



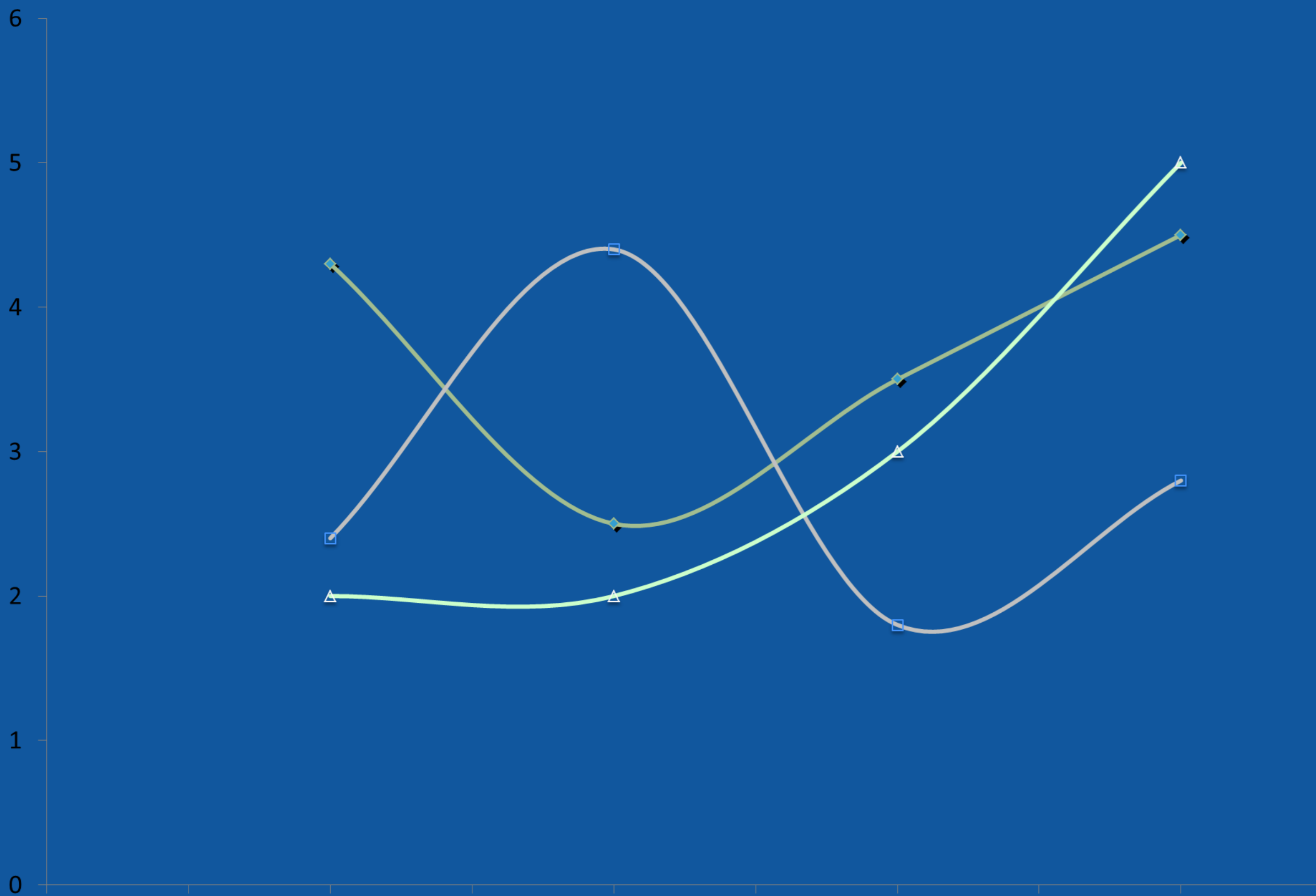
Continuous Monitoring for Infor/Lawson Software

Insight

FOR MORE **informative** DECISIONS

Agenda

- About Us
- Definition
- Benefits to Your Organization
- How It Works
- Audit
- Access Alerts
- Security Tuning
- Risk Analysis
- Demo
- Complimentary Solutions
- Services



About Us

Founded in 1983, Kinsey has provided software sales, implementation, support and development for 34 years.

Lawson reseller and implementation partner since 1997.

Lawson certified systems integrator partner.

Lawson complementary software partner.

Lawson's "Go to" implementation partner for public sector.

Provide complementary Lawson software products.

Definition for ERP

Continuous auditing is a tool for *internal auditors* mainly and to some extent *external auditors* to continually gather audit evidence to support auditing objectives and activities. This means collecting data on processes, transactions and accounts to establish compliance with regulation, procedures and policies.

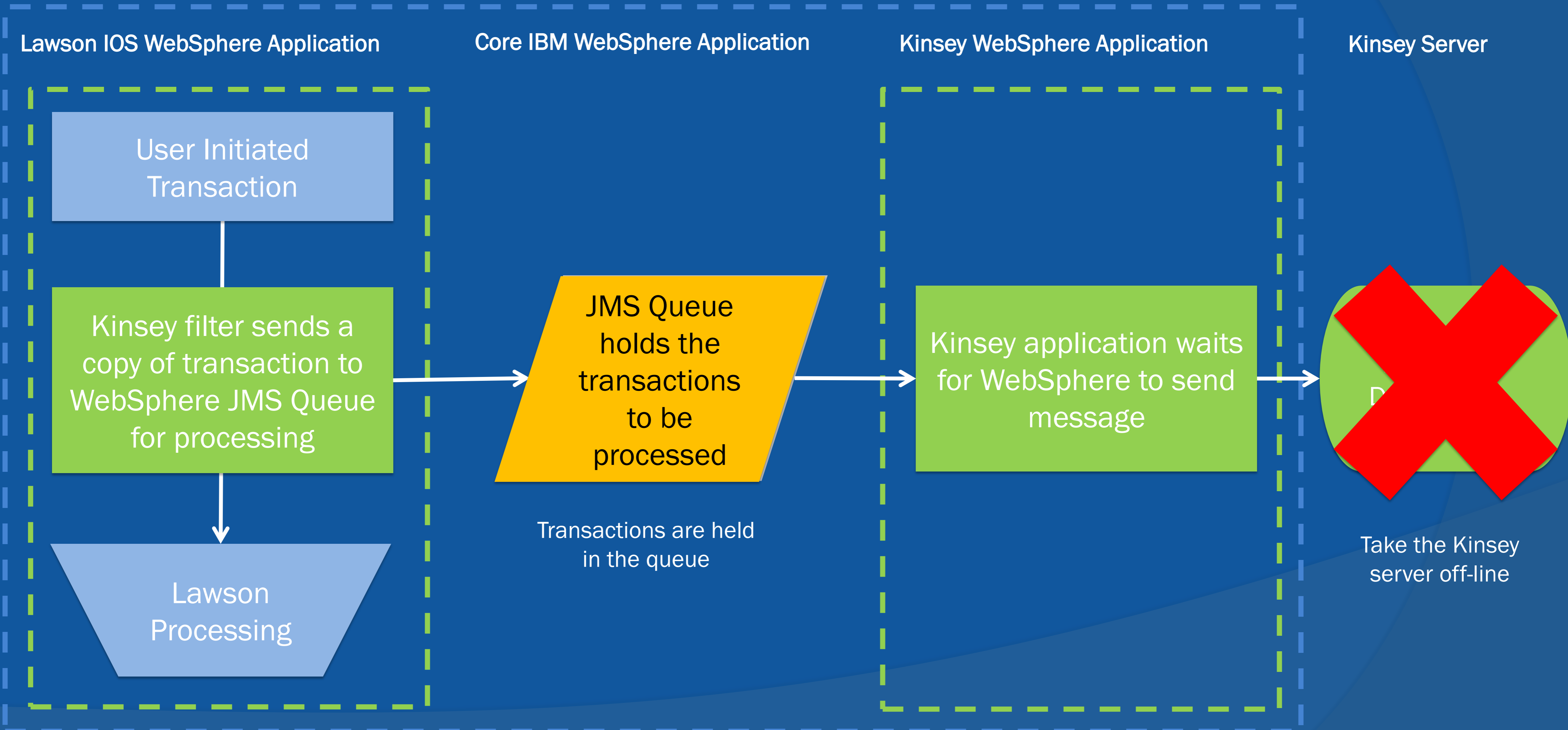
Benefits

Objective:

To collect information regarding user activity that can be used for auditing, security validation and procedural risk analysis.



