Mercury IT Governance Center™

Segregation of Duties

Version: 6.0

Executive Summary

This document explains how to configure workflows in Mercury IT Governance Center™ to take into account segregation of duties.

For more information, contact Mercury Support at: support.mercury.com

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Introduction

An important concept in risk management, segregation of duties (SOD) is a fundamental internal control utilized in frameworks such as COSO and COBIT and required by regulatory legislation such as Sarbanes-Oxley, section 404. At the most basic level, SOD means that no single individual should have control over two or more phases of a transaction or operation. Management should assign responsibilities to ensure a cross-check of duties.

SOD ensures that errors or irregularities are prevented or detected on a timely basis by employees in the normal course of business. SOD provides the following benefits:

- A deliberate fraud is more difficult because it requires collusion of two or more persons.
- It is much more likely that innocent errors will be found.

Certain aspects of SOD apply to IT functions themselves, as in the following examples:

- Systems Development staff is not allowed to be involved with live operations. This reduces the chance of subversive, malicious, or erroneous code from being deployed into production.
- Proper control includes segregation of duties over requesting and authorizing access to systems and data.

You can configure workflow steps to take into account segregation of duties, excluding the participants for a workflow step from participating in a different workflow step, as shown in *Figure 1*.

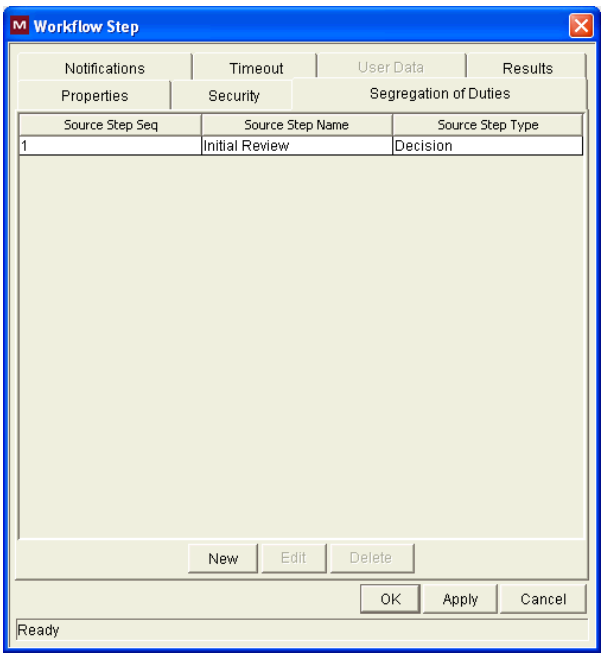


Figure 1. Segregation of Duties tab in the Workflow Step window

Setting Segregation of Duties for Workflow Steps

To set segregation of duties for a workflow step:

1. Log on to Mercury IT Governance Center and open the Workbench.
2. Open a workflow.

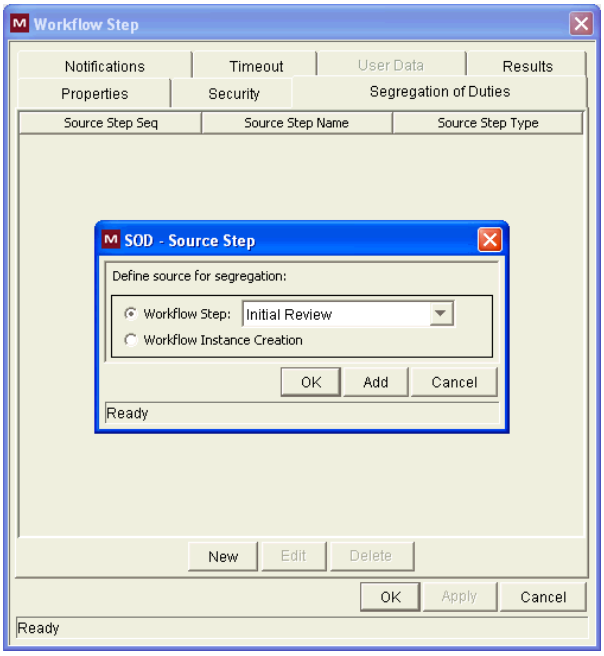
   The Workflow window opens.
3. Right-click a workflow step.

   The workflow step is highlighted. A menu window opens.
4. In the menu window, select **Edit.**

   The Workflow Step window opens.
5. In the Workflow Step window, select the **Segregation of Duties** tab.

   The **Segregation of Duties** tab opens.
6. Click **New.**

   The SOD - Source Step window opens.

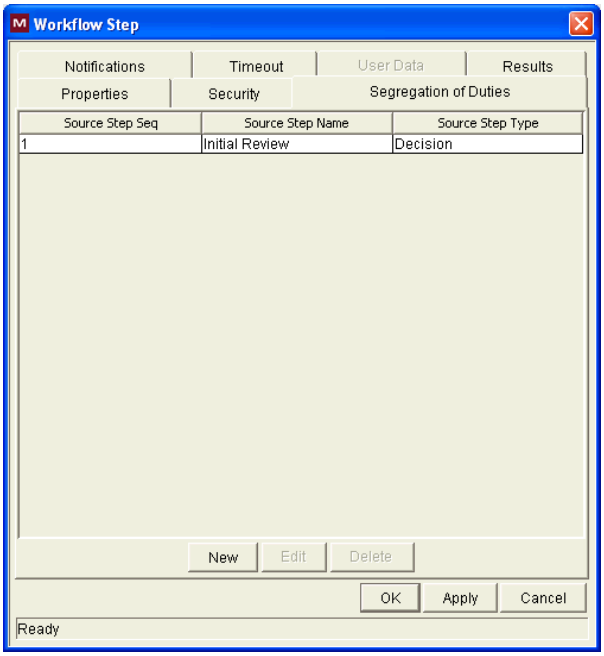


7. Define a segregation source for the current workflow step.

   - To segregate the current step from another workflow step, select the **Workflow Step** option and choose that step from the drop-down list.

   - To segregate the current step from being acted on by the creator of the package, request, or release, select the **Workflow Instance Creation** option.

8. In the SOD - Source Step window, click **OK** to add the segregation source to the **Segregation of Duties** tab.



9. In the Workflow Step window, click **OK.**

   The Workflow Step window closes.

10. In the Workflow window, click **Save.**

    Changes are saved to the workflow.

Note

All users who are able to act on a segregated step will be excluded from acting on the current workflow step.

Related Documents

For more information about workflow configuration, see:

- *Mercury Demand Management: Configuring a Request Resolution System*
- *Mercury Change Management: Configuring a Deployment System*

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