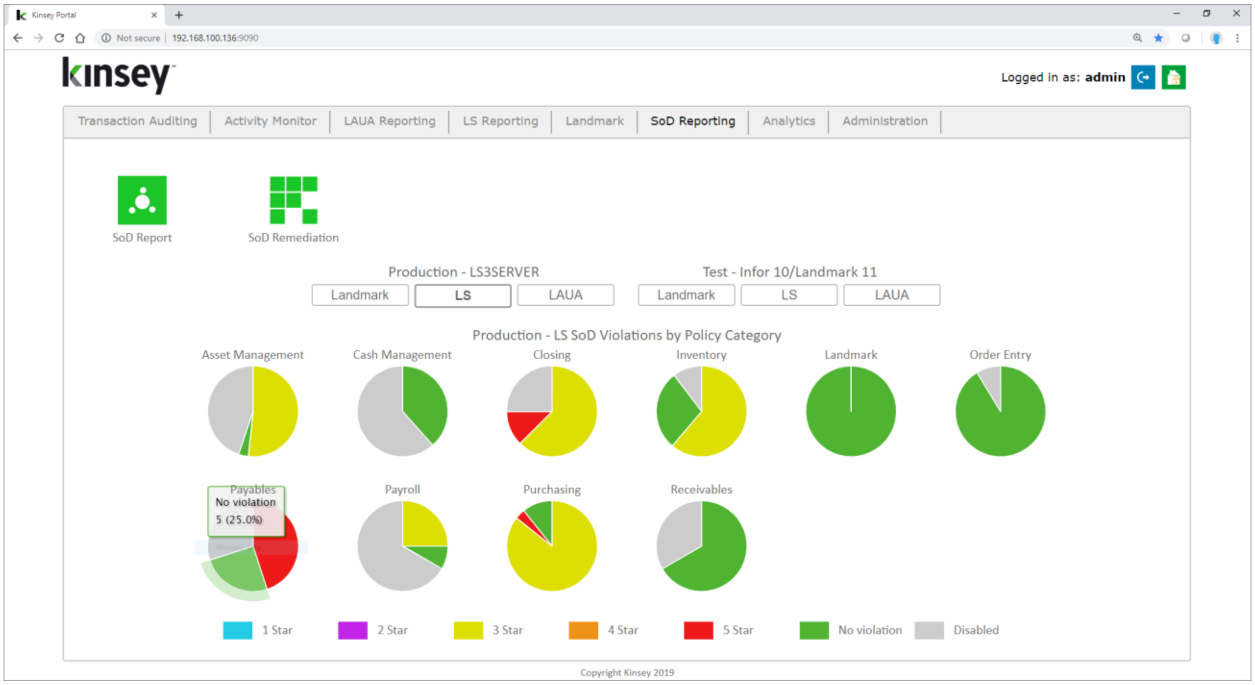
Kinsey's Segregation of Duties (SoD) Reporting is designed to examine Lawson S3 and Landmark Security to determine if the proper checks and balances are being following in the respective security models. The delivered policies cover applications included in the Lawson and Landmark product suites are for guideance only and may not be complete or suitable for all organizations. The policies delivered have been accumulated over a number of years based on research and customer recommendations and are provided on an as-is basis. The rules applied to these policies are Kinsey's best interpretation of the policy but should be verified by the customer during the implementation phase. In some cases the application may report "false positives" for a possible violation where conditional or LPLlogic may actually restrict a users access. An unlimited number of new policies can be added or existing policies can be modified to align with your organization. The SoD report can be generated at any time by an authorized user and will identify the policies that have been violated and the specific assignments that have caused the violation. The mitigation option allows you to flag any violated policy as allowable for a specific person and time period.

Features:

- Policies and rules are delivered for both Lawson S3 and CloudSuite (Landmark)
- Ability to add an unlimited number of policies and rules
- Ability to activate and rank policies individually
- Reports are available by User or by Policy
- Excel export options
- Differences Reporting
- Mitigation notes for policy violations

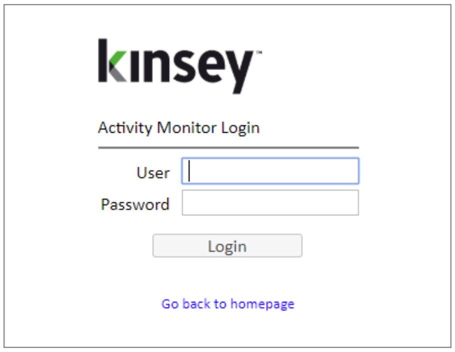
Getting Started

Your system administrator will provide the URL to access the Kinsey security dashboard. Select the SoD Reporting tab to access the application. The page displays the current number of policy violations based on the policy rating.

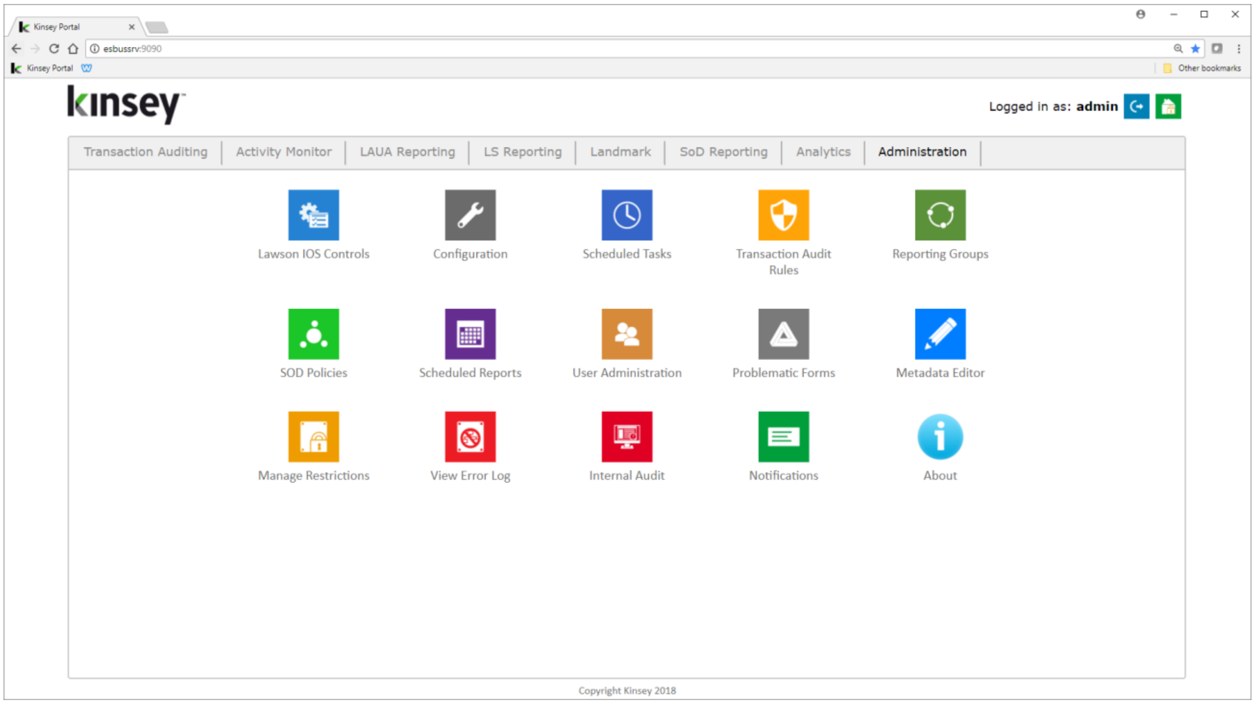


Logging in

If you have not previously logged into the application you will be required to enter your credentials. If you have not been provided login credential see your system administrator.



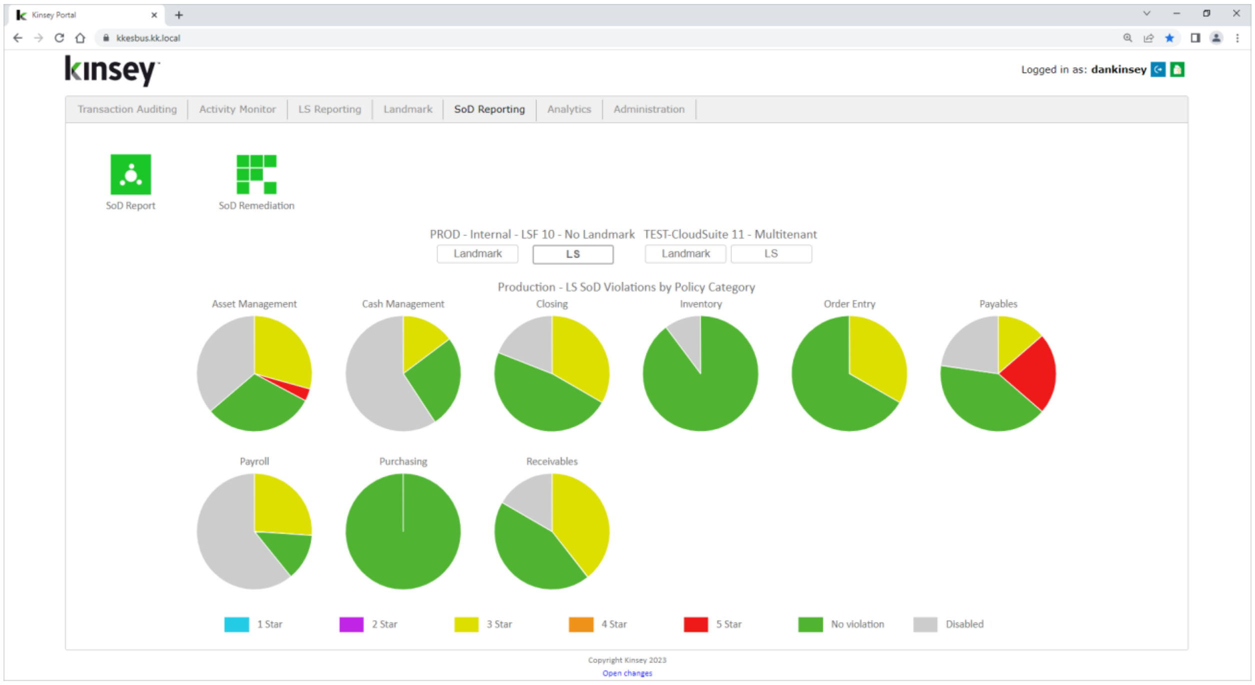
Administration



Policy Maintenance

Refer to the SoD policy Maintenance section of the Kinsey Administrator Guide for information on how to create and maintain SoD policies.