How It Works



Audit

Objective:

To collect information regarding user activity that can be used to determine the user responsible for the transaction, the date and time of activity, the action taken and the record processed.

Audit

Current Login Activity

Login Activity

Filter by:

- User
- Date Range
- Transaction Source

Drill to:

- Form Summary
- Record Detail

The screenshot shows the Kinsey Activity Monitor interface. The main table displays login activity with columns: Server ID, IP Address, Login ID, Name, First Activity, Last Activity, Last Form, Form Description, Forms, and Trans. A record for user 'lawson' is highlighted with a yellow box. A yellow arrow points from this record to a detailed view of the 'Vendor' form, which shows a table of activity:

Product Line	Screen	Description	Count
LIVE	AR10.1	Customer	4
LIVE	AP155	Payment Forms Creation	2
LIVE	AP150	Cash Requirements	1
LIVE	AP10.1	Vendor	4

Audit

Last Login Recorded

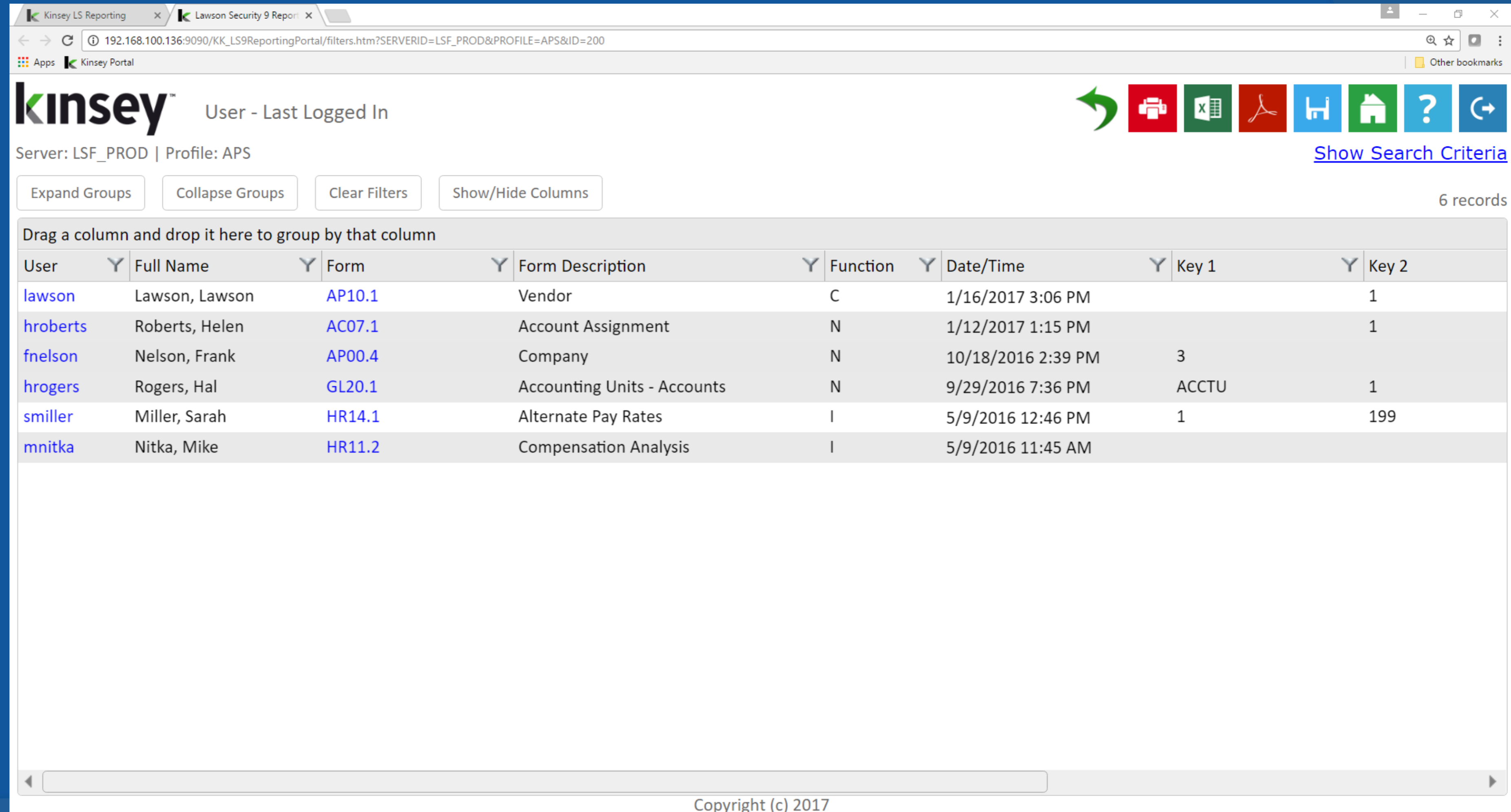
Last Login

Filter by:

- User
- Form
- Action
- Date/Time
- Record Accessed

Drill to:

- User Security



kinsey User - Last Logged In

Server: LSF_PROD | Profile: APS

Expand Groups Collapse Groups Clear Filters Show/Hide Columns 6 records

Drag a column and drop it here to group by that column

User	Full Name	Form	Form Description	Function	Date/Time	Key 1	Key 2
lawson	Lawson, Lawson	AP10.1	Vendor	C	1/16/2017 3:06 PM		1
hroberts	Roberts, Helen	AC07.1	Account Assignment	N	1/12/2017 1:15 PM		1
fnelson	Nelson, Frank	AP00.4	Company	N	10/18/2016 2:39 PM	3	
hrogers	Rogers, Hal	GL20.1	Accounting Units - Accounts	N	9/29/2016 7:36 PM	ACCTU	1
smiller	Miller, Sarah	HR14.1	Alternate Pay Rates	I	5/9/2016 12:46 PM	1	199
mnitka	Nitka, Mike	HR11.2	Compensation Analysis	I	5/9/2016 11:45 AM		

