

CTRL-10-CA-1403960 ARIBA Approver Limits**Description:**

ARIBA is configured so purchase orders cannot be approved by the person who prepared the purchase order (PO).

Additional Description:

Approver limits are checked by the system.

Control Owner(s) :

Bussiness: Marianne Clements; Rodrigo Latorraca

IT: Devon Soodan; Ramakrishnan Iyer

Test Date: 10/25/2018

TS-A : Determine the type of the function/calculation: a) standard b) customized c) query (with ITGC) d) ad-hoc query (without ITGC) e) other

Pg. 2

TS-B : Determine that ARIBA is configured so that the approver limits are automatically checked

Pg. 3

TS-C : Determine that the Function/Calculation is subject to controls which ensure completeness, accuracy and reliability

Pg. 4
NOTES:

SOX verified that the function "Approver Limits Verification" is a standard function in the vendor package ARIBA. A component within the approval workflow, it automatically searches for a manager within the Procurement Unit that has an approval limit equal or greater than the order total. The manager's limits are refreshed daily from the WDH interface file.

SOX concludes that the function "approver limits" is an automated and effective control.
No relevant exceptions are noted.

No Exceptions Noted

TS-A : Determine the type of the function/calculation: a) standard b) customized c) query (with ITGC) d) ad-hoc query (without ITGC) e) other

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TS-A.01: Determine the type of application

During the walk through, it is confirmed the approver limit is part of the approval workflow, which is a standard function in ARIBA, a SAP Application.

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TS-A.02: Determine the Key Function/Calculation Frequency (how often this Function/Calculation needs to be generated for Business Owners: on-demand, monthly, quarterly, etc.)

During the walk through, IT confirms that the approval limits function is automatically invoked whenever a purchase order needs approved.

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TS-A.03: Determine the method used for distribution of the Key Function/Calculation to Business owners (email, share folder, directly from Application, etc.)

Not applicable. This function does not generate any report.

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TS-A.04: Determine any manual “data modification” performed on the Key Function/Calculation (e.g. Additional formulas added to the Function/Calculation after extraction).

During the walk through, SOX validates that the approval workflow is fully automated and does not allow any manual “data modification”

TS-B: Determine that ARIBA is configured so that the approver limits are automatically checked).

TS-B.01: Verify that a recently approved request in PRODUCTION displays information about the requester, the preparer and the search for approver with appropriate approval limits

(Pg. 05) SOX observed that Request #AW355869 was originally requested by business, then prepared by the Procurement Unit. (Pg. 06) SOX verified that the request was approved. (Pg. 07) SOX verified that the workflow shows 3 managers lined up for approval => ARIBA automatically searched for the manager with the appropriate approval limits to approve this request. (Pg. 16) SOX verified that the 3 potential managers in Pg. 07 are from the Procurement Unit.

TS-B.02: Verify that the approver limit is refreshed daily from WDH

(Pg. 08) SOX watched IT open the WDH file on 10/22/2018 (the night before 10/23/2018 - the day the request was approved). (Pg. 09) SOX verified that the approver Marl Lwin has the appropriate approval limits.

TS-B.03: Verify that the validation of approver limit is an automated and effective control

(Pp. 10-12) SOX watched IT open the approval workflow in design view to show the workflow logic. (Pg. 13) SOX verified that the workflow's logic consists of "Base Rule" and "Chain Rule". The base rule validate various mandatory fields in the order. (Pg. 14) In "Chain Rule", ARIBA automatically searches for an approver with appropriate limits

SOX concludes that ARIBA is configured so that the approver limits are automatically checked. No exceptions noted

TS-C: Determine that the Function/Calculation is subject to controls which ensure completeness, accuracy and reliability.

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TS-C.01: Determine whether the function/calculation is submitted to AIG Standard Change Management Control

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During the walk through, it is confirmed the approver limit is part of the approval workflow, which is a standard function in ARIBA. This application is subject to AIG and SAP Change Management. SOX concludes that the validation of the approver limit is subject to controls which ensure completeness, accuracy and reliability. No exceptions noted.