Reporting

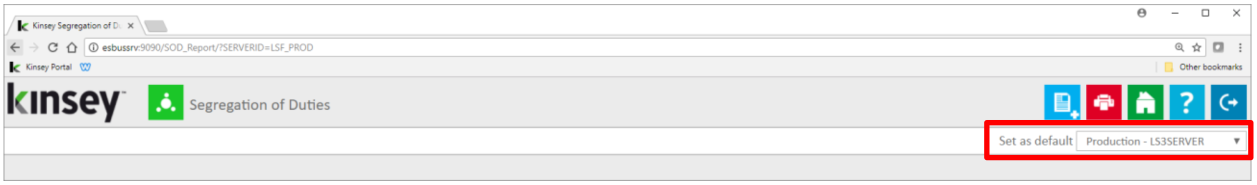


The dashboard will display pie charts for up to 12 policy categories. By default the application will display charts for the LS Production environment with additional options LS Test, Landmark Production and Landmark Test environments.

There are potentially 7 colors that could be displayed on each chart.

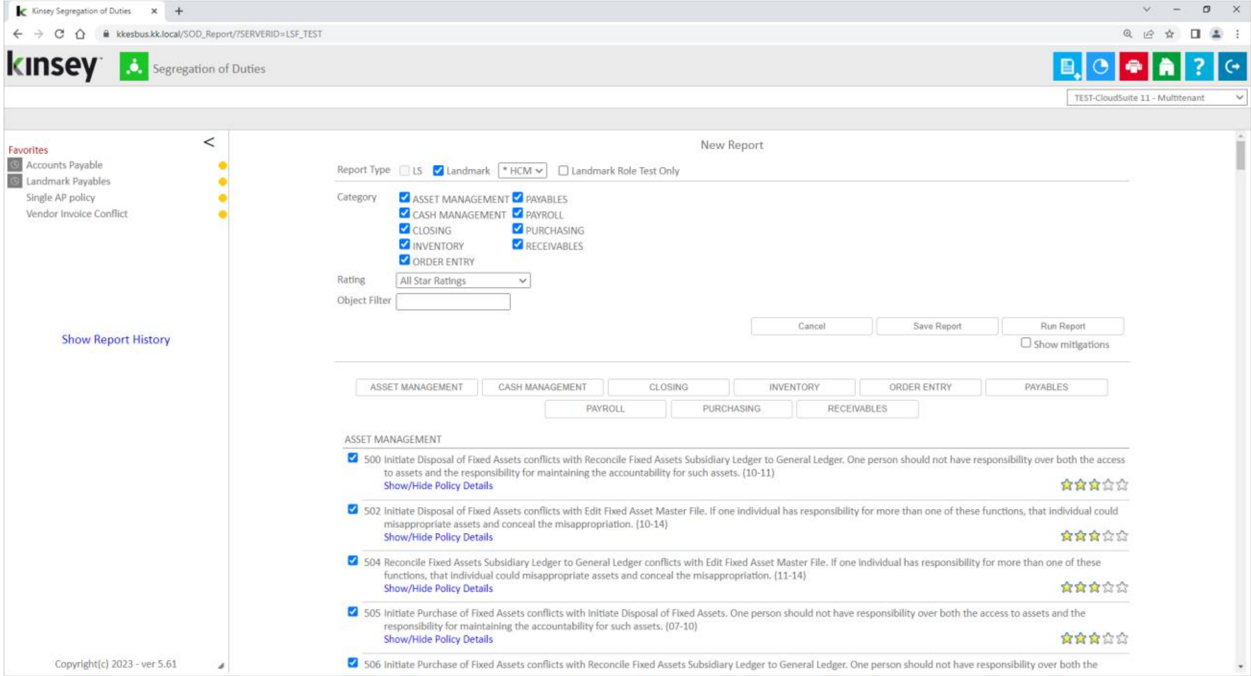
○ Green	No Violations
○ Grey	Disabled Policies
○ Red	5 Star policies in violation
○ Orange	4 Star policies in violation
○ Yellow	3 Star policies in violation
○ Purple	2 Star policies in violation
○ Navy Blue	1 Star policies in violation

When you first enter the SoD reporting page you will need to select the appropriate server that contains your Infor application. Use the drop down box to select the server.



Creating a New Report

To define a new report click on the Add Report icon on the title bar



Kinsey Segregation of Duties
kkesbus.kk.local/SOD_Report/?SERVERID=LSF_TEST
kinsey
Segregation of Duties
TEST-CloudSuite 11 - Multitenant
Favorites
Accounts Payable
Landmark Payables
Single AP policy
Vendor Invoice Conflict
Show Report History
Copyright(c) 2023 - ver 5.61

New Report

Report Type □ LS ☑ Landmark * HCM □ Landmark Role Test Only

Category ☑ ASSET MANAGEMENT ☑ PAYABLES ☑ CASH MANAGEMENT ☑ PAYROLL ☑ CLOSING ☑ PURCHASING ☑ INVENTORY ☑ RECEIVABLES ☑ ORDER ENTRY

Rating: All Star Ratings

Object Filter:

Cancel | Save Report | Run Report

□ Show mitigations

ASSET MANAGEMENT | CASH MANAGEMENT | CLOSING | INVENTORY | ORDER ENTRY | PAYABLES | PAYROLL | PURCHASING | RECEIVABLES

ASSET MANAGEMENT

☑ 500 Initiate Disposal of Fixed Assets conflicts with Reconcile Fixed Assets Subsidiary Ledger to General Ledger. One person should not have responsibility over both the access to assets and the responsibility for maintaining the accountability for such assets. (10-11)
Show/Hide Policy Details ★★★☆☆

☑ 502 Initiate Disposal of Fixed Assets conflicts with Edit Fixed Asset Master File. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (10-14)
Show/Hide Policy Details ★★★☆☆

☑ 504 Reconcile Fixed Assets Subsidiary Ledger to General Ledger conflicts with Edit Fixed Asset Master File. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (11-14)
Show/Hide Policy Details ★★★☆☆

☑ 505 Initiate Purchase of Fixed Assets conflicts with Initiate Disposal of Fixed Assets. One person should not have responsibility over both the access to assets and the responsibility for maintaining the accountability for such assets. (07-10)
Show/Hide Policy Details ★★★☆☆

☑ 506 Initiate Purchase of Fixed Assets conflicts with Reconcile Fixed Assets Subsidiary Ledger to General Ledger. One person should not have responsibility over both the

The page will display a list of options you can use to filter the policies you want included on your report. Begin by selecting the LS or Landmark check box for the security model you would like to validate.

There are two types of reports you can define when creating a new report.

- User Violation Report – this report will show all violations for each LS User, each Landmark User or for each LAUA Security Class depending on the security model selected.
- Role Test Report – this report will report on violations for any Role or Role combinations in LS or Landmark security. This is not an option for LAUA security.

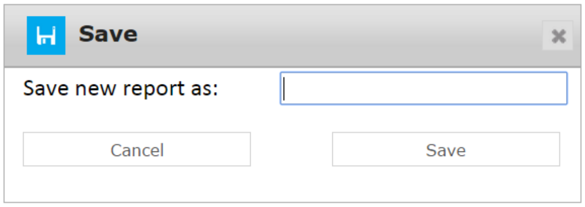
To create a new SoD violation report use the Category, Level of Importance (star rating) and Object filters to make your selections.

Category: By default all categories are selected when you define a new report. Simply uncheck a category to omit those policies from the report.

Rating: The policy list can be restricted based with the star rating assigned to each policy. See “Rating a Policy’s Level of Importance” in the Kinsey Administration Guide for more information.

Object Filter: The object filter will display all policies that include the object as part of the SoD rule definition entered. For example, if you want all policies that pertain to vendor maintenance enter AP10.1 in the Obect Filter field. However, if you want all forms that include AP tokens just enter AP into the field. The system uses the entry as a 'contains in' filter.

Once you have made your selection you can either run the report or save report for future use. To run the report simply select the Run Report button on the screen. To save the report select Save Report and enter a report name.

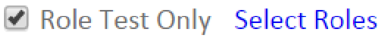


Note: the system does not store the Form filter or the Level of Importance with the report parameters, rather it stores the actual policies selected. If you edit an existing report you can revise your policy list by using the check box next to the policy number. See Editing a Report for more information

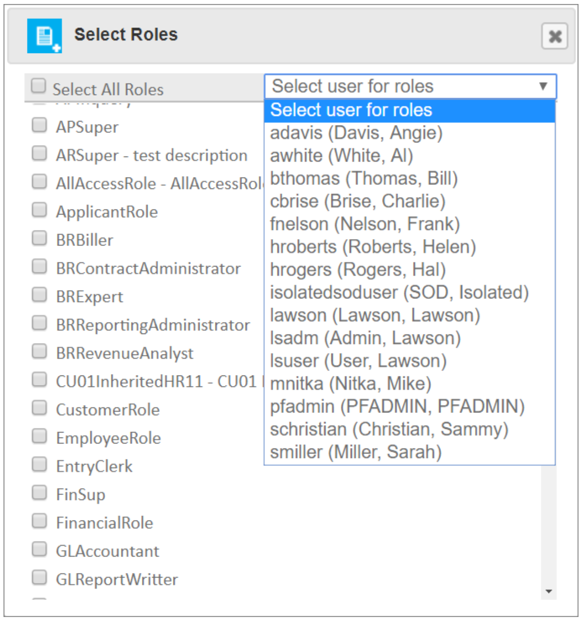
Creating a Role Test Report

The Role Test report incorporates a "Role selection" filter to the filter parameters described in the New Report section of this manual. The Role filter allows you to test a list of policies against a specific role or combination of roles.

Start by making the same selections you would for a User violation report then check the *Role Test Only* check box and select the roles link to view a list of the roles you have defined.