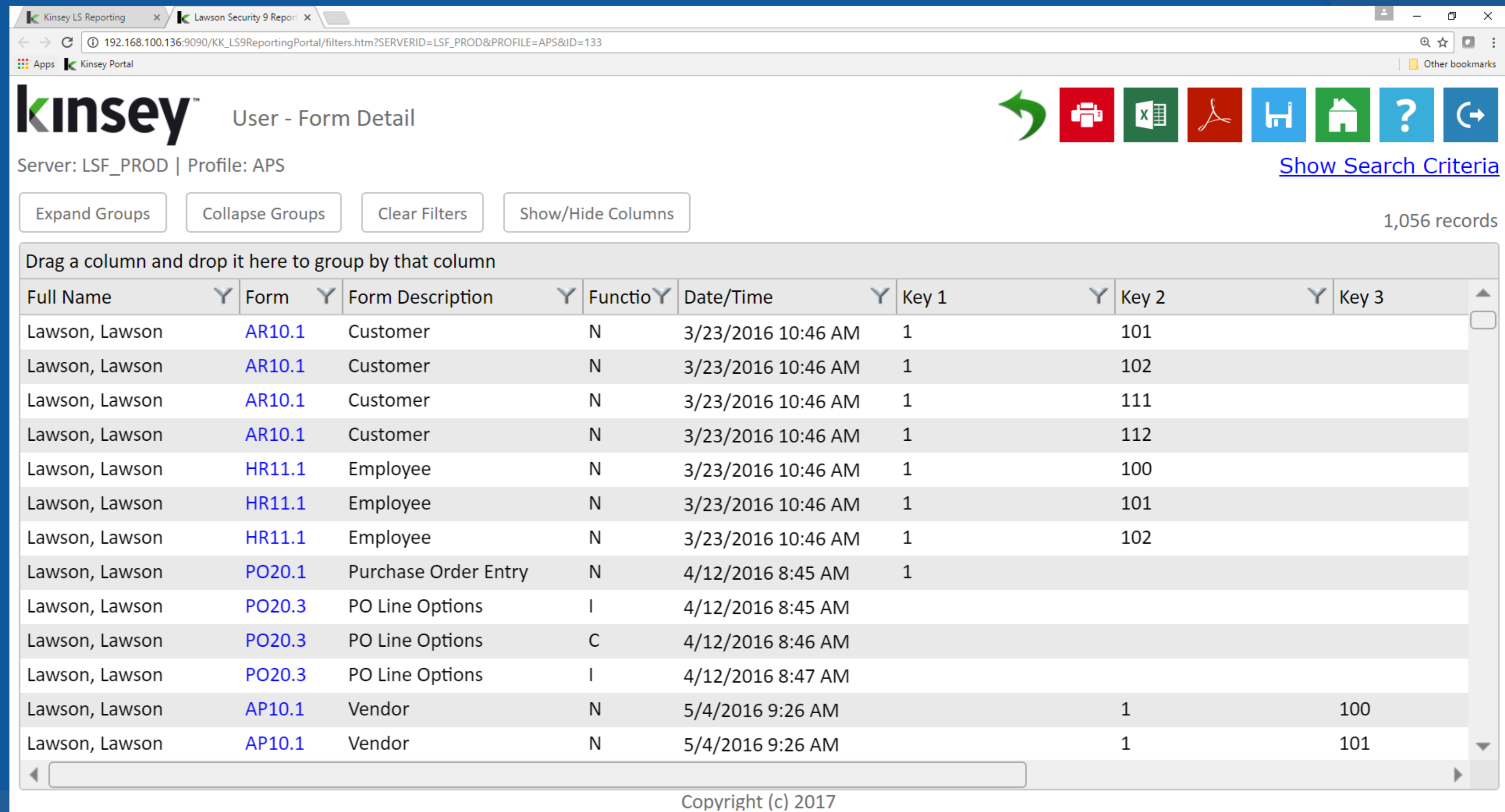
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Audit

Historical Activity

Capture every Portal or MS Add-in transaction processed by a Lawson user and filter by:

- User
- Form
- Function Code
- Date
- Record Key
- IP Address



Server: LSF_PROD | Profile: APS

1,056 records

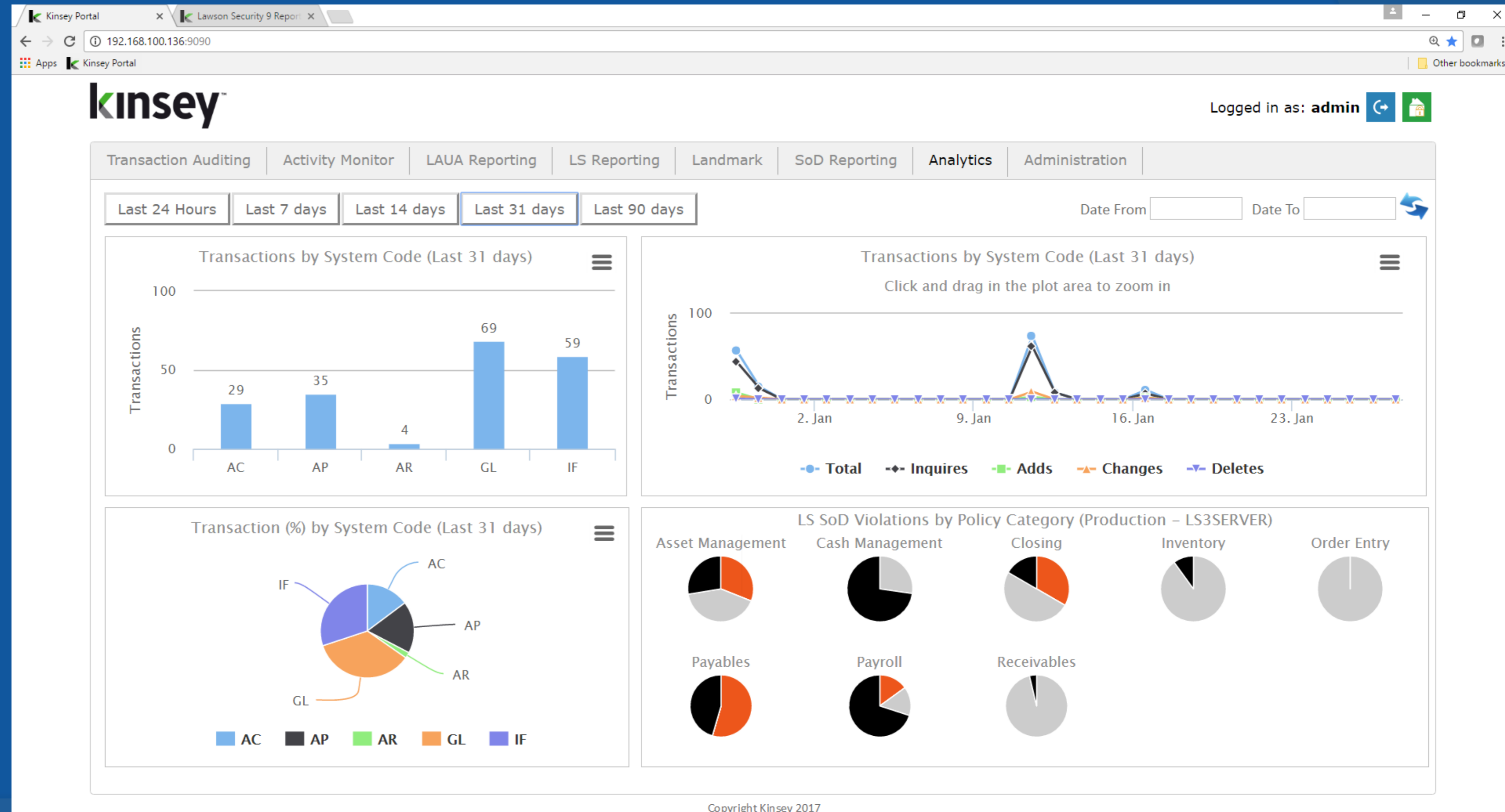
Full Name	Form	Form Description	Function Code	Date/Time	Key 1	Key 2	Key 3
Lawson, Lawson	AR10.1	Customer	N	3/23/2016 10:46 AM	1	101	
Lawson, Lawson	AR10.1	Customer	N	3/23/2016 10:46 AM	1	102	
Lawson, Lawson	AR10.1	Customer	N	3/23/2016 10:46 AM	1	111	
Lawson, Lawson	AR10.1	Customer	N	3/23/2016 10:46 AM	1	112	
Lawson, Lawson	HR11.1	Employee	N	3/23/2016 10:46 AM	1	100	
Lawson, Lawson	HR11.1	Employee	N	3/23/2016 10:46 AM	1	101	
Lawson, Lawson	HR11.1	Employee	N	3/23/2016 10:46 AM	1	102	
Lawson, Lawson	PO20.1	Purchase Order Entry	N	4/12/2016 8:45 AM	1		
Lawson, Lawson	PO20.3	PO Line Options	I	4/12/2016 8:45 AM			
Lawson, Lawson	PO20.3	PO Line Options	C	4/12/2016 8:46 AM			
Lawson, Lawson	PO20.3	PO Line Options	I	4/12/2016 8:47 AM			
Lawson, Lawson	AP10.1	Vendor	N	5/4/2016 9:26 AM		1	100
Lawson, Lawson	AP10.1	Vendor	N	5/4/2016 9:26 AM		1	101

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Audit Metrics

Metrics

- By System Code
- By Date



Unauthorized Access Alerts

Objective:

To identify when unauthorized access to a form has been breached.