Search

Type: Requisition ▾

Retrieving from ARIBA PROD Submitted Request
#AW355869

TS-B.01

Requisition

Change the search criteria or name, and then Search.

Search Filters

Search Options ▾

Title:

Date Created: Custom ▾

ID: AW355869

From: Mon, 22 Oct, 2018

Approver: (select a value) [select]

To: Fri, 26 Oct, 2018

Cost Center: (select a value) [select]

Purchasing Unit: (select a value) [select]

Requester: (select a value) [select]

Status: Submitted ▾

Supplier (any line item): (select a value) [select]

Search

Reset

Save Search

TS-B.01

2,958,000 PHP > US\$ 54,000

Search Results

Found 1 item

<input type="checkbox"/>	Type	ID	Title	Status	Date Created	Total	Requester	Preparer	Service Now #
<input type="checkbox"/>		AW355869	AIGSS-BPI (iHub) : Sodexo GCs for 2900HC in 100 denomination	Submitted	22 Oct 2018	2,958,000.00 PHP	Katherine Anne Lara Cudal	Karen Ann Nones Lope	

Label ▾

Copy

Delete

Original requester from Business (Pg. 15)

Procurement (Pg.16)

AW355869 - AIGSS-BPI (iHub) : Sodexo GCs for 2900HC in 100 denomination

Request #AW355869

Status: **Submitted**

Copy

Edit

Print

TS-B.01

Summary

Orders

Receipts

History

History

Date ↓	User	Real User	Action	Summary
Tue, 23 Oct, 2018 9:55 PM	Bhupender Kumar	Bhupender Kumar	Approved	AW355869 approved. Comments .
Mon, 22 Oct, 2018 11:33 PM	Bhupender Kumar	Bhupender Kumar	Added	Bhupender Kumar added a new comment. Comments .
Mon, 22 Oct, 2018 11:32 PM	Bhupender Kumar	Bhupender Kumar	Added	Bhupender Kumar added a new comment. Comments .
Mon, 22 Oct, 2018 5:38 PM	Hameet Kapoor	Hameet Kapoor	Assigned	Assigned to user Bhupender Kumar from queue Purchasing Agent - AIGSS (PH).
Mon, 22 Oct, 2018 1:40 PM	Katherine Anne Lara Cudal	Katherine Anne Lara Cudal	Approved	AW355869 approved.
Mon, 22 Oct, 2018 12:19 PM	Karen Ann Nones Lope	Karen Ann Nones Lope	Submitted	AW355869 submitted for approval. Comments .

Submitted for approval

SummaryOrdersReceiptsHistory

Title: AIGSS-BPI (iHub) : Sodexo GCs for 2900HC in 100 denomination

Purchasing Unit: PH Purchasing Unit

On Behalf Of: Katherine Anne Lara Cudal

Company Code: 1058 (AIG Shared Services - Bus)

Estimated Sales Tax: 0.00 PHP

Note on Estimated Sales Tax: This is an estimated sales tax amount and is used for fiscal approval purposes only. The actual sales tax amount will be verified as part of the invoice processing.

My Labels: Apply Label... 1

Deliver To: Katherine Anne Lara Cudal

Need-by Date: 1

Deliver to Floor/Suite: GF

Deliver to Phone Number: +63 02 876 8849

Ship-to Postal Address:

Cart Summary	
SODEXO BENEFITS... (2)	2,958,000.00 PHP
Total (2 items)	2,958,000.00 PHP

2,958,000 PHP > US\$ 54,000

▼ Comments (4)

Comments

Bhupender Kumar

This order has been approved by purchasing agent.

[Tuesday, October 23, 2018 at 9:54 PM] Edit Delete Reply

Bhupender Kumar

Quote # 77288

[Monday, October 22, 2018 at 11:33 PM] Edit Delete Reply

Bhupender Kumar

This order has been assigned to me. You may reach me at Bhupender.kumar@aig.com

[Monday, October 22, 2018 at 11:32 PM] Edit Delete Reply

Karen Ann Nones ...