☑ Role Test Only Select Roles

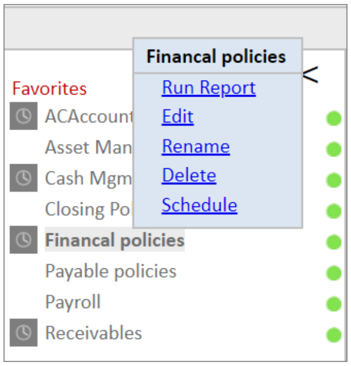
When the list of roles is displayed you can choose any combination of roles or select an existing user from the dropdown window. When you select a user the roles assigned to them will automatically be checked. You can then check any other role you might want to add to this user. When you are finished making your selection close the window to continue.



You can now either run the report or save report for future use. To run the report simply select the Run Report button on the screen. To save the report select Save Report, enter a report name and Save.

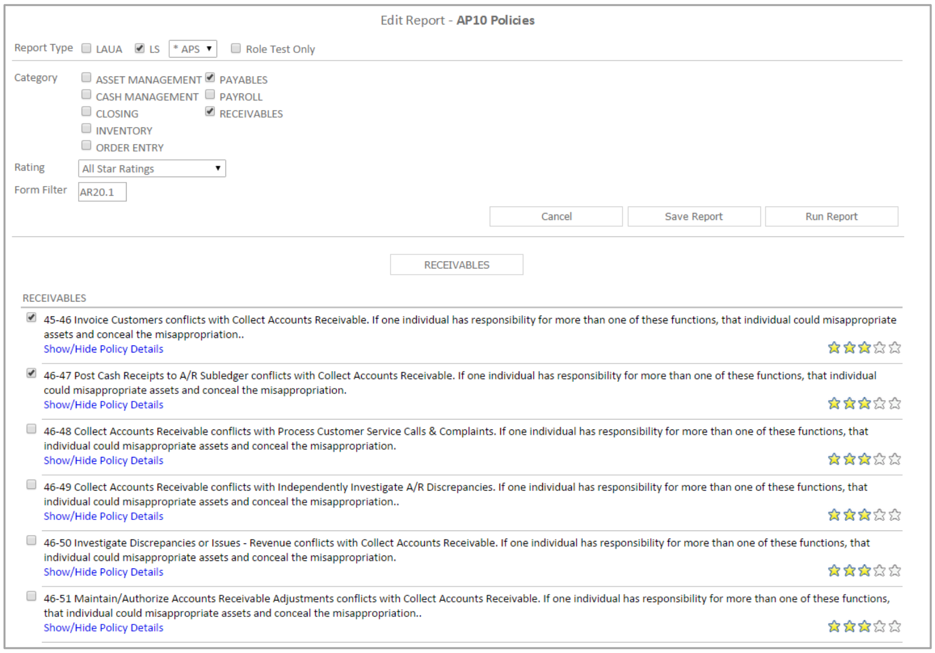
Editing an Existing Report

To edit an existing report click on the report name under Favorites and select Edit.



The edit option will display the same set of parameters as found when creating a new report. When a new report is saved the categories selected and the list of policies are saved based on the filter criteria. The original level of importance (star rating) and the form filter selections do not need to be saved because the actual policies are instead.

You can remove policies from the report by using the check box next to the policy. To add policies not displayed on the screen select another set of filter criteria.



Edit Report - **AP10 Policies**

Report Type □ LAUA ☑ LS * APS ▾ □ Role Test Only

Category □ ASSET MANAGEMENT ☑ PAYABLES
□ CASH MANAGEMENT □ PAYROLL
□ CLOSING ☑ RECEIVABLES
□ INVENTORY
□ ORDER ENTRY

Rating All Star Ratings ▾

Form Filter AR20.1

Cancel | Save Report | Run Report

RECEIVABLES

RECEIVABLES

☑ 45-46 Invoice Customers conflicts with Collect Accounts Receivable. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation..
Show/Hide Policy Details ★★★☆☆

☑ 46-47 Post Cash Receipts to A/R Subledger conflicts with Collect Accounts Receivable. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation.
Show/Hide Policy Details ★★★☆☆

□ 46-48 Collect Accounts Receivable conflicts with Process Customer Service Calls & Complaints. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation.
Show/Hide Policy Details ★★★☆☆

□ 46-49 Collect Accounts Receivable conflicts with Independently Investigate A/R Discrepancies. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation..
Show/Hide Policy Details ★★★☆☆

□ 46-50 Investigate Discrepancies or Issues - Revenue conflicts with Collect Accounts Receivable. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation.
Show/Hide Policy Details ★★★☆☆

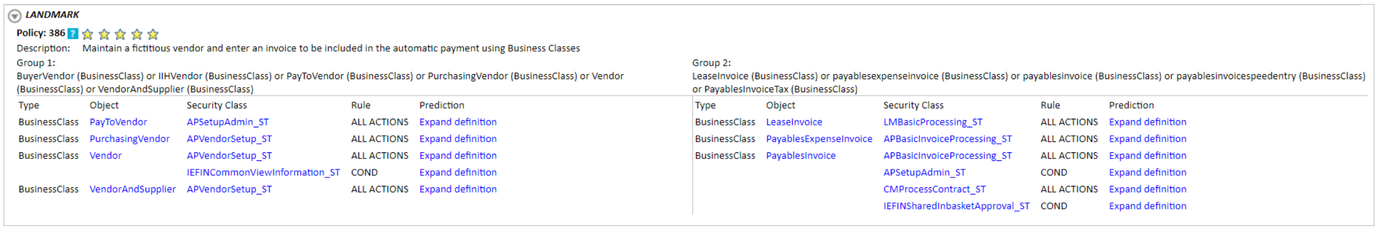
□ 46-51 Maintain/Authorize Accounts Receivable Adjustments conflicts with Collect Accounts Receivable. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation..
Show/Hide Policy Details ★★★☆☆

Note: The key to editing a report is to ensure that the policies you want included on the report are displayed on the screen before you save the report.

Mitigating a policy.

The mitigation option allows you to flag a policy as allowable for a specific user for a designated period of time.

When the results are displayed for a user you can add a mitigation by clicking on the blue question mark icon next to the users name. Mitigation Reason Codes can be defined under the SOD Mitigation option on the Adminstration page. The description and expiration date are optional.



LANDMARK

Policy: 386 ? ☆ ☆ ☆ ☆ ☆

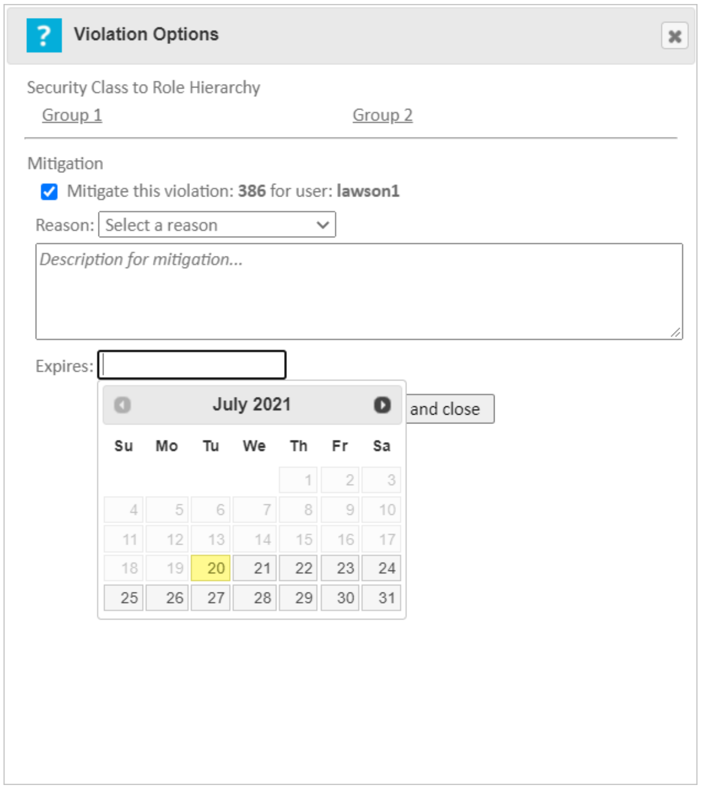
Description: Maintain a fictitious vendor and enter an invoice to be included in the automatic payment using Business Classes

Group 1:
BuyerVendor (BusinessClass) or IIHVendor (BusinessClass) or PayToVendor (BusinessClass) or PurchasingVendor (BusinessClass) or Vendor (BusinessClass) or VendorAndSupplier (BusinessClass)

Type	Object	Security Class	Rule	Prediction
BusinessClass	PayToVendor	APSetupAdmin_ST	ALL ACTIONS	Expand definition
BusinessClass	PurchasingVendor	APVendorSetup_ST	ALL ACTIONS	Expand definition
BusinessClass	Vendor	APVendorSetup_ST	ALL ACTIONS	Expand definition
		IEFINCommonViewInformation_ST	COND	Expand definition
BusinessClass	VendorAndSupplier	APVendorSetup_ST	ALL ACTIONS	Expand definition

Group 2:
LeaseInvoice (BusinessClass) or payablesexpenseinvoice (BusinessClass) or payablesinvoice (BusinessClass) or payablesinvoicespeedentry (BusinessClass) or PayablesInvoiceTax (BusinessClass)

Type	Object	Security Class	Rule	Prediction
BusinessClass	LeaseInvoice	LMBasicProcessing_ST	ALL ACTIONS	Expand definition
BusinessClass	PayablesExpenseInvoice	APBasicInvoiceProcessing_ST	ALL ACTIONS	Expand definition
BusinessClass	PayablesInvoice	APBasicInvoiceProcessing_ST	ALL ACTIONS	Expand definition
		APSetupAdmin_ST	COND	Expand definition
		CMProcessContract_ST	ALL ACTIONS	Expand definition
		IEFINSharedInbasketApproval_ST	COND	Expand definition



? Violation Options

Security Class to Role Hierarchy

Mitigation

☑ Mitigate this violation: **386** for user: **lawson1**

Reason: Select a reason

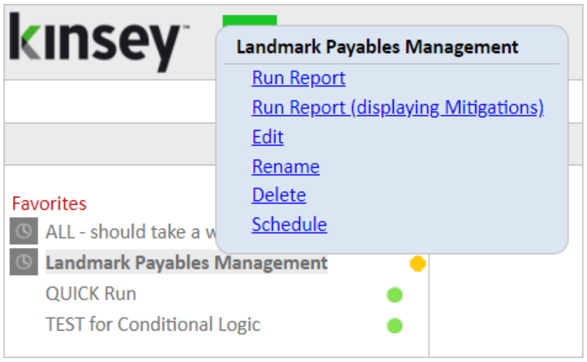
Description for mitigation...