Method:

- Define alternative form privileges for a user
- Validate against user security
- Validate against user activity

Unauthorized Access Alerts

Security Access by User

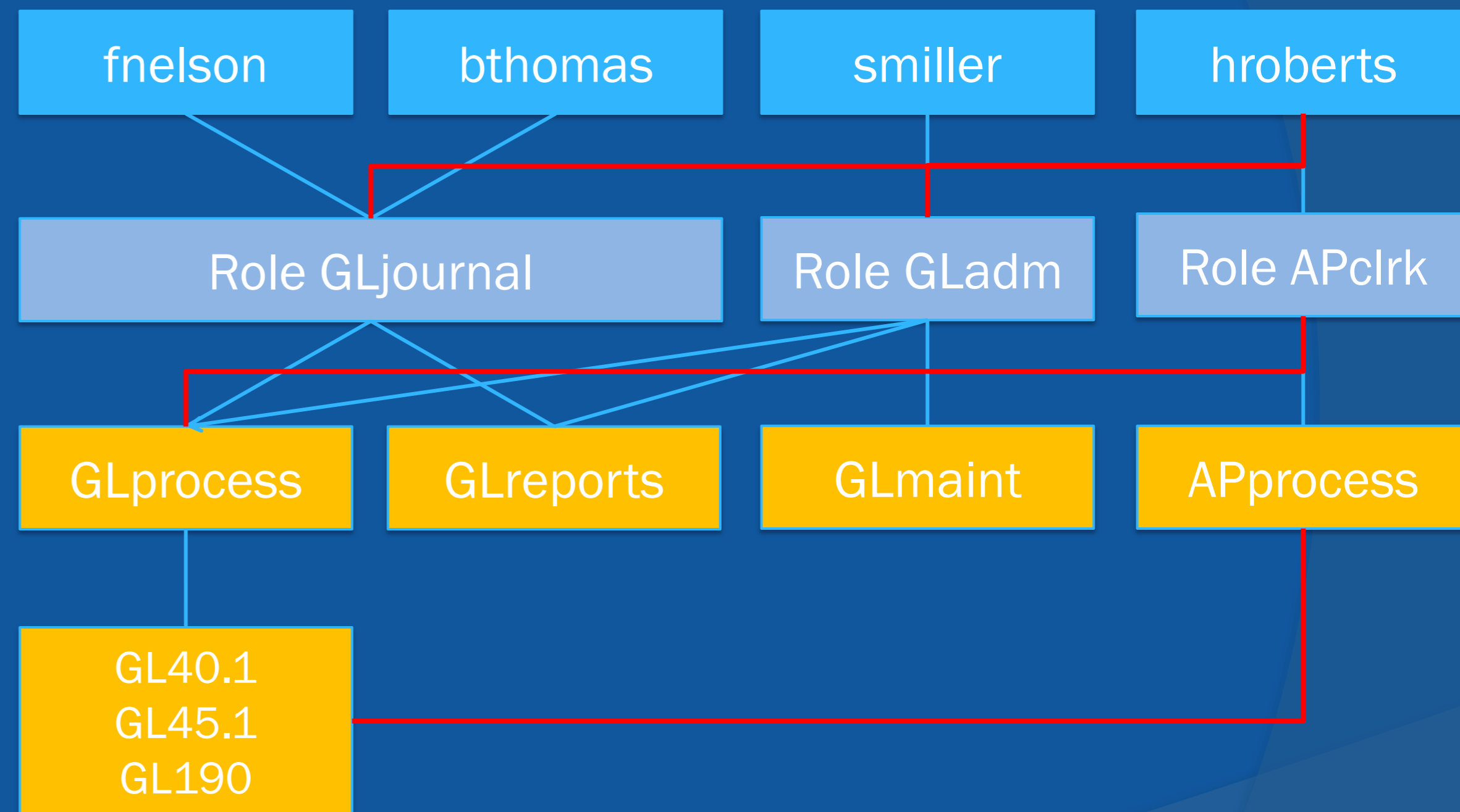
BUILDING A RULE

BY USER

- fnelson
- bthomas
- smiller

- Form=GL40.1 Rule= ALL ACCESS
- Form=GL45.1 Rule=ALL ACCESS
- Form=GL190 Rule=ALL ACCESS

Full access is allowed for just these 3 users.



Unauthorized Access Alerts

Security Access by Role

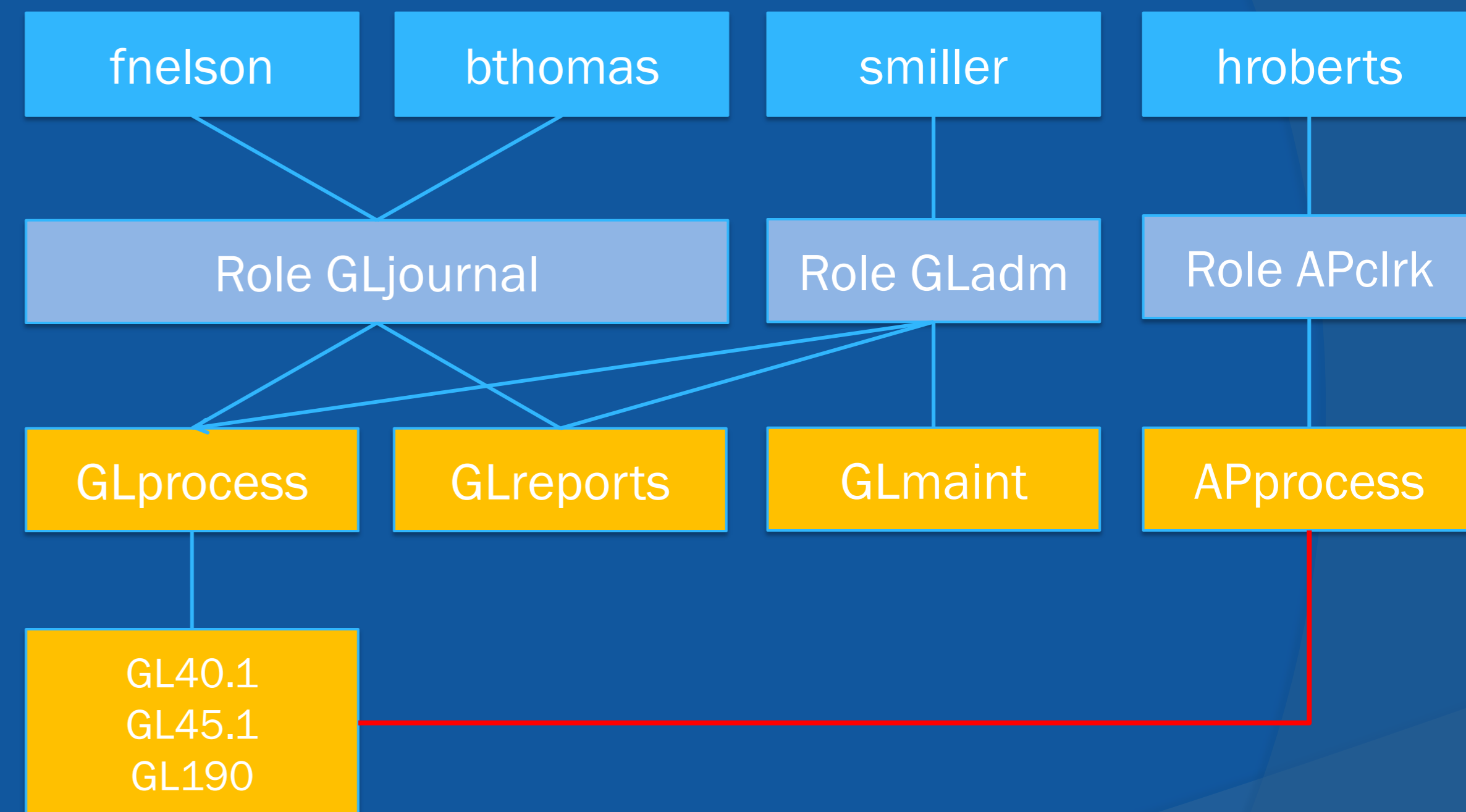
BUILDING A RULE

BY ROLE

- GLjournal
- GLadm

- Form=GL40.1 Rule= ALL ACCESS
- Form=GL45.1 Rule=ALL ACCESS
- Form=GL190 Rule=ALL ACCESS