- please process as is.

[Monday, October 22, 2018 at 12:19 PM] Edit Delete Reply

Add Comment

The order was approved on 10/23/2018

Request History

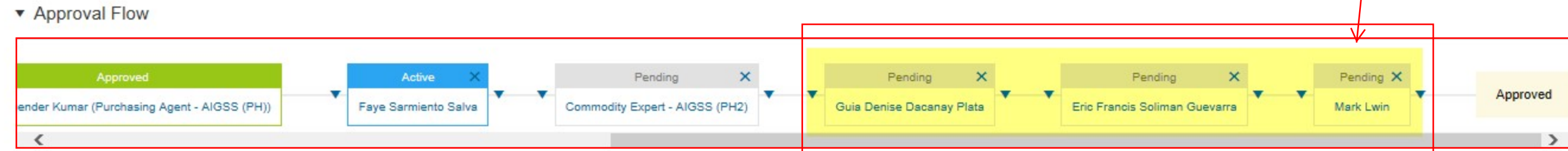
Request documentation

Attachments

File Name ↑	Size	Creator	Visible to Supplier on Order	
AIGSS-BPI_iHub_Sodexo Premium Pass for 2900 employees.pdf View Download	149.5 KB	Karen Ann Nones Lope	<input type="checkbox"/>	Delete
QuotationForm77288_2900.pdf View Download	43.5 KB	Karen Ann Nones Lope	<input checked="" type="checkbox"/>	Delete

Add Attachment

Mark Lwin is the ultimate approver



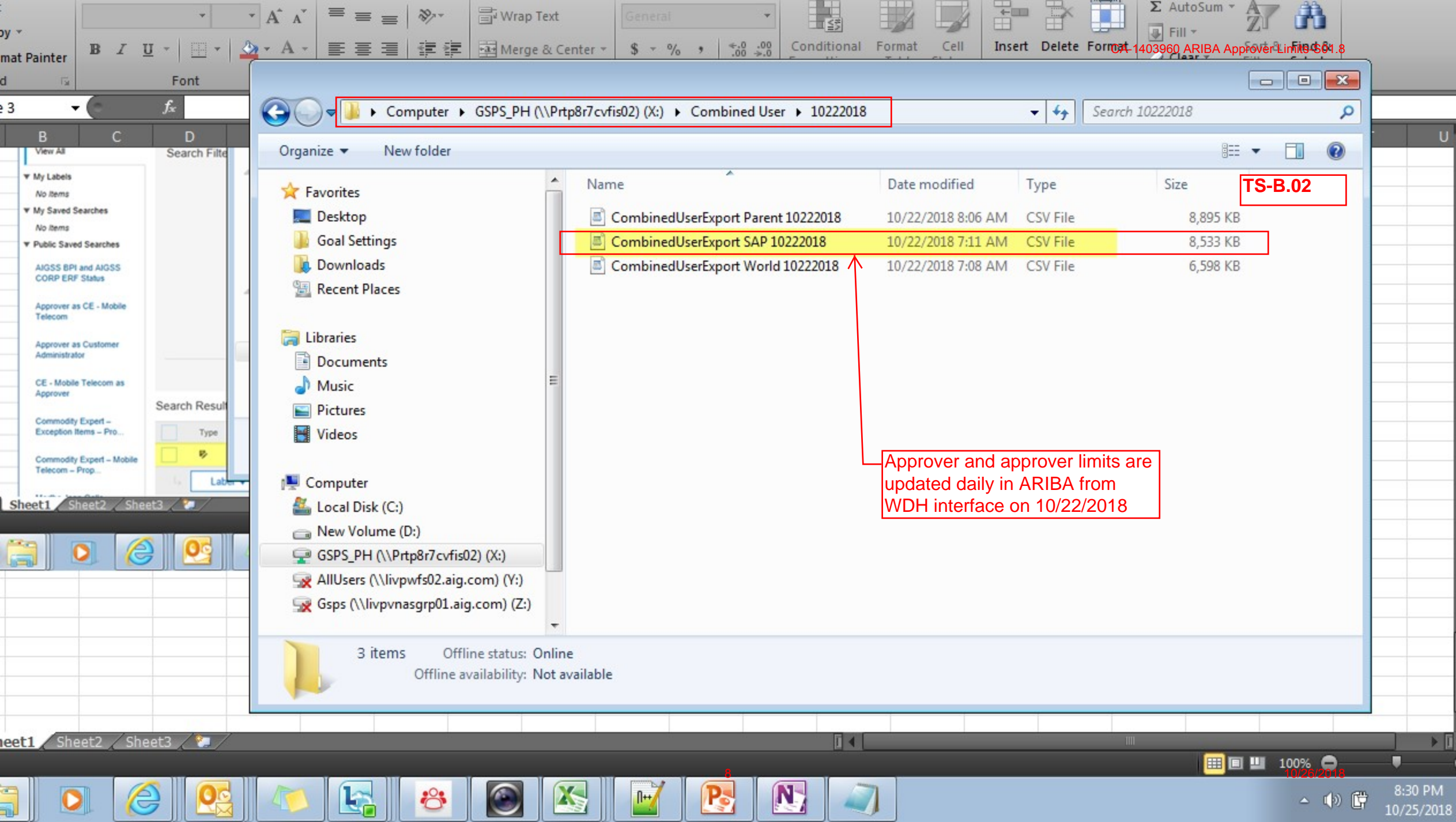
3 managers are lined up for approval => ARIBA automatically searched for the manager with the appropriate approval limits to approve this request

