Demonstration Instructions Microsoft Office 2013 spreadsheet control tools:

The Tools:

1. Spreadsheet Compare
2. Database Compare
3. Spreadsheet Inquire
4. Audit and Control Management Server
5. Discovery and Risk Assessment (server)

Setup:

1. Pick a file to be the focus of the demonstration. Typically “Statement 2011-09.xlsm” is a good one.
2. Install Office 2013 ProPlus Preview.
3. Launch Excel and go to Options/Addins/COM Addins and enable the “Inquire” add-in.
4. Launch Spreadsheet Compare (in Office Tools on Start menu) and go to Options, click “Include System Generated Changes in Compare Results.” Restart the application.
5. For server tools demonstration –
   1. Install and configure Audit and Control Management Server to monitor the demo files.
   2. Install and configure Discovery and Risk Assessment. You need to have an ACM Server database that you can connect to. Run through the discovery of your demo files ahead of time so that the risk analysis will be faster (incremental risk calc) during your demonstration.
6. Prepare/reset collateral. Use XLSM or XLSX for best performance (XLS files need to be converted during processing, which takes longer).

Demonstration:

Overview – a typical lifecycle for a spreadsheet control process is to use Discovery and Risk Assessment to take an inventory of the spreadsheets and databases in an organization, assess the risk of those files, and determine which ones are critical to the business. Then the critical files are put under control, including detailed analysis and documentation using Inquire, and monitoring with the Audit and Control Management Server. Spreadsheet Compare and Database Compare can be used to inspect changes at any time in the lifecycle. New files are always being created by end-users, so the process needs to be ongoing.

* 1. Discovery and Risk Assessment (server application)
     1. Launch from the Start menu.
     2. Click the Discover button to display the search criteria. You can search any number of network shares or SharePoint libraries. Typically, the search is scoped to a recent range of dates, because very old files are not of interest.
     3. The search criteria is simple, typically just the file extensions that are of interest.
     4. Click Discover to start the search process.
     5. The files will be discovered and then risk assessment will begin.
     6. Describe that the system is analyzing the contents of each file and giving a score for complexity and materiality, and assigning a risk ranking to each file. The criteria used are configurable by the user, and they can save their criteria for repeated use.
     7. Discuss some of the statistical information that’s collected.
     8. Workbook links are cataloged and you can determine both dependent and precedent links for any given workbook.
     9. All the data from the Discovery and Risk Assessment process is captured in a central database (master inventory).
  2. Spreadsheet Inquire
     1. Run a Workbook Analysis on Statement.xlsm and show how you can find formulas with errors.  Double-click on one of the formulas in the Analysis box so it takes your cursor to the cell in the workbook.
     2. Run a Workbook relationship diagram on Statement.xls.  Point out that it shows broken links and out-of-date data.  The data goes from upstream to downstream and if an upstream file has a more recent Mod date than a downstream file, then the downstream file could have out-of-date information and it needs to be opened to get the most recent data into it.
     3. Run the Worksheet Relationship diagram and point out that it shows all sheets, even if they’re hidden of very hidden. Point out what appears to be 2 sheets with the same name (one is very hidden).
     4. Select a cell and then run the Cell Relationship Diagram using default settings. Describe how this could be used to trace the origin of data or perhaps find the source of an error.
  3. Spreadsheet/Database Compare - Comparing Versions of a Workbook or database
     1. Discuss that part of the review/approval process for a critical file would probably involve comparing the current workbook to a prior version.
     2. Run Spreadsheet Compare.  Click “Compare Files”.
     3. Choose 2 versions of a file. Make sure there are formula changes, inserted/deleted rows and columns, data entry, and VBA code changes.
     4. Side-by-side comparison – Describe the layout of Spreadsheet Compare, discuss the different change types shown in the bottom left.
     5. Make sure there’s a structural change – either a row inserted or deleted, so that the smart auditing is demonstrated.  Show that a formula change below the row that was inserted/deleted is comparing offset cells (like cell B22 from the previous version compared against B23 in the new version due to row insertion).
     6. Point out the number of differences detected vs. what it would be like if we were just comparing strictly by cell address. There would be many cells affected simply because they shifted by inserting/deleting a row, but Spreadsheet Compare is smart enough to adjust and show what actually changed.
     7. Double-click on a VBA change to display in drill-through window.
  4. Show Audit and Control manager (server features)

NOTE: You need to be connected to a server system to do these steps.

* + 1. Go to the web site and open the “Controlled Files” shortcut.
    2. Open Statement2010-11.xlsm and make a variety of changes to highlight the different types of changes that can be tracked.  Insert/delete a row around 16, click “Update Values” button, change a formula below the inserted row, edit the VBA code in Module2 slightly.
    3. Save the file. Point out that all the user has to do is save the file.
    4. Talk about what’s happening in the background now that you’ve saved the file.  The server has copied the new version of the file to version storage and is comparing it to the previous version. (*refer to architecture slide for this discussion*)
    5. Wait a minute or so while the server processes the file (you can’t see this happening).
  1. Find the audit trail

1. Go to your server’s web site and then find your file on the Controlled Files list.
2. Select your file from the list, right-click it and choose View Audit Trail.
3. Describe what the audit trail page contains.
4. Talk about the different types of changes that the system distinguishes.  Go to the audit configuration and bring up the audit exceptions tab.  Click the audit type dropdown to get the dialog box showing the different types of changes that can be tracked.  Discuss what is typical (not tracking values is the norm).
5. It’s a good idea to develop a baseline of minimum tracking requirements that probably doesn’t include tracking values, but mention the flexibility to track values in a specific range if it’s important.
   1. Navigate to the Version history
      1. Click the “View Versions for File” link near the top of the audit trail page.
      2. Point out that for files stored on network shares, the ACM Server automatically tracks the versions of the file. For files stored in SharePoint, the versions are simply tracked by SharePoint.
      3. Show how you can click on any prior version to retrieve and open that version.
      4. Once you have the current and previous version of your file open in Excel, click the “Compare Files” button to show how easy it is to compare files directly from Excel.
   2. Describe some of the auditing options
      1. Click on the “Edit Configuration” link near the top of the audit trail or versions page.
      2. Go to the Audit Exceptions page and click in a line under the “Type” column in the grid. Click the dropdown list to bring up the audit types dialog.
      3. Discuss that the system allows you to track or ignore any of the different types of changes, so that you can focus on important changes and ignore routine changes.
   3. Optional - Search / review the audit trail
      1. Optional - Show how to search for formula changes by entering “\*formula\*” in the description box and click “filter”
      2. Optional -Discuss why searching would be useful – for example, during a review process you might want to see what changes have happened since last quarter.
      3. Optional (you’ll show this in context of Spreadsheet Compare anyway) - Show a VBA module change and use the “Compare Values” feature to drill into the code change and show how you can pick exact changes in the text very easily.
      4. If there are Microsoft Access users, then run Database Compare and show them how it works.  Be prepared to wait for it, because the workstation might take a while to finish the report.