Full access is only allowed for users assigned one of these 2 Roles.



Unauthorized Access Alerts

Based on User Activity

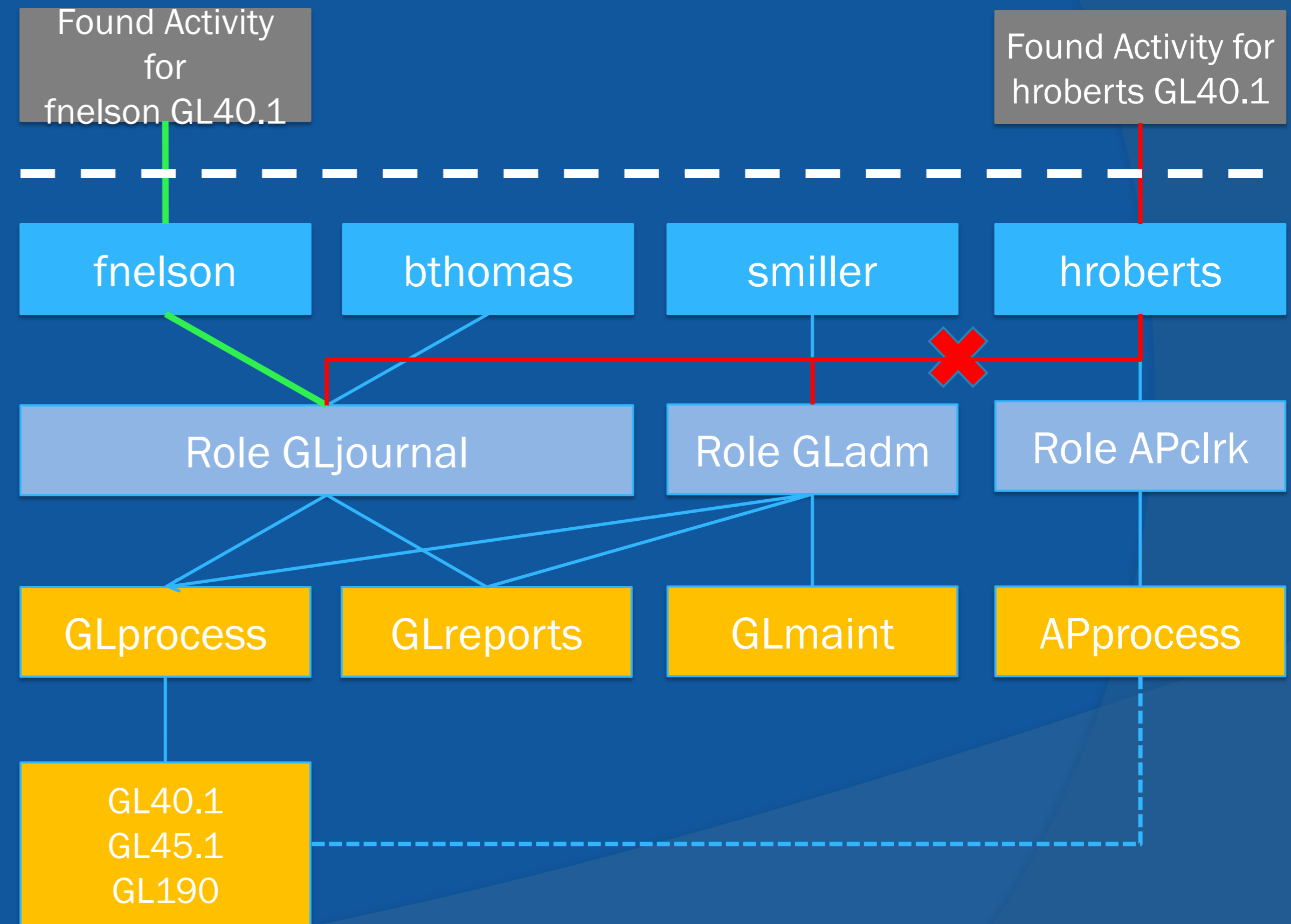
BUILDING A RULE

BY ROLE

- GLjournal
- GLadm

- Form=GL40.1 Rule= ALL ACCESS
- Form=GL45.1 Rule=ALL ACCESS
- Form=GL190 Rule=ALL ACCESS

Full access is only allowed for users assigned one of these 2 Roles.



Security Tuning

Objective:

Provide information that can be used to improve security by limiting access based on actual user activity.