▼ Line Items

2 Items Total

No. ↑	Type	Description	Qty	Unit	Price	Amount	
1		SODEXO Premium Pass in 100 denomination with ...	29,000	each	100.00 PHP	2,900,000.00 PHP	Detail
2		2 % Service Fee	1	each	58,000.00 PHP	58,000.00 PHP	Detail

2,958,000 PHP > US\$ 54,000



Organize ▾ New folder				
Search 10222018				
★ Favorites				
Desktop				
Goal Settings				
Downloads				
Recent Places				
Libraries				
Documents				
Music				
Pictures				
Videos				
Computer				
Local Disk (C:)				
New Volume (D:)				
GSPS_PH (\\Prtp8r7cvfis02) (X:)				
AllUsers (\\livpwwfs02.aig.com) (Y:)				
Gsp (\\livpvnasgrp01.aig.com) (Z:)				
3 items Offline status: Online Offline availability: Not available				
Name	Date modified	Type	Size	
CombinedUserExport Parent 10222018	10/22/2018 8:06 AM	CSV File	8,895 KB	
CombinedUserExport SAP 10222018	10/22/2018 7:11 AM	CSV File	8,533 KB	
CombinedUserExport World 10222018	10/22/2018 7:08 AM	CSV File	6,598 KB	

TS-B.02

Approver and approver limits are updated daily in ARIBA from WDH interface on 10/22/2018

Two managers in Purchasing have approval limits greater than 0. Only Lwin can approve requests of value greater than US\$ 5,000

CombinedUserExport SAP 10222018

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https://s1.ariba.com/Buyer/Main/aw?awh=r&awss

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SCTASK1715908 | Catal...

Ariba Spend Manag...

GSPS Ariba-FieldGlass -...

CA-1403960 Ariba Approver Limits-S01.10

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Manage Approval Processes

Manage the approval processes for the types of approvable documents that you own based on your group membership. An approval process groups together a set of approval rules. Approval rules determine which users or groups must approve each

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Title:

Active: ☐ Yes ☐ No ☒ Either

Approvable Type: Requisition

Search Options

Search

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Search Results

Found 13 items

Approvable Type	Type	Title	State	Version	Editor	Last Modified
<input type="radio"/> Requisition		AIG Requisition Approval Process	Checked In	12		Sat, 8 Apr, 2017
<input type="radio"/> Requisition		AIG Requisition Approval Process - Backup before Spot Buy	Checked In	0		Sat, 8 Apr, 2017
<input type="radio"/> Requisition		AIG Requisition Approval Process - Spot Buy	Checked In	1		Tue, 7 Aug, 2018
<input type="radio"/> Requisition		^ AIG Requisition Approval Process - Spot Buy	Draft	2	Devon Soodan	Mon, 25 Jun, 2018
<input type="radio"/> Requisition		AIG Requisition Approval Process - Spot Buy - BFX_FiscalApprover	Active	1		Tue, 7 Aug, 2018
<input type="radio"/> Requisition		AIG Requisition Approval Process-T	Checked In	9		Fri, 16 Jun, 2017

10/26/2018

10:10 PM

10/25/2018

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https://s1.ariba.com/Buyer/Main/aw?awh=r&awss

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Ariba Spend Manag...

GSPS Ariba-FieldGlass -...

AIG Webex Site

CA-1403960 Ariba Approver Limits-S01.11

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AIG Requisition Approval Process - Spot Buy - BFX_FiscalApprover

Edit

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Summary

Approval Rules

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Approvable Edit Rules

Policies

Testing

History

View the order, conditions, and actions of the approval rules in this approval process. Select a rule in the diagram to view its condition and action in the approval rule editor at the bottom of the page. To make changes, you must be in edit mode, which creates a

More

▼ Approval Process Diagram ⓘ

Pre-Collaboration | Collaboration | Post-Collaboration

Requester

Adds the requester as an optional approver if the ...

F&A Validator

Adds this approver to review the accounting detail...

Spot Buy Category Approver

Adds this approver if requisition contains Spot Bu...

Spot Buy Price Approver

Add this approver if requisition contains Spot Buy...

Preparer without Purchasi...

Adds CPA for US as required Approver for Non-Catal...

Preparer with Purchasing ...

Adds CPA for US as required Approver for Non-Catal...