Expires:

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

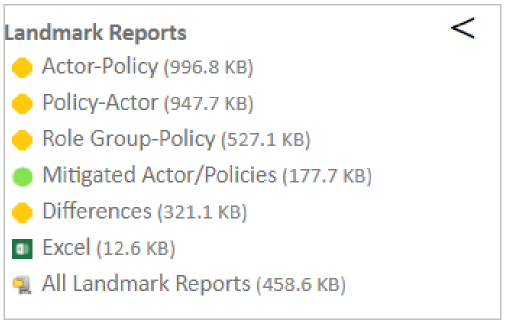
Running a Saved Report

To run a saved report simply click on the report name and select Run Report. You can immediately view the report in your browser or save the file to be viewed at a later time. You can run the report with or without existing mitigations. Reports that include mitigated policies will display with a watermark over the mitigated policy. If you run the report without mitigations you will have the option to display all mitigated policies on a separate report.


kinsey
Landmark Payables Management
Run Report
Run Report (displaying Mitigations)
Edit
Rename
Delete
Schedule
Favorites
ALL - should take a w
Landmark Payables Management ●
QUICK Run ●
TEST for Conditional Logic ●

The color of the dot next to the report indicates the security model being checked. A green dot indicates the report is checking LS security and orange is used for Landmark.

When the report is finished the report options will be displayed in the top left corner of the navigation pane.


Landmark Reports
<
● Actor-Policy (996.8 KB)
● Policy-Actor (947.7 KB)
● Role Group-Policy (527.1 KB)
● Mitigated Actor/Policies (177.7 KB)
● Differences (321.1 KB)
Excel (12.6 KB)
All Landmark Reports (458.6 KB)

The zipped report contains the HTML reports and the MS Excel document. This file can be distributed to anyone unable to run reports that may need to analyze the results.

Actor (User) -Policy

This report provides a list of User’s and the policies they are currently violating. (See page 16)

Policy – Actor (User)

This report provides a list of Policies and the User's in violation. Policy are grouped by SoD Category. (See page 17)

Role Group-Policy

This report dynamically groups all users together based on their assigned security roles. Users with the exact same Role assignment are put together in a group for this report. By doing this you can evaluate a group of users sharing the same Role assigment that are violating any particular policy. (See page 17)

Differences Report

The differences report will show you any report changes since the last time the report was run. The report is sorted by User the Policy.

Renaming a Report

To rename an existing report click on the report name and select Rename.

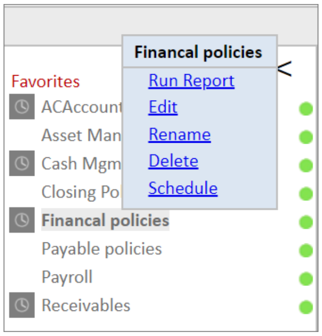
Deleting a Report

To rename an existing report click on the report name and select *Delete*.

Scheduling a Report

Scheduling a report will allow you to create and email any report you would like to receive automatically.

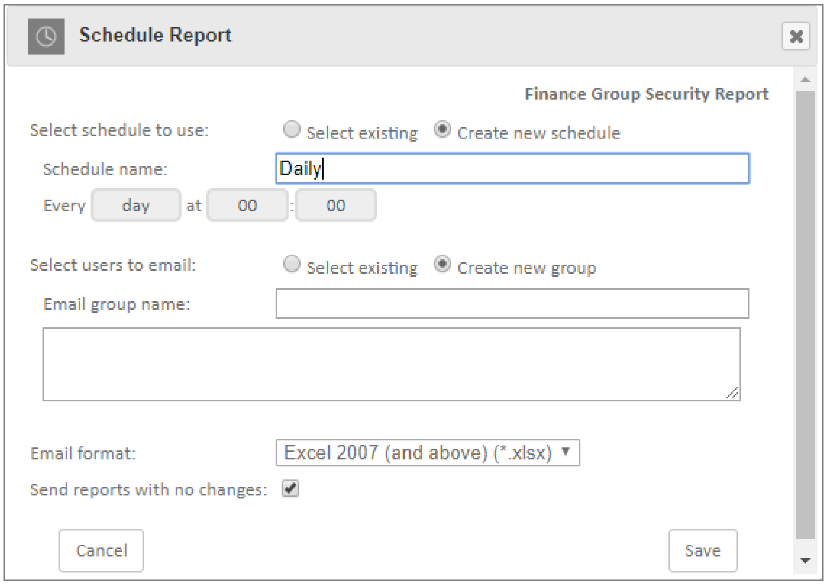
To schedule a report you must first create and save your report. Once the report displays under saved reports in the left navigation pane, click on the report name and select Schedule.



A grey clock icon is displayed next to the report name if a schedule already exist for a report but has not been enabled. A blue clock icon indicates the the schedule is currently active (enabled).

NOTE: The schedule must be enabled for the schedule to run. To enable a scheduled report refer to the Schedule Reports section of the Administrators Guide.

The scheduling screen allows you to setup new schedules or use existing schedules. Schedules can be set to run each minute, hour, day, week, month or year. For a new schedule enter a schedule name, frequency and run time.



Finance Group Security Report

Select schedule to use: ○ Select existing ● Create new schedule

Schedule name: Daily

Every day at 00 : 00

Select users to email: ○ Select existing ● Create new group

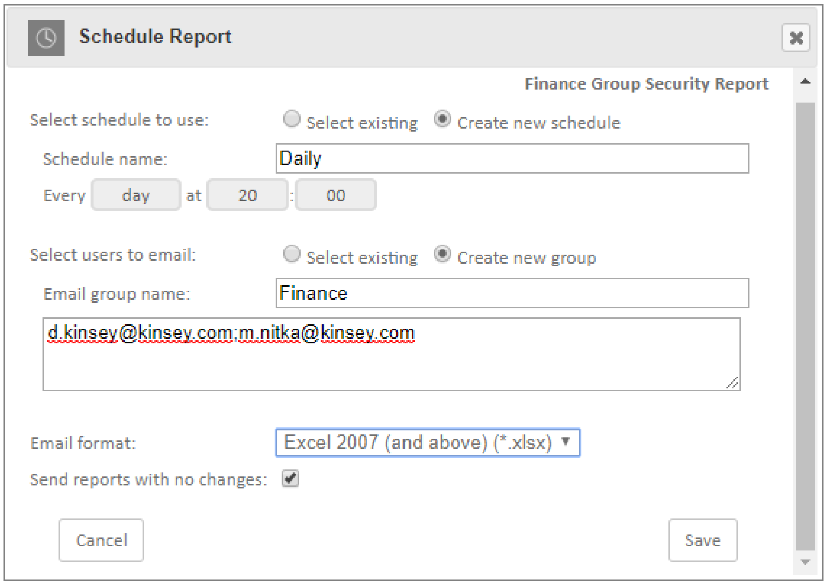
Email group name:

Email format: Excel 2007 (and above) (*.xlsx)

Send reports with no changes: ☑

You can also create or use existing report groups. A report group contains a list of users you want to receive the report. Each user address should be separated by either a comma or a semicolon.

Note: do not insert a return between names in the list.



Finance Group Security Report

Select schedule to use: ○ Select existing ● Create new schedule

Schedule name: Daily

Every day at 20 : 00

Select users to email: ○ Select existing ● Create new group

Email group name: Finance

d.kinsey@kinsey.com;m.nitka@kinsey.com

Email format: Excel 2007 (and above) (*.xlsx)

Send reports with no changes: ☑

Email format:

The export options are Excel or Adobe PDF

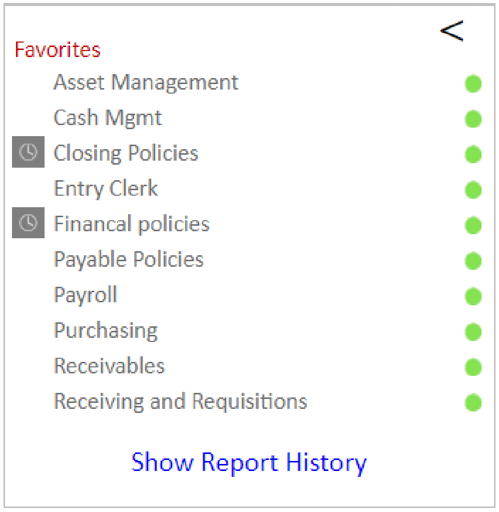
Send blank reports:

If you want the system to generate and send a report even if there is nothing to report select this option. This will inform the receipient that the report was run.

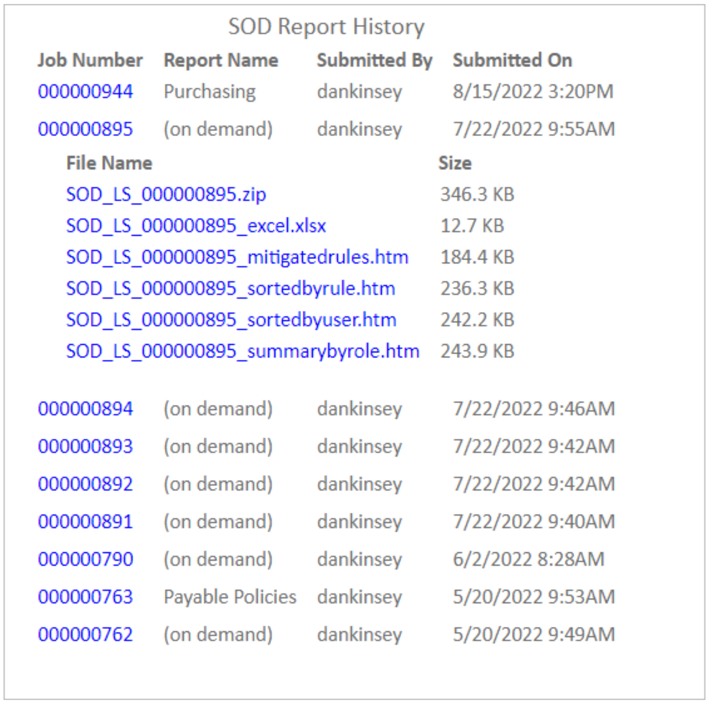
Note: any Schedule or Email Group created at this time can also be used with other Kinsey applications.