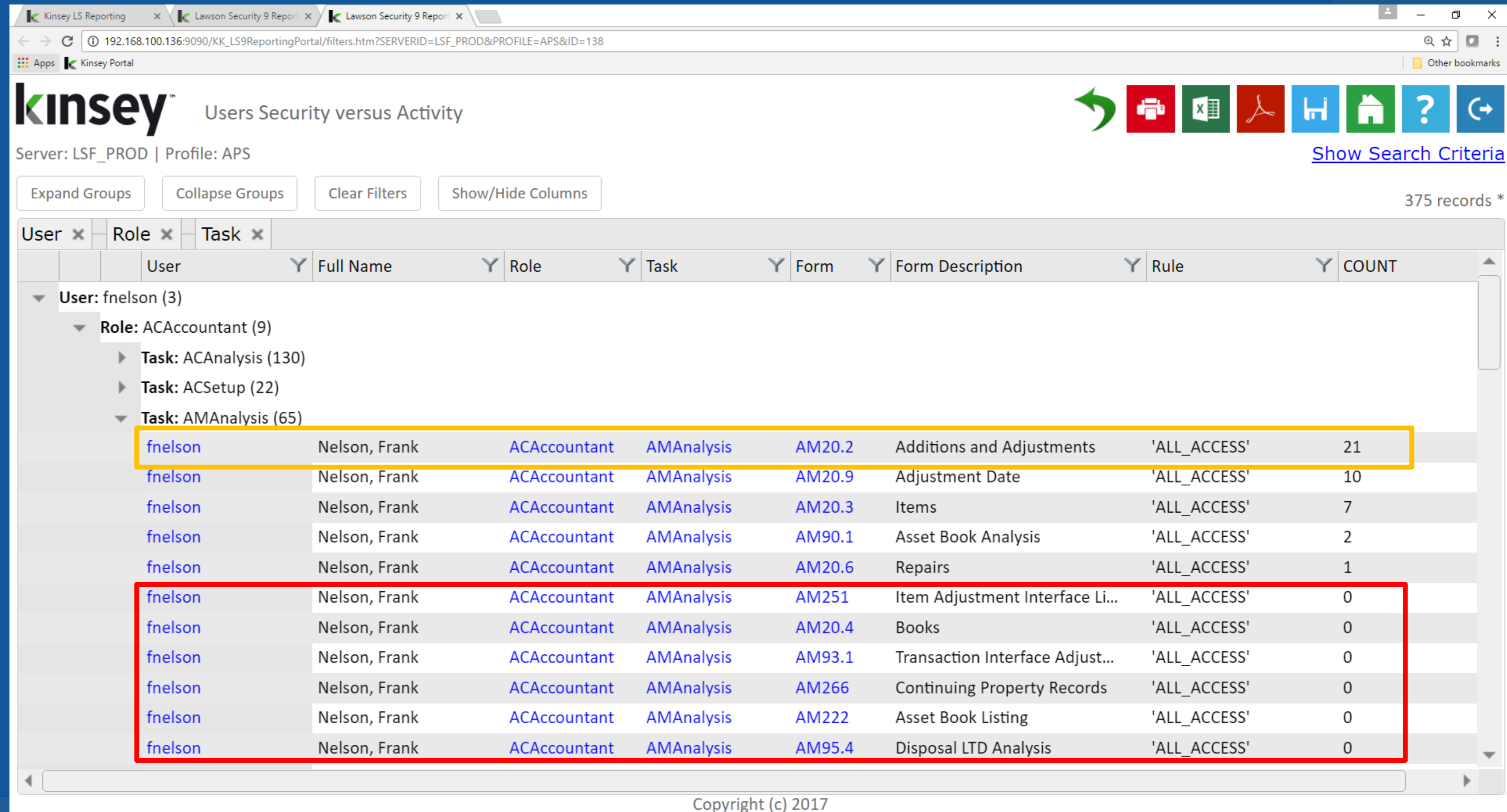
Security Tuning

User Security versus Activity

...we can determine the forms a user has access rights to but may or may not be using.

Filter by:

- User
- Role
- Security Class
- Form
- Date Range



The screenshot shows a web application interface for 'Users Security versus Activity'. The page title is 'kinsey Users Security versus Activity'. Below the title, it indicates 'Server: LSF_PROD | Profile: APS'. There are several control buttons: 'Expand Groups', 'Collapse Groups', 'Clear Filters', and 'Show/Hide Columns'. The main content is a table with 9 columns: User, Full Name, Role, Task, Form, Form Description, Rule, and COUNT. The table is filtered to show data for user 'fnelson'. The table is organized into a tree view: User: fnelson (3) > Role: ACAccountant (9) > Task: AMAnalysis (65). The first row in the table is highlighted with a yellow border, and a group of rows at the bottom is highlighted with a red border.

User	Full Name	Role	Task	Form	Form Description	Rule	COUNT
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM20.2	Additions and Adjustments	'ALL_ACCESS'	21
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM20.9	Adjustment Date	'ALL_ACCESS'	10
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM20.3	Items	'ALL_ACCESS'	7
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM90.1	Asset Book Analysis	'ALL_ACCESS'	2
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM20.6	Repairs	'ALL_ACCESS'	1
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM251	Item Adjustment Interface Li...	'ALL_ACCESS'	0
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM20.4	Books	'ALL_ACCESS'	0
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM93.1	Transaction Interface Adjust...	'ALL_ACCESS'	0
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM266	Continuing Property Records	'ALL_ACCESS'	0
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM222	Asset Book Listing	'ALL_ACCESS'	0
fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM95.4	Disposal LTD Analysis	'ALL_ACCESS'	0

SOD Risk Analysis

Segregation of Duties (SOD) reporting validates that you have the proper checks and balances in place to prevent fraudulent activity.

Objective:

To determine which users and policies present the highest degree of risk.

SOD Risk Analysis

Violation Report

By comparing your security settings...

to our SOD policies....

The screenshot displays the Kinsey SOD Risk Analysis Violation Report interface. It is divided into two main sections: a user role configuration table on the left and a detailed violation report on the right.

User Role Configuration Table:

User	Role	Task	User	Full Name	Role	Task	Form
User: fnelson (1)							
Role: ACAccountant (1)							
Task: AMAnalysis (65)							
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2
fnelson	ACAccountant	AMAnalysis	fnelson	Nelson, Frank	ACAccountant	AMAnalysis	AM2

SOD Violation Report Details:

- Policy 153:** Investigate Discrepancies or Issues - Expenditure conflicts with Initiate Checks for Expenditure. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (05-01)
- Policy 155:** Investigate Discrepancies or Issues - Expenditure conflicts with Prepare Check. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (05-02)
- Policy 156:** Review. Authorize or Sign Checks conflicts with Edit Vendor Master File. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (05-02)

The interface also shows a list of SOD policies with red 'X' marks indicating violations:

- AP20.1 - Basic Invoice (TKN)
- AP155 - Payment Forms C... (TKN)
- AP156 - Bill of Exchange C... (TKN)
- AP160 - Payment Tape Cr... (TKN)
- AP161 - Electronic Payme... (TKN)
- AP151 - Bill of Exchange ... (TKN)
- AP52.1 - Invoice Interface (TKN)
- AP30.1 - Invoice Mainten... (TKN)
- AP20.2 - Taxed Invoice (TKN)
- AP20.3 - Detail Invoice (TKN)

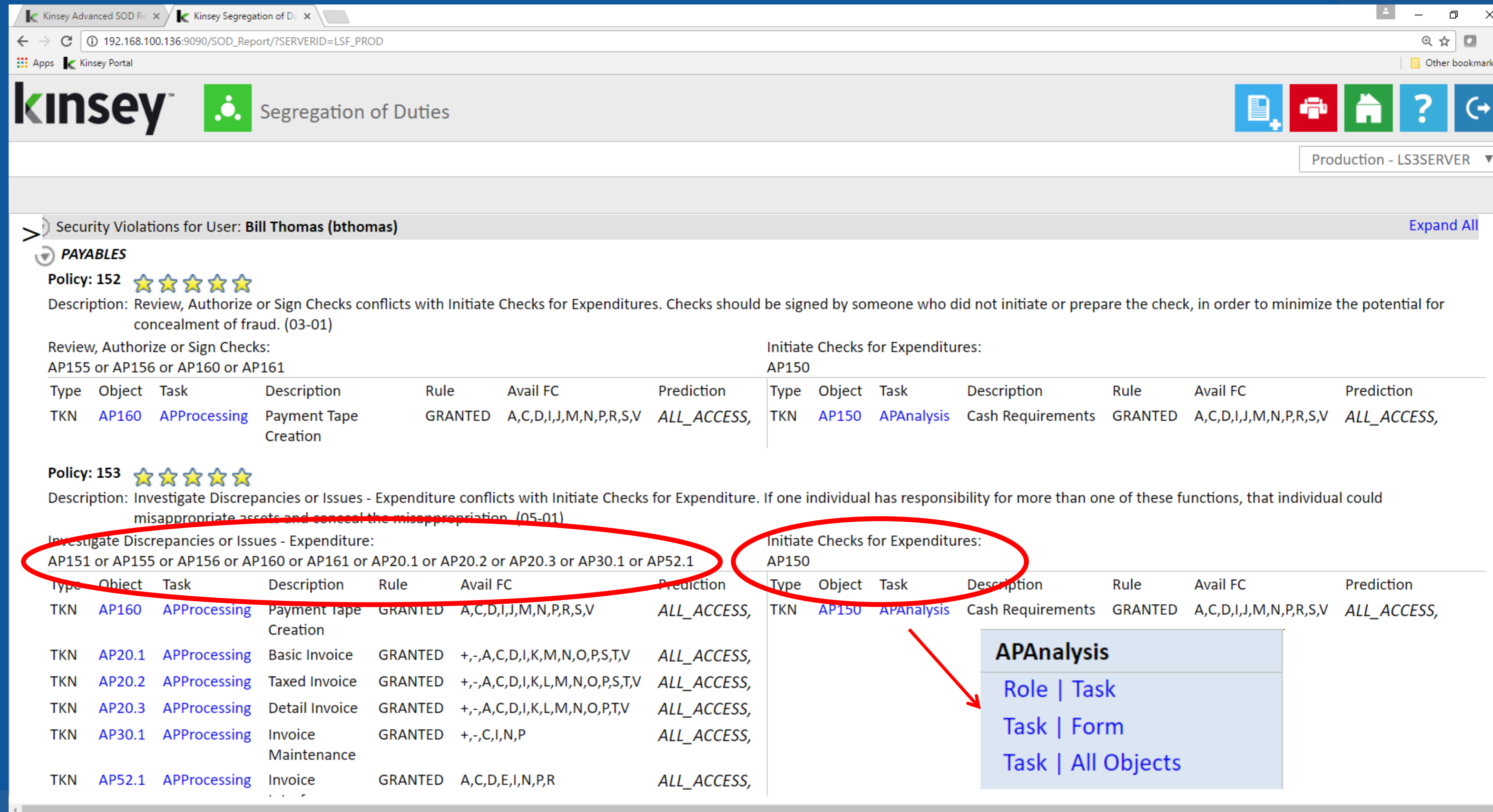
Additional controls shown include 'Initiate Checks for Expenditures (OR)' and 'AP150 - Cash Requirements (TKN)'. The interface includes navigation tabs like 'Transaction Auditing', 'Activity Monitor', 'LAUA Reporting', 'LS Reporting', 'Landmark', 'SoD Reporting', 'Analytics', and 'Administration'. The user is logged in as 'admin'.