Central Purchasing Agent

Purchasing team is responsible to ensure all

Cost Center Owner

Cost Center Owner

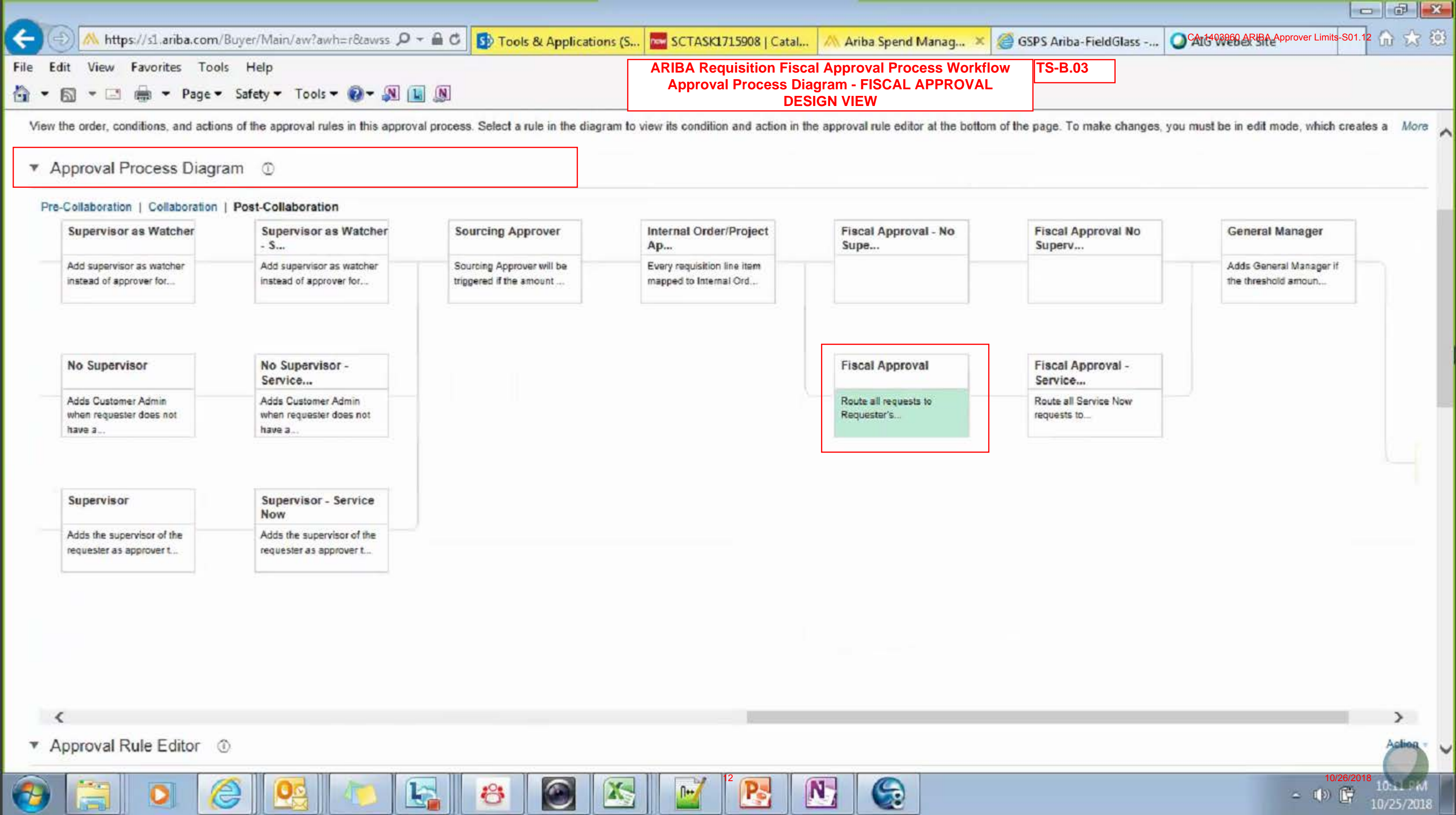
CTO

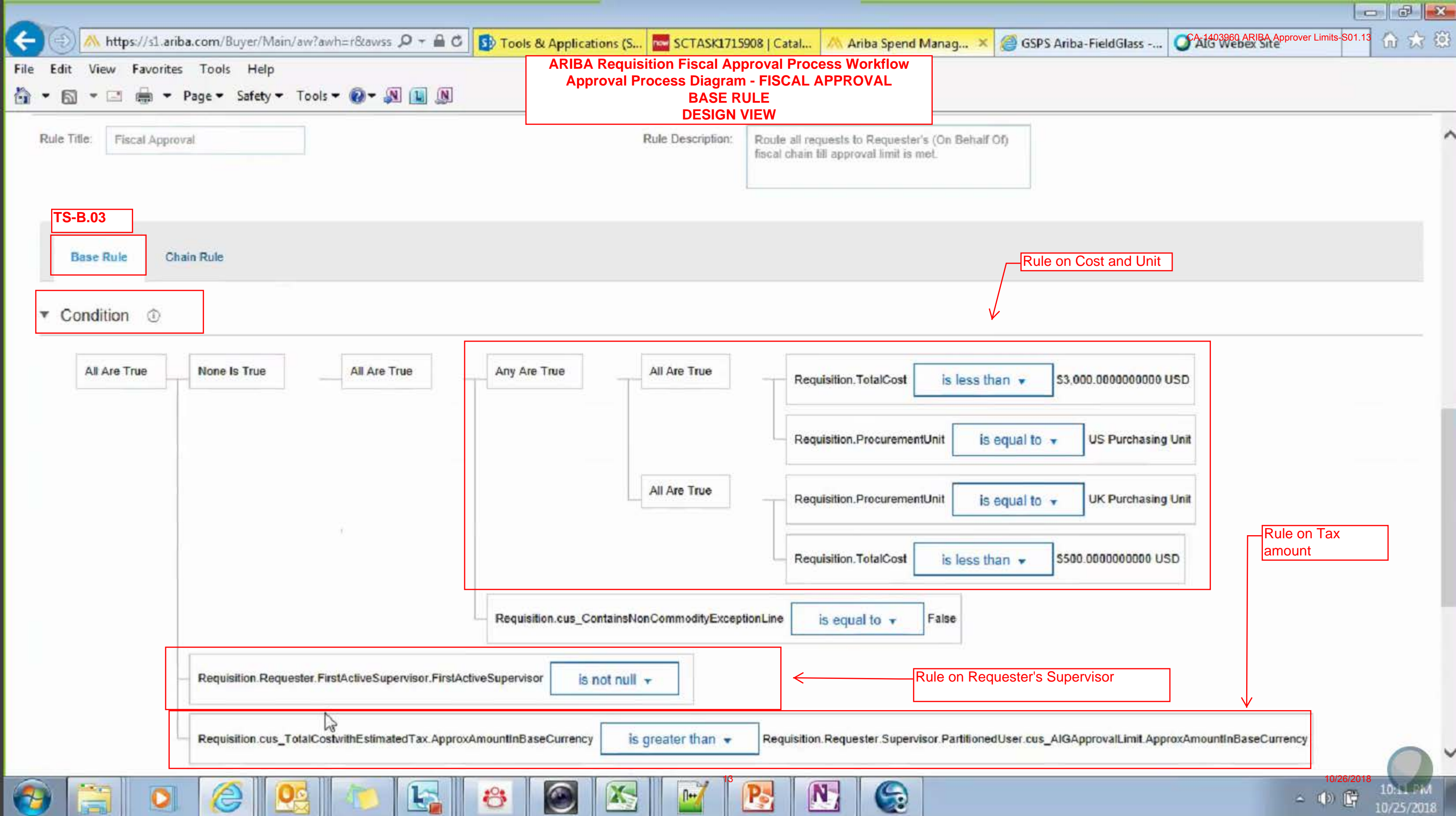
Chief Technology Officers are responsible for revi...