Historical Reports

The application will retain a history of reports by date and time. To acess Historical Reports click on the Show Report History link in the left navigation pane under the saved reports.



A list of reports will be displayed in the center pane. Select a Job Number to view a list of reports and click on the version of the report you would like to view.



SOD Report History

Job Number	Report Name	Submitted By	Submitted On
000000944	Purchasing	dankinsey	8/15/2022 3:20PM
000000895	(on demand)	dankinsey	7/22/2022 9:55AM

File Name	Size
SOD_LS_000000895.zip	346.3 KB
SOD_LS_000000895_excel.xlsx	12.7 KB
SOD_LS_000000895_mitigatedrules.htm	184.4 KB
SOD_LS_000000895_sortedbyrule.htm	236.3 KB
SOD_LS_000000895_sortedbyuser.htm	242.2 KB
SOD_LS_000000895_summarybyrole.htm	243.9 KB

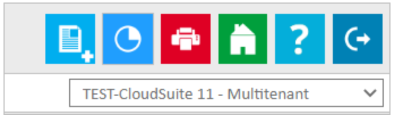
Job Number	Report Name	Submitted By	Submitted On
000000894	(on demand)	dankinsey	7/22/2022 9:46AM
000000893	(on demand)	dankinsey	7/22/2022 9:42AM
000000892	(on demand)	dankinsey	7/22/2022 9:42AM
000000891	(on demand)	dankinsey	7/22/2022 9:40AM
000000790	(on demand)	dankinsey	6/2/2022 8:28AM
000000763	Payable Policies	dankinsey	5/20/2022 9:53AM
000000762	(on demand)	dankinsey	5/20/2022 9:49AM

Activating or Deactivating a Scheduled Report

To change the activation status of a schedule you need to access the Schedule Reports option on the Administration tab. Refer to Scheduled Reports in the Kinsey Admin Guide for details on how to manage scheduled reports.

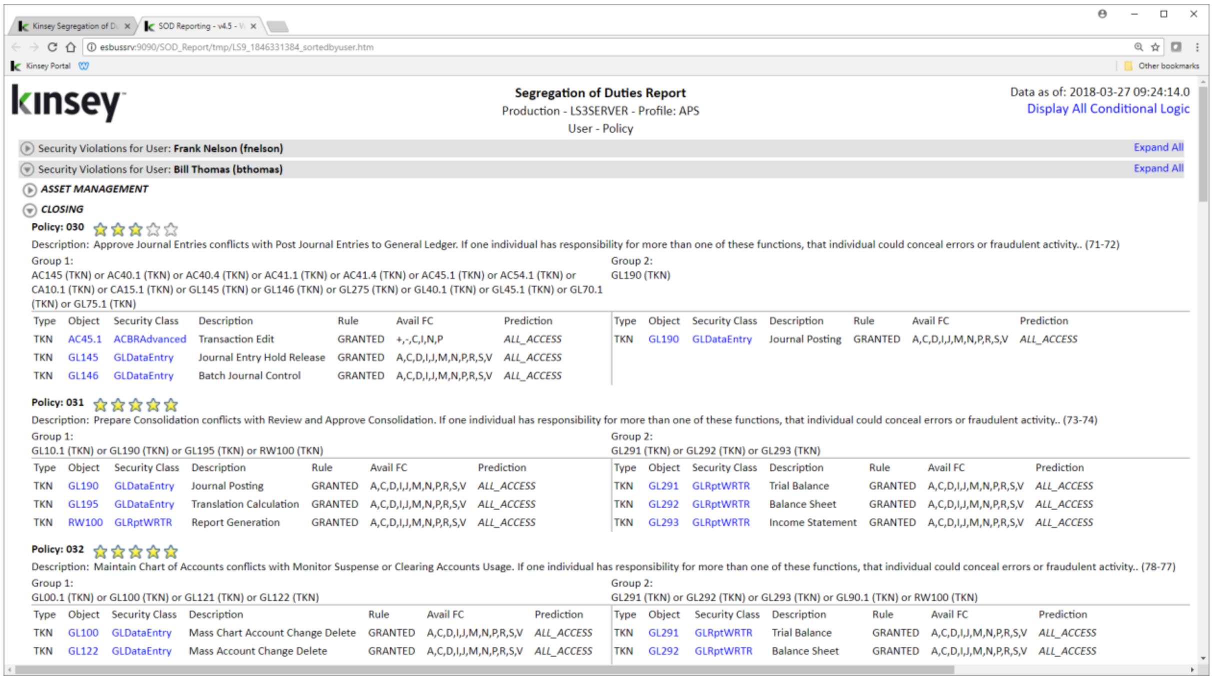
Report Formats

To print any of the selected reports select the red printer icon on the title bar.



TEST-CloudSuite 11 - Multitenant

User- Policy Violation Report



Kinsey Segregation of D...
SOD Reporting - v4.5 - V...
esbussrv:9090/SOD_Report/tmp/LS9_1846331384_sortedbyuser.htm
Kinsey Portal
Other bookmarks
kinsey

Segregation of Duties Report
Production - LS3SERVER - Profile: APS
User - Policy

Data as of: 2018-03-27 09:24:14.0
Display All Conditional Logic

Security Violations for User: **Frank Nelson (fnelson)** Expand All

Security Violations for User: **Bill Thomas (bthomas)** Expand All

ASSET MANAGEMENT

CLOSING

Policy: 030 ★★★☆☆

Description: Approve Journal Entries conflicts with Post Journal Entries to General Ledger. If one individual has responsibility for more than one of these functions, that individual could conceal errors or fraudulent activity.. (71-72)

Group 1:
AC145 (TKN) or AC40.1 (TKN) or AC40.4 (TKN) or AC41.1 (TKN) or AC41.4 (TKN) or AC45.1 (TKN) or AC54.1 (TKN) or CA10.1 (TKN) or CA15.1 (TKN) or GL145 (TKN) or GL146 (TKN) or GL275 (TKN) or GL40.1 (TKN) or GL45.1 (TKN) or GL70.1 (TKN) or GL75.1 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AC45.1	ACBRAdvanced	Transaction Edit	GRANTED	+,-,C,I,N,P	*ALL_ACCESS*
TKN	GL145	GLDataEntry	Journal Entry Hold Release	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL146	GLDataEntry	Batch Journal Control	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Group 2:
GL190 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	GL190	GLDataEntry	Journal Posting	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Policy: 031 ★★★★★

Description: Prepare Consolidation conflicts with Review and Approve Consolidation. If one individual has responsibility for more than one of these functions, that individual could conceal errors or fraudulent activity.. (73-74)

Group 1:
GL10.1 (TKN) or GL190 (TKN) or GL195 (TKN) or RW100 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	GL190	GLDataEntry	Journal Posting	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL195	GLDataEntry	Translation Calculation	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	RW100	GLRptWRTR	Report Generation	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Group 2:
GL291 (TKN) or GL292 (TKN) or GL293 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	GL291	GLRptWRTR	Trial Balance	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL292	GLRptWRTR	Balance Sheet	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL293	GLRptWRTR	Income Statement	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Policy: 032 ★★★★★

Description: Maintain Chart of Accounts conflicts with Monitor Suspense or Clearing Accounts Usage. If one individual has responsibility for more than one of these functions, that individual could conceal errors or fraudulent activity.. (78-77)

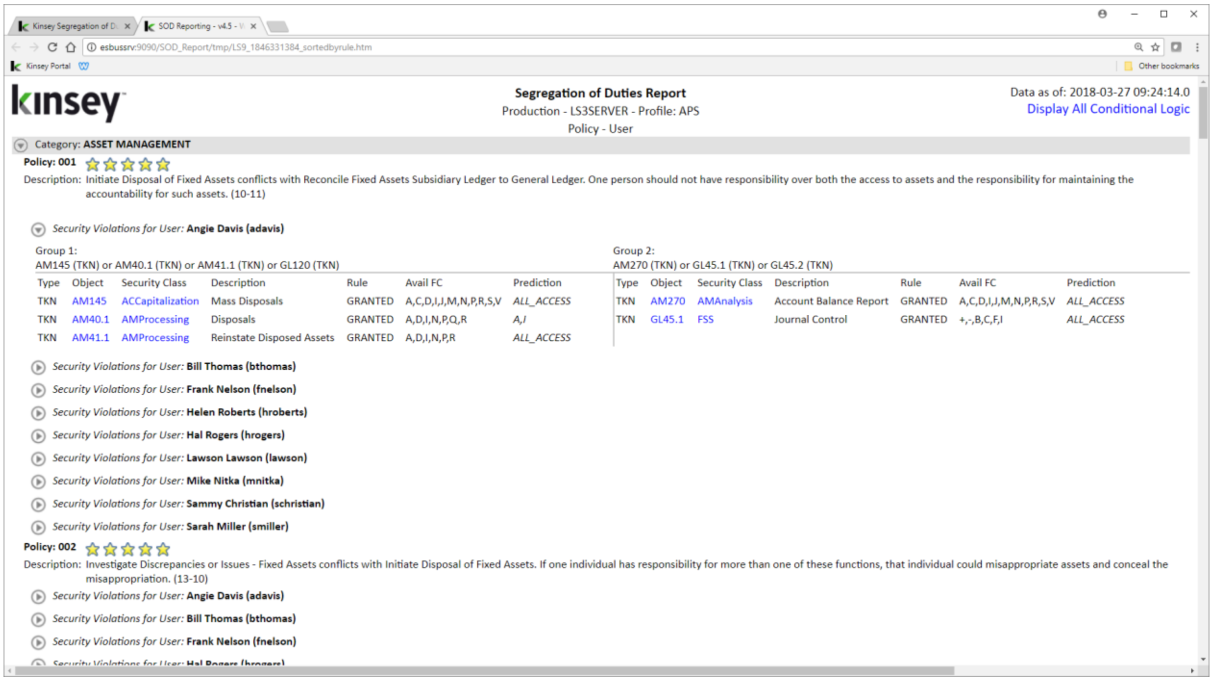
Group 1:
GL00.1 (TKN) or GL100 (TKN) or GL121 (TKN) or GL122 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	GL100	GLDataEntry	Mass Chart Account Change Delete	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL122	GLDataEntry	Mass Account Change Delete	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Group 2:
GL291 (TKN) or GL292 (TKN) or GL293 (TKN) or GL90.1 (TKN) or RW100 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	GL291	GLRptWRTR	Trial Balance	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL292	GLRptWRTR	Balance Sheet	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Policy - User Violation Report