SOD Risk Analysis

Violation Report

...we can create an SOD violation report by User.

Example: Payables (153);
Investigate Discrepancies or
Expenditure issues conflicts
with Initiate Checks for
Expenditure.



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

PAYABLES

Policy: 152 ★★★★★
Description: Review, Authorize or Sign Checks conflicts with Initiate Checks for Expenditures. Checks should be signed by someone who did not initiate or prepare the check, in order to minimize the potential for concealment of fraud. (03-01)

Review, Authorize or Sign Checks:							Initiate Checks for Expenditures:						
Type	Object	Task	Description	Rule	Avail FC	Prediction	Type	Object	Task	Description	Rule	Avail FC	Prediction
TKN	AP160	APProcessing	Payment Tape Creation	GRANTED	A,C,D,I,J,M,N,P,R,S,V	ALL_ACCESS,	TKN	AP150	APAnalysis	Cash Requirements	GRANTED	A,C,D,I,J,M,N,P,R,S,V	ALL_ACCESS,

Policy: 153 ★★★★★
Description: Investigate Discrepancies or Issues - Expenditure conflicts with Initiate Checks for Expenditure. If one individual has responsibility for more than one of these functions, that individual could misappropriate assets and conceal the misappropriation. (05-01)

Investigate Discrepancies or Issues - Expenditure:							Initiate Checks for Expenditures:						
Type	Object	Task	Description	Rule	Avail FC	Prediction	Type	Object	Task	Description	Rule	Avail FC	Prediction
TKN	AP160	APProcessing	Payment Tape Creation	GRANTED	A,C,D,I,J,M,N,P,R,S,V	ALL_ACCESS,	TKN	AP150	APAnalysis	Cash Requirements	GRANTED	A,C,D,I,J,M,N,P,R,S,V	ALL_ACCESS,
TKN	AP20.1	APProcessing	Basic Invoice	GRANTED	+,-,A,C,D,I,K,M,N,O,P,S,T,V	ALL_ACCESS,							
TKN	AP20.2	APProcessing	Taxed Invoice	GRANTED	+,-,A,C,D,I,K,L,M,N,O,P,S,T,V	ALL_ACCESS,							
TKN	AP20.3	APProcessing	Detail Invoice	GRANTED	+,-,A,C,D,I,K,L,M,N,O,P,T,V	ALL_ACCESS,							
TKN	AP30.1	APProcessing	Invoice Maintenance	GRANTED	+,-,C,I,N,P	ALL_ACCESS,							
TKN	AP52.1	APProcessing	Invoice	GRANTED	A,C,D,E,I,N,P,R	ALL_ACCESS,							

APAnalysis

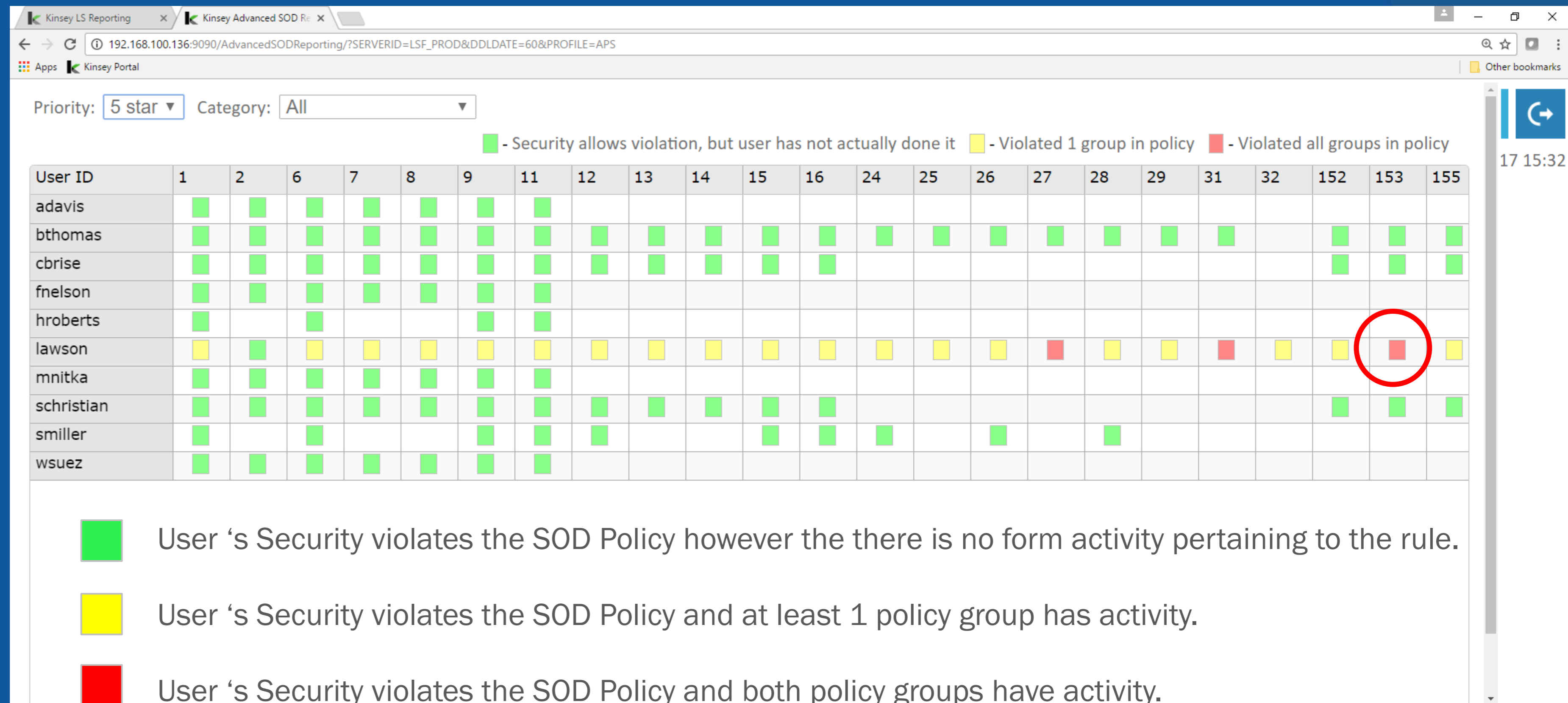
- Role | Task
- Task | Form
- Task | All Objects

SOD Risk Analysis

Risk Analysis Grid

The Risk Analysis Grid combines the SOD Violation report with actual user activity to highlight the policies with the highest degree of risk.