<< Collaboration

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10/26/2018 10:10 PM 10/25/2018





ARIBA Requisition Fiscal Approval Process Workflow
Approval Process Diagram - FISCAL APPROVAL
BASE RULE
DESIGN VIEW

TS-B.03

Base Rule

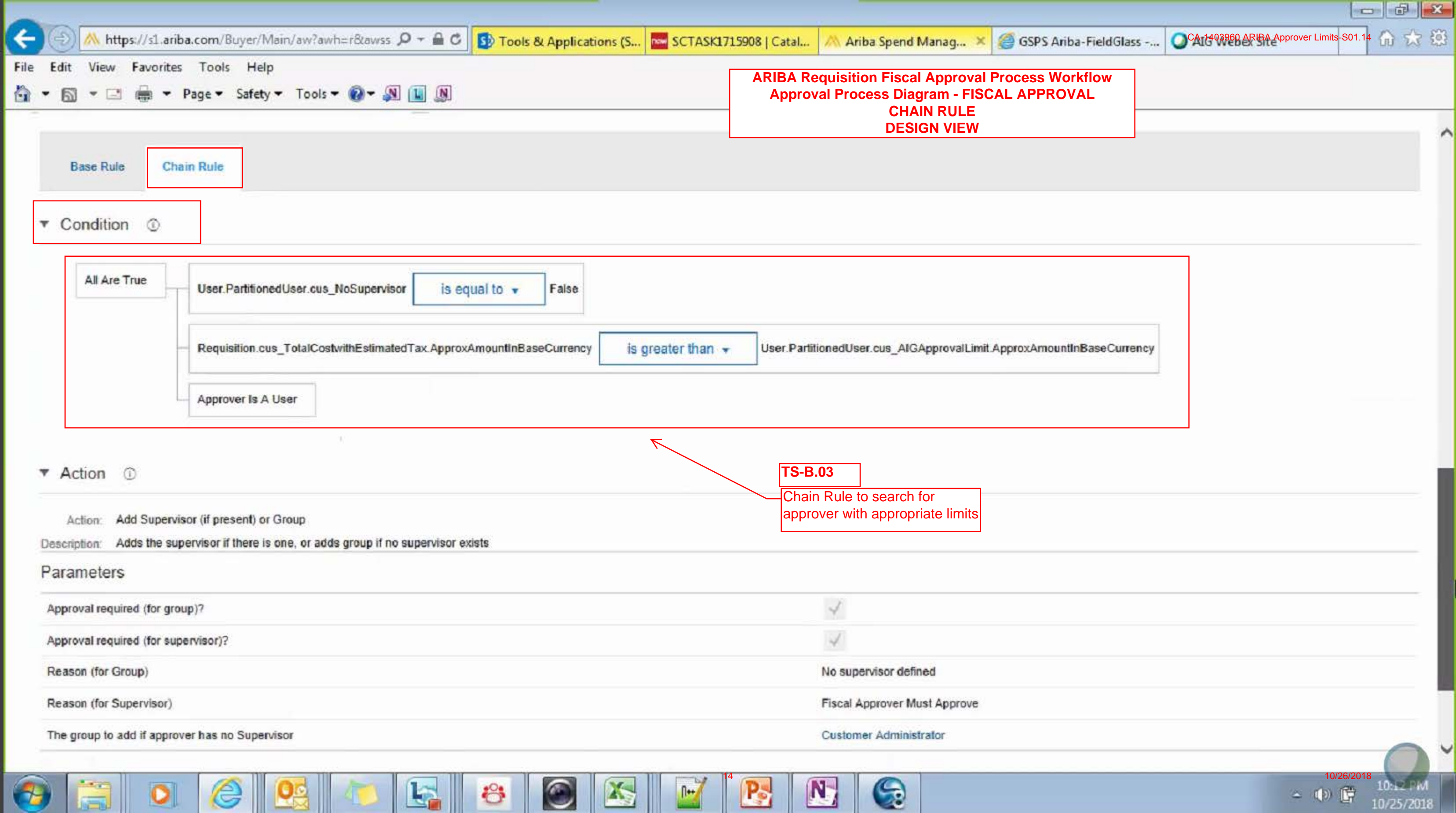
Chain Rule

Condition

Rule on Cost and Unit

Rule on Tax amount

Rule on Requester's Supervisor





Contact



Hoang Vinh Nguyen ▾

About Karen Ann Nones Lope

About Me

Name: **Karen Ann Nones Lope**

Business Title: Administrative Asst Sr

Department : -

Line of Business: -

Office Address: **Industry Street, Madrigal
Business Park, Muntinlupa
City, National Capital Region,
PHILIPPINES, 1780**

Floor: **06**

Additional Contact Information: -

Assistant(s) Details: -

Alternate Contact(s) Details: -

Manager: [Romeo Briones Luciano](#);

Company/Branch/Department - - - - -

(charge code):

Shell Code: 31530001

Region: Asia Pacific

Administrative Asst Sr

-

Email karenann.nones-lope@aig.com

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- ↑ [George Middleton Williams](#)
- ↑ [Joseph Gerard Puleo](#)
- ↑ [Mark Lwin](#)
- ↑ [Saikat Ghoshal](#)
- ↑ [Paul Julius Manozca Arca](#)
- ↑ [Romeo Briones Luciano](#)
Karen Ann Nones Lope

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Contact



people

Hoang Vinh Nguyen ▾

About Katherine Anne Lara Cudal

About Me

Name: **Katherine Anne Lara Cudal**

Business Title: **Manager, Events Planning and Promotions**

Department : -

Line of Business: -

Office Address: **North Bridgeway Avenue,
Muntinlupa City, National
Capital Region, PHILIPPINES,
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Floor: **01**

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Alternate Contact(s) Details: -

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Manager, Events Planning and Promotions

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↑ [Eric Francis Soliman Guevarra](#)

↑ [Guia Denise Dacanay Plata](#)

↑ [Katherine Anne Lara Cudal](#)

[Berroya, Bernard A](#)

Special Projects
Group and chain of
command

Mark Lwin has the
appropriate approval limits to
be the ultimate approver of
Request #AW355869

TS-B.01

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