Segregation of Duties Report
Production - LS3SERVER - Profile: APS
Policy - User

Data as of: 2018-03-27 09:24:14.0
Display All Conditional Logic

Category: **ASSET MANAGEMENT**

Policy: 001 ★★★★★

Description: Initiate Disposal of Fixed Assets conflicts with Reconcile Fixed Assets Subsidiary Ledger to General Ledger. One person should not have responsibility over both the access to assets and the responsibility for maintaining the accountability for such assets. (10-11)

Security Violations for User: **Angie Davis (adavis)**

Group 1:
AM145 (TKN) or AM40.1 (TKN) or AM41.1 (TKN) or GL120 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AM145	ACCapitalization	Mass Disposals	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	AM40.1	AMProcessing	Disposals	GRANTED	A,D,I,N,P,Q,R	*A,I*
TKN	AM41.1	AMProcessing	Reinstate Disposed Assets	GRANTED	A,D,I,N,P,R	*ALL_ACCESS*

Group 2:
AM270 (TKN) or GL45.1 (TKN) or GL45.2 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AM270	AMAnalysis	Account Balance Report	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*
TKN	GL45.1	FSS	Journal Control	GRANTED	+,-,B,C,F,I	*ALL_ACCESS*

Security Violations for User: **Bill Thomas (bthomas)**

Security Violations for User: **Frank Nelson (fnelson)**

Security Violations for User: **Helen Roberts (hroberts)**

Security Violations for User: **Hal Rogers (hrogers)**

Security Violations for User: **Lawson Lawson (lawson)**

Security Violations for User: **Mike Nitka (mnitka)**

Security Violations for User: **Sammy Christian (schristian)**

Security Violations for User: **Sarah Miller (smiller)**

Policy: 002 ★★★★★

Description: Investigate Discrepancies or Issues - Fixed Assets conflicts with Initiate Disposal of Fixed Assets. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (13-10)

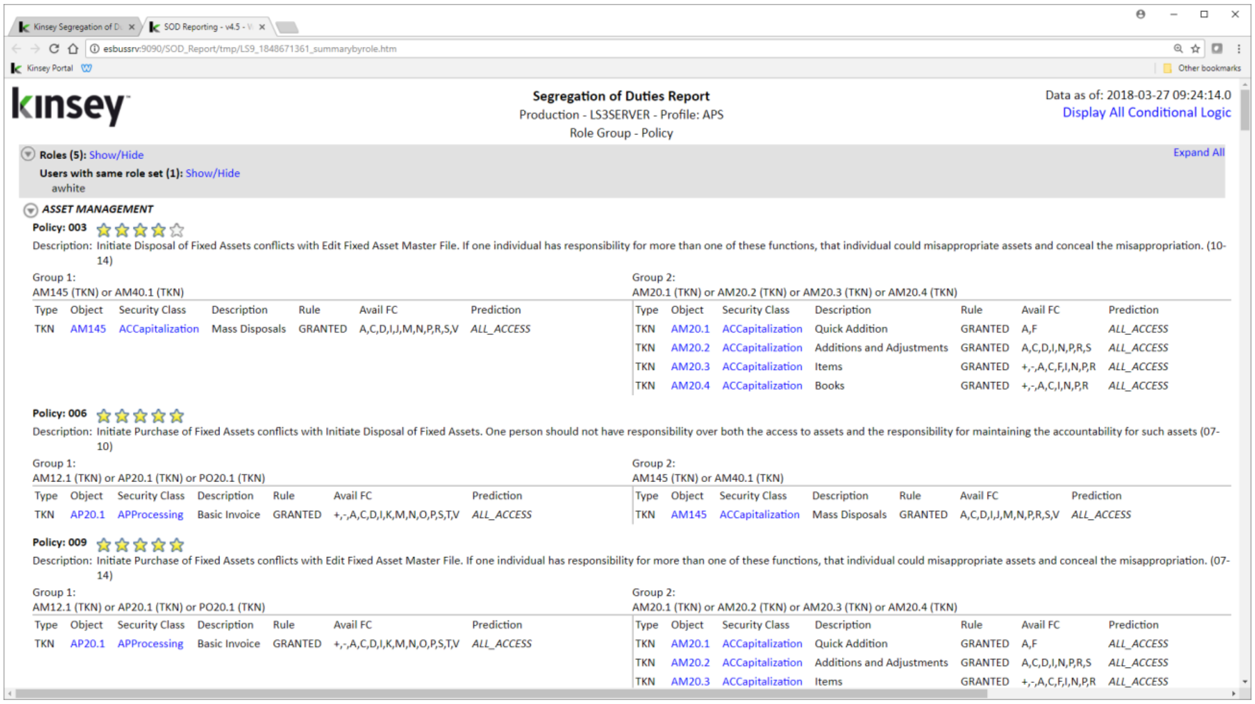
Security Violations for User: **Angie Davis (adavis)**

Security Violations for User: **Bill Thomas (bthomas)**

Security Violations for User: **Frank Nelson (fnelson)**

Security Violations for User: **Hal Rogers (hrogers)**

Role Group-Policy Violation Report



Segregation of Duties Report
Production - LS3SERVER - Profile: APS
Role Group - Policy

Data as of: 2018-03-27 09:24:14.0
Display All Conditional Logic

Roles (5): Show/Hide

Expand All

Users with same role set (1): Show/Hide
awhite

ASSET MANAGEMENT

Policy: 003 ★★★★☆

Description: Initiate Disposal of Fixed Assets conflicts with Edit Fixed Asset Master File. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (10-14)

Group 1:
AM145 (TKN) or AM40.1 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AM145	ACCapitalization	Mass Disposals	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Group 2:
AM20.1 (TKN) or AM20.2 (TKN) or AM20.3 (TKN) or AM20.4 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AM20.1	ACCapitalization	Quick Addition	GRANTED	A,F	*ALL_ACCESS*
TKN	AM20.2	ACCapitalization	Additions and Adjustments	GRANTED	A,C,D,I,N,P,R,S	*ALL_ACCESS*
TKN	AM20.3	ACCapitalization	Items	GRANTED	+,-,A,C,F,I,N,P,R	*ALL_ACCESS*
TKN	AM20.4	ACCapitalization	Books	GRANTED	+,-,A,C,I,N,P,R	*ALL_ACCESS*

Policy: 006 ★★★★★

Description: Initiate Purchase of Fixed Assets conflicts with Initiate Disposal of Fixed Assets. One person should not have responsibility over both the access to assets and the responsibility for maintaining the accountability for such assets (07-10)

Group 1:
AM12.1 (TKN) or AP20.1 (TKN) or PO20.1 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AP20.1	APProcessing	Basic Invoice	GRANTED	+,-,A,C,D,I,K,M,N,O,P,S,T,V	*ALL_ACCESS*

Group 2:
AM145 (TKN) or AM40.1 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AM145	ACCapitalization	Mass Disposals	GRANTED	A,C,D,I,J,M,N,P,R,S,V	*ALL_ACCESS*

Policy: 009 ★★★★★

Description: Initiate Purchase of Fixed Assets conflicts with Edit Fixed Asset Master File. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (07-14)

Group 1:
AM12.1 (TKN) or AP20.1 (TKN) or PO20.1 (TKN)

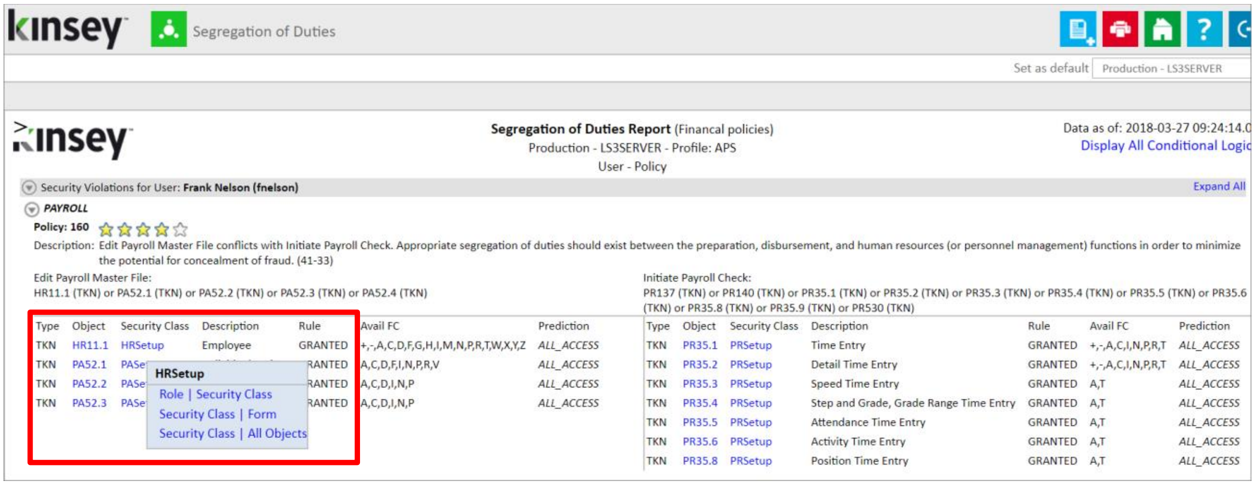
Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AP20.1	APProcessing	Basic Invoice	GRANTED	+,-,A,C,D,I,K,M,N,O,P,S,T,V	*ALL_ACCESS*

Group 2:
AM20.1 (TKN) or AM20.2 (TKN) or AM20.3 (TKN) or AM20.4 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	AM20.1	ACCapitalization	Quick Addition	GRANTED	A,F	*ALL_ACCESS*
TKN	AM20.2	ACCapitalization	Additions and Adjustments	GRANTED	A,C,D,I,N,P,R,S	*ALL_ACCESS*
TKN	AM20.3	ACCapitalization	Items	GRANTED	+,-,A,C,F,I,N,P,R	*ALL_ACCESS*

Drilling to Security Reports

If you are licensed for Kinsey's Lawson or Landmark Security reports the SoD reports provide the ability to drill into Security Class or Object details. Clicking on the hyperlinked objects will provide various report options.