Example: Payables (153); Investigate Discrepancies or Expenditure issues conflicts with Initiate Checks for Expenditure.



Priority: 5 star Category: All

■ - Security allows violation, but user has not actually done it
 ■ - Violated 1 group in policy
 ■ - Violated all groups in policy

User ID	1	2	6	7	8	9	11	12	13	14	15	16	24	25	26	27	28	29	31	32	152	153	155
adavis	■	■	■	■	■	■	■																
bthomas	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■		■	■	■
cbrise	■	■	■	■	■	■	■	■	■	■	■	■									■	■	■
fnelson	■	■	■	■	■	■	■																
hroberts	■		■			■	■																
lawson	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
mnitka	■	■	■	■	■	■	■																
schristian	■	■	■	■	■	■	■	■	■	■	■	■									■	■	■
smiller	■		■			■	■	■			■	■	■		■		■						
wsuez	■	■	■	■	■	■	■																

- User 's Security violates the SOD Policy however the there is no form activity pertaining to the rule.
- User 's Security violates the SOD Policy and at least 1 policy group has activity.
- User 's Security violates the SOD Policy and both policy groups have activity.

SOD Risk Analysis

Policy Access Grid

By drilling on a specific violation you can view the User's security settings and a policy access grid.

Drill to Security Reporting

The screenshot displays the Kinsey SoD Remediation interface. On the left, a list of users is shown with their IDs and the number of users in each group. The main area shows a policy access grid for Policy 153, listing users and their access levels for various forms. A detailed view of a user's security settings is shown on the right, including a table of tasks and their rules.

Policy: 153

User ID	Full Name	AP156	AP160	AP161	AP20.1	AP20.2	AP20.3	AP30.1	AP52.1	AP150
bthomas	Thomas, Bill		■		■	■	■	■	■	■
cbrise	Brise, Charlie		■		■	■	■	■	■	■
lawson	Lawson, Lawson		■		■	■	■	■	■	■
schristian	Christian, Sammy		■		■	■	■	■	■	■

Task - Form

Task	Task Description	Form	Form Description	Available FC	Rule
APProcessing	Accounts Payable Pr...	AP20.6	Prepayment	A,C,D,I,N,P	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP181	Bill of Exchange Stat...	A,C,D,I,J,M,N,P,R,S,V	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP30.4	Invoice Cancel	+,-,C,I,N,P	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP22.2	Asset Management	C,I	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP198	Invoice Data Archival	A,C,D,I,J,M,N,P,R,S,V	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP176	Match Discount Acc...	A,C,D,I,J,M,N,P,R,S,V	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP52.7	Invoice Filter	I	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP30.3	Payment Schedule ...	+,-,C,I,N,P,S	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP51.3	Address Change Int...	A,C,D,I,N,P	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP199	Vendor Balance Yea...	A,C,D,I,J,M,N,P,R,S,V	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP00.2	Vendor Group User ...	A,C,I,N,P	'NO_ACCESS'
APProcessing	Accounts Payable Pr...	AP55.6	Selection Criteria	A,C,I	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP30.6	Recurring	C	'ALL_ACCESS'
APProcessing	Accounts Payable Pr...	AP00.1	Vendor Group	A,C,D,I,N,P	'NO_ACCESS'

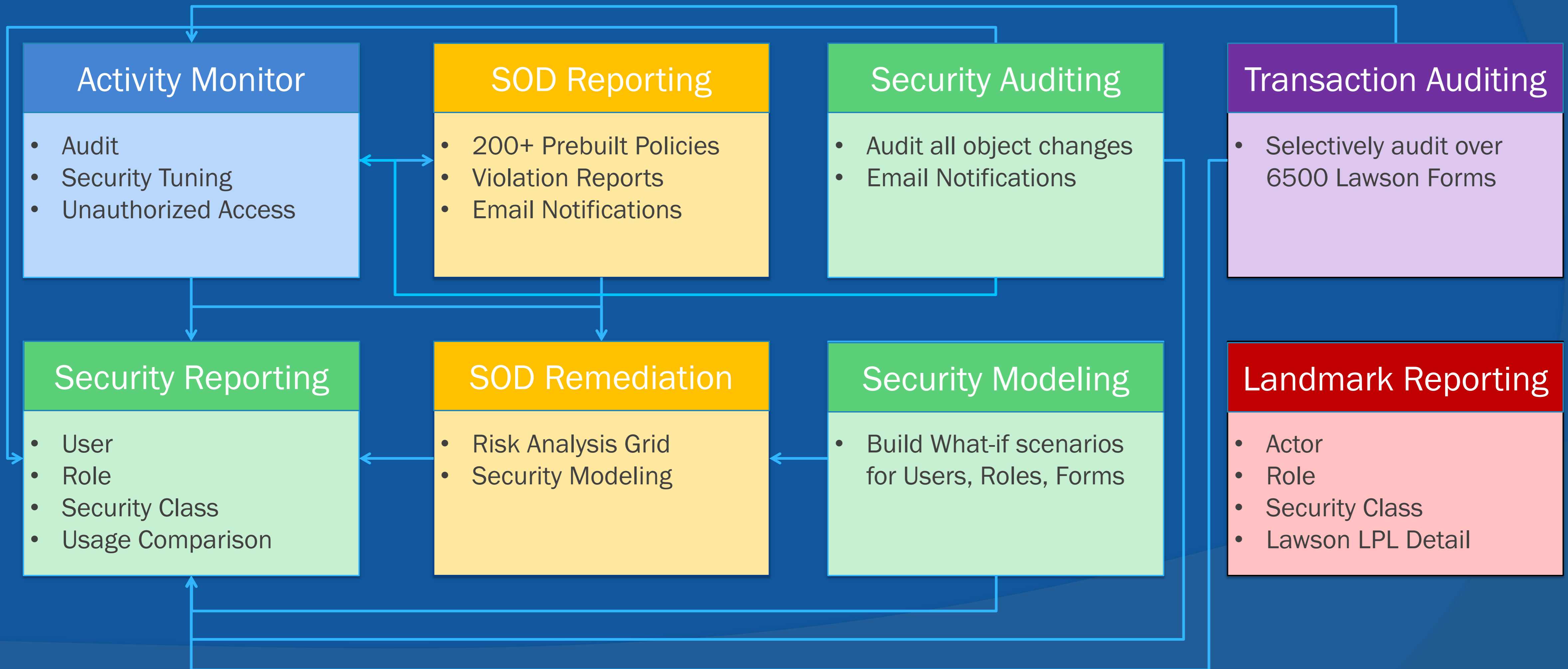
Advanced SOD (based on 'User - Form Detail')

User	Full Name	Form	Form Description	Function	Date/Time	Key 1
lawson	Lawson, Lawson	AP20.1	Basic Invoice	C	1/11/2017 10:20 AM	118
lawson	Lawson, Lawson	AP20.1	Basic Invoice	C	1/11/2017 10:20 AM	118

Drill to User Activity

Product Demo

Complimentary Solutions



Services

Installation

Remote installation services take between 1 and 3 days depending on the product selected. After testing most customers are fully operational within 2 weeks.



Security Consulting

Our team of security consultants have assisted over 60 Lawson clients build and maintain Lawson Security.



Training

Training is also done remotely using Kinsey certified Lawson consultants. Training takes anywhere from 1 to 3 days depending on the applications selected.



Contact Us

 Kinsey & Kinsey, Inc.
26 North Park Boulevard
Glen Ellyn, IL. 60137
630-858-4866

 g.henson@kinsey.com

 call 757-621-8236

 www.kinsey.com

Thank you for attending!

We hope you found it helpful!