Segregation of Duties Report (Financal policies)
Production - LS3SERVER - Profile: APS
User - Policy

Data as of: 2018-03-27 09:24:14.0
Display All Conditional Logic

Security Violations for User: **Frank Nelson (fnelson)**

PAYROLL

Policy: 160 ★★★★☆

Description: Edit Payroll Master File conflicts with Initiate Payroll Check. Appropriate segregation of duties should exist between the preparation, disbursement, and human resources (or personnel management) functions in order to minimize the potential for concealment of fraud. (41-33)

Edit Payroll Master File:
HR11.1 (TKN) or PA52.1 (TKN) or PA52.2 (TKN) or PA52.3 (TKN) or PA52.4 (TKN)

Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	HR11.1	HRSetup	Employee	GRANTED	+,-,A,C,D,F,G,H,I,M,N,P,R,T,W,X,Y,Z	*ALL_ACCESS*
TKN	PA52.1	PASe		RANTED	A,C,D,F,I,N,P,R,V	*ALL_ACCESS*
TKN	PA52.2	PASe		RANTED	A,C,D,I,N,P	*ALL_ACCESS*
TKN	PA52.3	PASe		RANTED	A,C,D,I,N,P	*ALL_ACCESS*

Initiate Payroll Check:
PR137 (TKN) or PR140 (TKN) or PR35.1 (TKN) or PR35.2 (TKN) or PR35.3 (TKN) or PR35.4 (TKN) or PR35.5 (TKN) or PR35.6 (TKN) or PR35.8 (TKN) or PR35.9 (TKN) or PR530 (TKN)

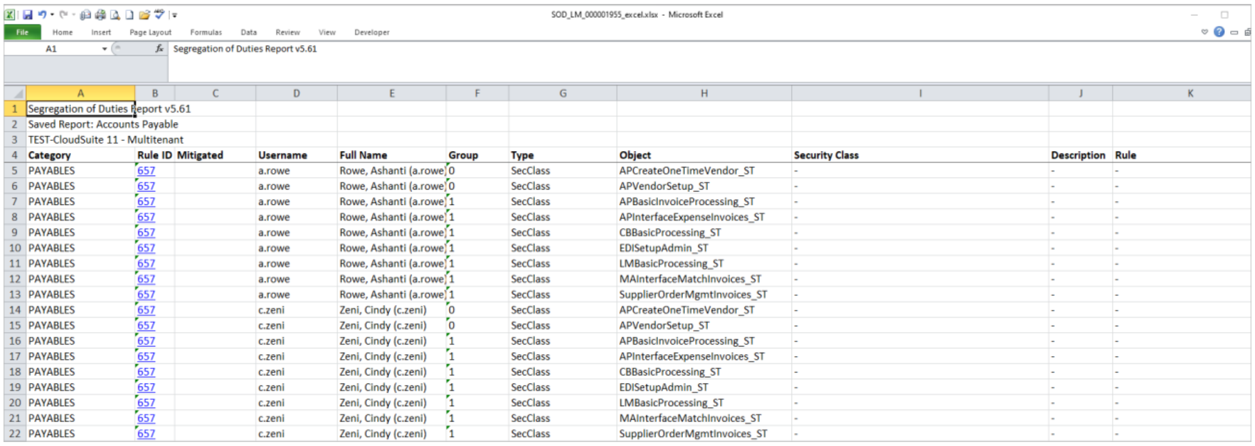
Type	Object	Security Class	Description	Rule	Avail FC	Prediction
TKN	PR35.1	PRSetup	Time Entry	GRANTED	+,-,A,C,I,N,P,R,T	*ALL_ACCESS*
TKN	PR35.2	PRSetup	Detail Time Entry	GRANTED	+,-,A,C,I,N,P,R,T	*ALL_ACCESS*
TKN	PR35.3	PRSetup	Speed Time Entry	GRANTED	A,T	*ALL_ACCESS*
TKN	PR35.4	PRSetup	Step and Grade, Grade Range Time Entry	GRANTED	A,T	*ALL_ACCESS*
TKN	PR35.5	PRSetup	Attendance Time Entry	GRANTED	A,T	*ALL_ACCESS*
TKN	PR35.6	PRSetup	Activity Time Entry	GRANTED	A,T	*ALL_ACCESS*
TKN	PR35.8	PRSetup	Position Time Entry	GRANTED	A,T	*ALL_ACCESS*

MS Excel Export

The Export version of the report creates 5 separate sheets.

1. Sheet one is a list of all violations by user and policy. You can use the data to sort or filter the results in any number of ways.
2. Sheet 2 provides a matrix of user/policy violations. This is an easy way to evaluate the number of overall violations you have in your security model.
3. Sheet three displays a list of the policies included in the report
4. Sheet four provides a legend of the Function Codes used in the report.
5. Sheet 5 is an export of all current SoD mitigations.

Sheet 1: Violation Report



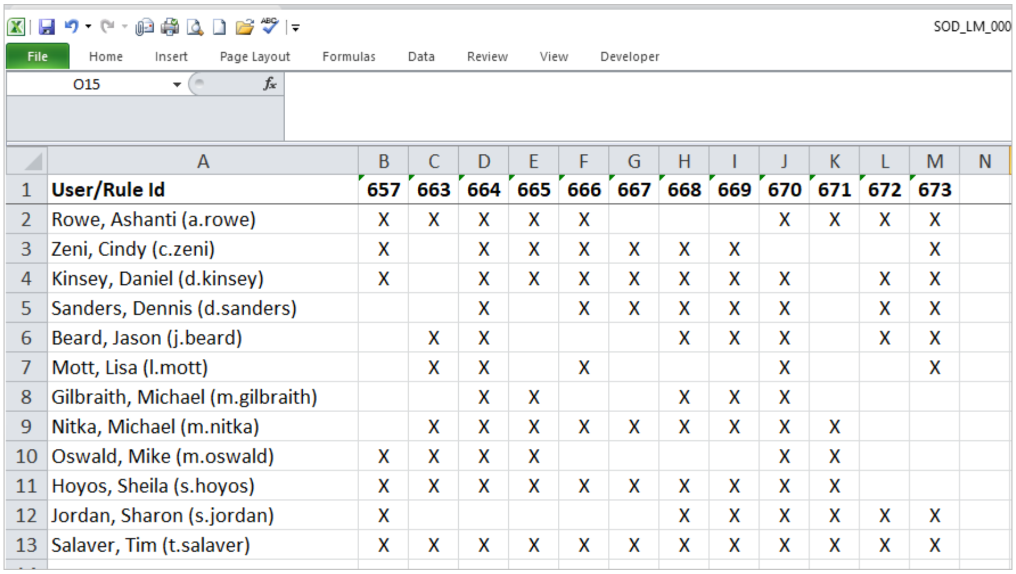
Segregation of Duties Report v5.61

1 Segregation of Duties Report v5.61
2 Saved Report: Accounts Payable
3 TEST-CloudSuite 11 - Multitenant

4	Category	Rule ID	Mitigated	Username	Full Name	Group	Type	Object	Security Class	Description	Rule
5	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	0	SecClass	APCreateOneTimeVendor_ST	-	-	-
6	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	0	SecClass	APVendorSetup_ST	-	-	-
7	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	APBasicInvoiceProcessing_ST	-	-	-
8	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	APInterfaceExpenseInvoices_ST	-	-	-
9	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	CBBasicProcessing_ST	-	-	-
10	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	EDISetupAdmin_ST	-	-	-
11	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	LMBasicProcessing_ST	-	-	-
12	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	MAInterfaceMatchInvoices_ST	-	-	-
13	PAYABLES	657		a.rowe	Rowe, Ashanti (a.rowe	1	SecClass	SupplierOrderMgmtInvoices_ST	-	-	-
14	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	0	SecClass	APCreateOneTimeVendor_ST	-	-	-
15	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	0	SecClass	APVendorSetup_ST	-	-	-
16	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	APBasicInvoiceProcessing_ST	-	-	-
17	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	APInterfaceExpenseInvoices_ST	-	-	-
18	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	CBBasicProcessing_ST	-	-	-
19	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	EDISetupAdmin_ST	-	-	-
20	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	LMBasicProcessing_ST	-	-	-
21	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	MAInterfaceMatchInvoices_ST	-	-	-
22	PAYABLES	657		c.zeni	Zeni, Cindy (c.zeni)	1	SecClass	SupplierOrderMgmtInvoices_ST	-	-	-

This is an example of a Landmark SoD report for the Payables policy 657. By looking at lines 5 through13 I can see that Ashanti Rowe as access to 9 security classes defined in the rule. Two security class are in group 0 and 7 security classes are in group 1. Rules are built to check for conflicting objects between 2 groups (0 and 1). The application will flag the user as violating the policy if they have access to atleast 1 object in both groups. For rules built at the Token or Business Class level the application only considers there to be a violation if the users has more than inquiry only access.

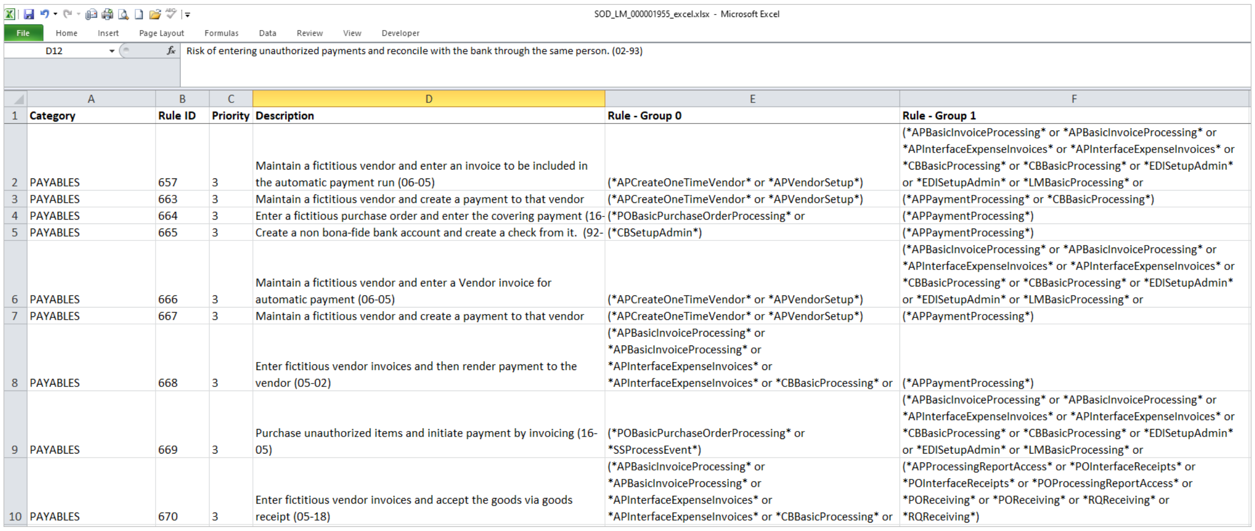
Sheet 2: User-Rule Matrix



	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	**User/Rule Id**	**657**	**663**	**664**	**665**	**666**	**667**	**668**	**669**	**670**	**671**	**672**	**673**	
2	Rowe, Ashanti (a.rowe)	X	X	X	X	X				X	X	X	X	
3	Zeni, Cindy (c.zeni)	X		X	X	X	X	X	X				X	
4	Kinsey, Daniel (d.kinsey)	X		X	X	X	X	X	X	X		X	X	
5	Sanders, Dennis (d.sanders)			X		X	X	X	X	X		X	X	
6	Beard, Jason (j.beard)		X	X				X	X	X		X	X	
7	Mott, Lisa (l.mott)		X	X		X				X			X	
8	Gilbraith, Michael (m.gilbraith)			X	X			X	X	X				
9	Nitka, Michael (m.nitka)		X	X	X	X	X	X	X	X	X			
10	Oswald, Mike (m.oswald)	X	X	X	X					X	X			
11	Hoyos, Sheila (s.hoyos)	X	X	X	X	X	X	X	X	X	X			
12	Jordan, Sharon (s.jordan)	X						X	X	X	X	X	X	
13	Salaver, Tim (t.salaver)	X	X	X	X	X	X	X	X	X	X	X	X	

The 'X' indicates that a user violations a particular policy. When comparing this report to sheet 1, sheet 1 shows the detail of the objects the user has access too.

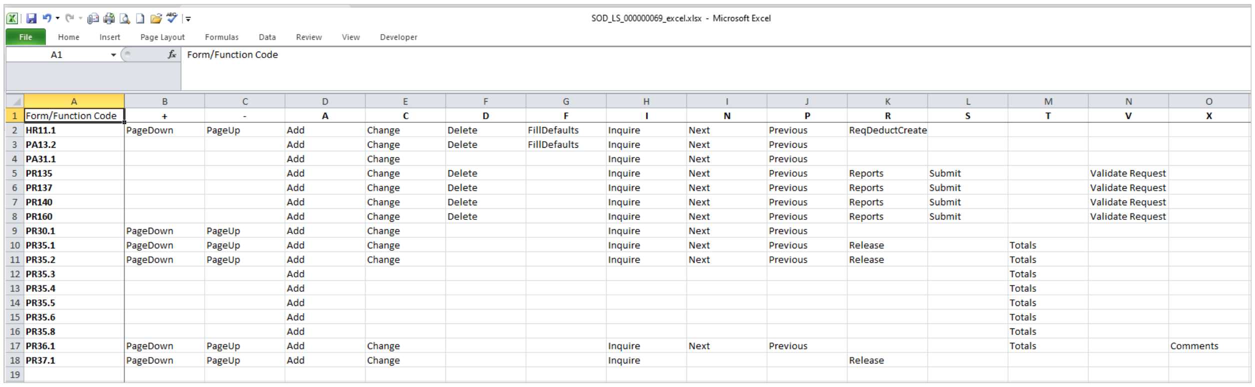
Sheet 3: SOD Rules



Risk of entering unauthorized payments and reconcile with the bank through the same person. (02-93)

	A	B	C	D	E	F
1	**Category**	**Rule ID**	**Priority**	**Description**	**Rule - Group 0**	**Rule - Group 1**
2	PAYABLES	657	3	Maintain a fictitious vendor and enter an invoice to be included in the automatic payment run (06-05)	(*APCreateOneTimeVendor* or *APVendorSetup*)	(*APBasicInvoiceProcessing* or *APBasicInvoiceProcessing* or *APInterfaceExpenseInvoices* or *APInterfaceExpenseInvoices* or *CBBasicProcessing* or *CBBasicProcessing* or *EDISetupAdmin* or *EDISetupAdmin* or *LMBasicProcessing* or
3	PAYABLES	663	3	Maintain a fictitious vendor and create a payment to that vendor	(*APCreateOneTimeVendor* or *APVendorSetup*)	(*APPaymentProcessing* or *CBBasicProcessing*)
4	PAYABLES	664	3	Enter a fictitious purchase order and enter the covering payment (16-	(*POBasicPurchaseOrderProcessing* or	(*APPaymentProcessing*)
5	PAYABLES	665	3	Create a non bona-fide bank account and create a check from it. (92-	(*CBSetupAdmin*)	(*APPaymentProcessing*)
6	PAYABLES	666	3	Maintain a fictitious vendor and enter a Vendor invoice for automatic payment (06-05)	(*APCreateOneTimeVendor* or *APVendorSetup*)	(*APBasicInvoiceProcessing* or *APBasicInvoiceProcessing* or *APInterfaceExpenseInvoices* or *APInterfaceExpenseInvoices* or *CBBasicProcessing* or *CBBasicProcessing* or *EDISetupAdmin* or *EDISetupAdmin* or *LMBasicProcessing* or
7	PAYABLES	667	3	Maintain a fictitious vendor and create a payment to that vendor	(*APCreateOneTimeVendor* or *APVendorSetup*)	(*APPaymentProcessing*)
8	PAYABLES	668	3	Enter fictitious vendor invoices and then render payment to the vendor (05-02)	(*APBasicInvoiceProcessing* or *APBasicInvoiceProcessing* or *APInterfaceExpenseInvoices* or *APInterfaceExpenseInvoices* or *CBBasicProcessing* or	(*APPaymentProcessing*)
9	PAYABLES	669	3	Purchase unauthorized items and initiate payment by invoicing (16-05)	(*POBasicPurchaseOrderProcessing* or *SSProcessEvent*)	(*APBasicInvoiceProcessing* or *APBasicInvoiceProcessing* or *APInterfaceExpenseInvoices* or *APInterfaceExpenseInvoices* or *CBBasicProcessing* or *CBBasicProcessing* or *EDISetupAdmin* or *EDISetupAdmin* or *LMBasicProcessing* or
10	PAYABLES	670	3	Enter fictitious vendor invoices and accept the goods via goods receipt (05-18)	(*APBasicInvoiceProcessing* or *APBasicInvoiceProcessing* or *APInterfaceExpenseInvoices* or *APInterfaceExpenseInvoices* or *CBBasicProcessing* or	(*APProcessingReportAccess* or *POInterfaceReceipts* or *POInterfaceReceipts* or *POProcessingReportAccess* or *POReceiving* or *POReceiving* or *RQReceiving* or *RQReceiving*)

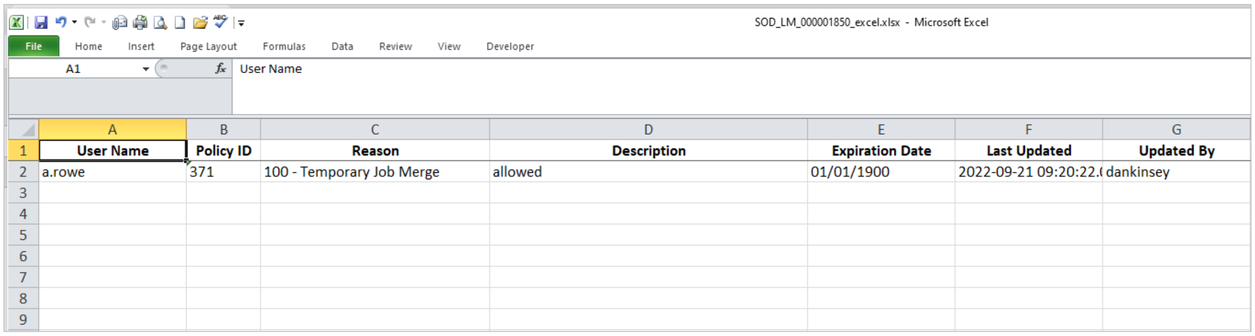
Sheet 4: Function Code Legend (for S3 only)



Form/Function Code	+	-	A	C	D	F	I	N	P	R	S	T	V	X
HR11.1	PageDown	PageUp	Add	Change	Delete	FillDefaults	Inquire	Next	Previous	ReqDeductCreate				
PA13.2			Add	Change	Delete	FillDefaults	Inquire	Next	Previous					
PA31.1			Add	Change			Inquire	Next	Previous					
PR135			Add	Change	Delete		Inquire	Next	Previous	Reports	Submit		Validate Request	
PR137			Add	Change	Delete		Inquire	Next	Previous	Reports	Submit		Validate Request	
PR140			Add	Change	Delete		Inquire	Next	Previous	Reports	Submit		Validate Request	
PR160			Add	Change	Delete		Inquire	Next	Previous	Reports	Submit		Validate Request	
PR30.1	PageDown	PageUp	Add	Change			Inquire	Next	Previous					
PR35.1	PageDown	PageUp	Add	Change			Inquire	Next	Previous	Release		Totals		
PR35.2	PageDown	PageUp	Add	Change			Inquire	Next	Previous	Release		Totals		
PR35.3			Add									Totals		
PR35.4			Add									Totals		
PR35.5			Add									Totals		
PR35.6			Add									Totals		
PR35.8			Add									Totals		
PR36.1	PageDown	PageUp	Add	Change			Inquire	Next	Previous			Totals		Comments
PR37.1	PageDown	PageUp	Add	Change			Inquire			Release				

This sheet provides an explaining of what action a function code is performing on a specific form (token)

Sheet 5: Existing SoD Mitigations



User Name	Policy ID	Reason	Description	Expiration Date	Last Updated	Updated By
a.rowe	371	100 - Temporary Job Merge	allowed	01/01/1900	2022-09-21 09:20:22.(	dankinsey

When you mitigate a poliy violation for a user this sheet will display all existing mitigations.

Notes: