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DEPARTMENT OF FINANCE

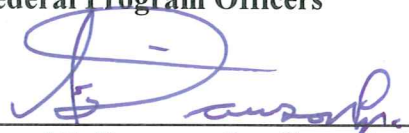
FINANCE MEMORANDUM NO. 14-2013

TO: DEPARTMENT AND AGENCY HEADS

SPECIAL ATTENTION TO:

Time and Attendance Personnel, Directors, Business  
& Administrative Services, Fiscal Officers and  
Federal Program Officers

FROM:

  
Ángel E. Dawson, Jr., Commissioner

DATE: May 15, 2013

RE: SOPP # 420: Information Technology Resource Regulation and Acceptable  
Use Policy

SOPP # 425: Management and Access and Permission to the ERP and  
STATS Systems

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This memorandum transmits Statement of Policies and Procedures (SOPP(s) No. 420 and 425, which addresses information technology managed by the Department of Finance for the Government of the Virgin Islands.

If you have any questions or concern, please do not hesitate to contact Mr. Alvin Williams, Director of MIS at 774-4750 Ext. 2248.

SOPP #420	Prepared by Division Of Finance Management Information Systems Division (MIS)
Effective Date:	May , 2013
Title:	<b>Information Technology Resource Regulation and Acceptable Use Policy</b>
Purpose:	To present a clear understanding of the responsibilities of the end user and to establishment of acceptable behavior, regarding use of the Department of Finance Information Technology resources.
Policies and Procedures:	<p style="text-align: center;"><b><u>ACCEPTABLE USE</u></b></p> <p>By participating in the use of the electronic network and systems provided by Virgin Islands Department of Finance (DOF), users agree to comply with policies governing their usage. These resources include the Enterprise Resource Planning System (ERP), the Standard Automated Time and Attendance System (STATS), the (legacy) Financial Management System (FMS), SharePoint and electronic mail (e-mail) and world wide web (WWW) services. The following comprises the <i>Acceptable Use Policy</i> requirements to be observed while utilizing DOF's Information Technology (IT) Resources:</p> <ol style="list-style-type: none"> <li>1. Users shall use the Department's IT resources for intended purposes only;</li> <li>2. Acceptable use must be legal, ethical, reflect honesty, and show restraint in the consumption of shared resource;</li> <li>3. When logged into any of the DOF IT resources, users shall conduct themselves in a manner that is appropriate and proper as representatives/employees of the Government of the United States Virgin Islands;</li> <li>4. Users shall not use any DOF system to send, receive, view or download any illegal materials or engage in any other illicit act;</li> <li>5. Users shall not download or transmit files larger than 500MB unless absolutely necessary for financial administration and or enforcement purposes; if necessary, users shall download the file at a time when the system usage is low, i.e., generally after standard business hours (weekends, or after 5:00pm weekdays);</li> <li>6. No user has unlimited use of the network infrastructure. Bandwidth is compromised when users frequently traverse (surf) the World Wide Web (WWW), downloading excessively large files, music, video clips, or audio and video streaming. Thus excessive use thereof is prohibited. Live audio or video streaming during peak productivity hours is prohibited, unless it is immediately required, for work-related training, or financial processing administration;</li> <li>7. Any usage of IT resource in which acceptable use is questionable should be avoided. When in doubt, seek policy clarification prior to pursuing the activity;</li> <li>8. DOF reserves the right to revise the <i>Acceptable Use Policy</i> to keep pace with changing and evolving information technology.</li> </ol> <p style="text-align: center;"><b>SYSTEM / INFORMATION INTEGRITY</b></p> <ol style="list-style-type: none"> <li>9. Users should not sabotage the ERP, STATS, FMS or any other IT resources of the Department of Finance;</li> <li>10. Users shall not deliberately attempt to disrupt DOF systems performances or destroy data by any malicious means, including unnecessary interference with equipment, cabling, or files, or by spreading computer viruses, spyware, malware or other software intended to disrupt proper functioning of equipment and peripherals, and IT services;</li> <li>11. No user, under any circumstances should alter, attempt to alter or install any software code, (programs, compiled or un-compiled objects) or reverse engineer any software on any of DOF systems, unless DOF Management Information Systems (MIS) division authorization has been granted;</li> </ol>

12. Use of network utilities for the purpose of gaining network sensitive information from (probing or scanning, phishing, spoofing) DOF IT systems or network is prohibited;
13. Users shall not maliciously populate the ERP, STATS or FMS with any inaccurate and or frivolous data whatsoever. Data entry should be accurate, and reflect proper transaction processing guidelines and SOPPs;
14. Users shall not intentionally disseminate inaccurate financial information to any individual or entity, nor shall users be at liberty to disseminate financial information to any individual or entity, unless appropriate authorization is granted. All requests for financial information to be derived from the ERP, STATS or FMS must adhere to this *Information Technology Resource Regulation* – ‘Services’ section. Any attempt to fraudulently extract and disseminate financial information is strictly prohibited;
15. Users are strictly prohibited from global inquiries on the ERP, STATS, or FMS, that may generate information that is not relevant his/her functional duties. Such information is relevant only to selective others on an as needed basis;
16. Apart from the user’s own employee records, no attempts shall be made to extract any personnel, vendor or other financial records for personal or private use without direct and appropriate authorization;
17. Special access has been (or will be) granted to selective staff in your department to generate reports for retroactive payrolls in order to enable proper reporting, particularly, given conditions of employee separation (through retirement, transfers or resignation/termination) from your department/agency. Departments and agencies staff with privileged access are prohibited from conducting global queries, or applying location codes outside of the respective department/agency. Therefore, the use of queries is limited to the payroll locations codes or G/L equivalent codes when performing reconciliations for your department or agency.

#### SECURITY

18. Users must immediately change all temporary passwords provided by MIS; users must change their password when the system requests it, or at any time the user deems necessary to ensure system security;
19. Users are responsible for the use of their individual account and should take all precautions to safeguard their login information from others;
20. Users shall provide their passwords to no one, under any circumstance; The MIS division may take over a user’s account for troubleshooting purposes only, as it relates to the user’s incident and/or circumstances. At such time, the user will be immediately notified, and a new/temporary password shall be issued to the user to ensure his/her ability to re-login into the system;
21. Unauthorized access to any of the DOF IT resources is strictly prohibited; users shall not attempt to gain excess, or go beyond their authorized, permissions. This includes attempting to log in through another user’s or system’s account or accessing/ attempting to access files without authorization. Unauthorized access is illegal;
22. No attempt shall be made to access any strategic resource (such as transaction processing or reporting from ERP, STATS or FMS) during unscheduled work periods, or outside the standard business day (8:00am to 5:00PM, Monday through Friday), unless authorization has been previously granted and remains in effect;
23. Immediate notification must be given to the supervisor, Finance Commissioner, Personnel Director or other administrator, or the MIS Director, once a user identifies a possible security breach of any sort.

#### PRIVACY AND SAFETY

24. Users shall not use obscene, profane, lewd, vulgar, rude, inflammatory, threatening or disrespectful language on-line;
25. Users shall not post information that, if acted upon, could cause damage or endanger or disrupt normal business operations;
26. Users shall not engage in personal attacks, including prejudicial or discriminatory attacks while

- utilizing DOF IT resources, nor shall they harass other individuals via e-mail, instant messaging, or any other network/communications protocol;
27. Users shall not knowingly or recklessly post false or defamatory information about a person or organization;
  28. Users shall not post personal contact information about any one, for any purpose other than that which is to satisfy DOF systems requirements;
  29. Users shall promptly disclose to a supervisor or other administrator of DOF, MIS division any message they receive that is inappropriate, offensive, or otherwise objectionable;
  30. Users may not use the DOF system to engage in partisan political activities, nor shall they make use of DOF IT resource to conduct personal business activities, unrelated to the mission of the department.

#### E-MAIL & INTERNET USE

Use of e-mail services is a privilege, which imposes certain responsibilities and obligations on users. Transmission of e-mail to locations outside of the agency's local area network may require the use of the Internet for transport. Since the Internet and its tools adhere to open and documented standards and specifications, it is inherently an unsecured network that has no built-in security controls.

Connections to WWW resources are vulnerable, and may expose the workstations, servers and the network to imminent internet threats such as viruses - hoaxes and Trojan horses, spyware and malware. These are malicious software programs that can conveniently attach themselves to workstations and servers to destroy sensitive data.

31. Telnet and File Transfer Protocol (FTP) connections are allowed only to selective servers for specific purposes only; users requiring the use of these protocols must make written requests, will be advised by MIS accordingly; Only secure and authorized file transfers are allowed on the ERP and FMS;
32. Internet services are intended for periodic, active use of e-mail, newsgroups, file transfers, and browsing the World Wide Web. Authorized users may stay connected as long as is necessary for work related purposes only;
33. Internet chat, games and jest-full communications will not be tolerated; DOF's network is intended for government business only;
34. Spamming is not allowed on any DOF IT resource; 'Spamming' is simultaneously sending an annoying or unnecessary message to a large number of people for purposes not relating to the government's financial operations;
35. E-mail communications, if allowed to accumulate on a server, can quickly consume the server's disk space and may cause system problems. Thus, users shall check their e-mail frequently and delete unwanted messages promptly. The e-mail system is set up to automatically retain all incoming messages. All messages may be maintained by DOF indefinitely;
36. Users should use e-mail system only as a transport and not as a repository for storing e-mail messages. E-mails that are required to be filed should be printed or saved electronically outside the e-mail system;
37. The content of anything exchanged (sent and/or received) via e-mail communications must be appropriate and consistent with agency policy, subject to the same restrictions as any other correspondence;
38. Users shall take all reasonable precautions, to prevent the use of their e-mail account by unauthorized individuals;
39. Modifying or attempting to alter e-mail headers will not be tolerated;
40. Employees shall subscribe only to Use Net (NNTP) discussion group and or mail lists that are relevant to their respective tasks; excessive subscriptions to non-relevant discussion groups will not be tolerated.

The Virgin Islands Department of Finance reserves the right to withdraw access to any user for violating the policies as described herein. DOF also reserves the right to update, modify or alter this

policy document as necessary without prior notice.

### **Due Process**

In the event there is an allegation that a user has violated the acceptable use or the provisions of this *Information Technology Resource Regulation policy*, the user will be provided with a written notice of the alleged violation and his/her account privileges may be suspended immediately. The user will be given an opportunity to present an explanation to a *due process* council for a final determination regarding continuing access to the system. Disciplinary actions will be tailored to meet the specific concerns related to the violation and to assist the user in gaining the self-discipline necessary to behave appropriately when dealing with the financial system, and/or the electronic network. Violations of the *Acceptable Use Policy* and the provisions of this regulation may be subject to disciplinary action up to and including immediate suspension of access privileges to the system, or dismissal, depending upon the nature of the violation, and may be subject to legal prosecution. Non-employees violating the *Acceptable Use Policy* and the provisions of this regulation shall have their access privileges immediately suspended and shall be subject to legal action and prosecution. Finance will cooperate fully with local, state and federal officials in any investigation concerning or relating to any illegal activities conducted through the DOF's systems.

System users have no right of privacy regarding materials sent, received or stored in any electronic data systems of Finance. Department officials reserve the right to review workstations and servers at any time to determine if such use meets the criteria set forth by the Department. If routine maintenance and monitoring of the system lead to the discovery that the user has or is violating the *Acceptable Use Policy* and this regulation, an individual search will be conducted. The nature of the search/investigation will be reasonable in keeping with the nature of the alleged misconduct.

Users should be aware that their personal files may be subject to public inspection and copying under the legal statutes.

### **SERVICES PROVIDED**

The Management Information Systems (MIS) division at Finance shall serve as the administrator with oversight of all the Department's IT systems. This division shall be responsible for, among other things, final approval and establishing employee, and other users accounts, setting quotas and retention schedule for disk usage on the system, establishing a policy on software installations, upgrades, systems maintenance and virus protection, and ensuring that processes are in place to satisfy system safety, accessibility, and data integrity, and enforce proper use of the Department's IT resources.

The ERP System provides financial information in the following modules or sub-systems: Budget, General Ledger, Requisitioning, Purchasing, and Accounts Payable, Cash Receipts, Payroll/Human Resources, and Fixed Assets. Ownership/management of system modules are as follows:

➤ Budget Administration	Office of Management and Budget
➤ General Ledger	Department of Finance
➤ Cash Receipts (A/R)	Department of Finance
➤ Purchasing	Department of Property and Procurement
➤ Accounts Payable	Department of Finance
➤ Human Resources	Division of Personnel
➤ Payroll	Department of Finance
➤ Fixed Assets	Finance and Department of Property and Procurement
➤ Grants/Project Management	Office of Management and Budget

Modules/functions not listed above remain under management and administration of the Department

of Finance.

The STATS system is a resource to manage and administer employee time and attendance, and scheduling. The STATS system is centrally managed at the Department of Finance, and departments and agencies are allowed to administer selective system tasks pertaining to their employees for time and attendance reporting and payroll processing,

As the ERP system is designed for distributed processing, departments/agencies are responsible for initial annual budget entry, general ledger accounts reconciliation, requisitioning, accounts payable (A/P) invoice processing, cash receipting, and initialization of personnel actions processing. All non-distributed tasks will be performed by the department/agency with responsibility for that module. Policy and processing for administering most ERP tasks are available on-line at [www.usvifinance.info/html/Use-and-AccessPolicy.html](http://www.usvifinance.info/html/Use-and-AccessPolicy.html).

Reports and Printing Operations: Departments are responsible for the generation of their own reports; where technical support is required, DOF will assist.

Technical Services: Technical tasks necessary for up-keeping and fine-tuning of the system shall be completed at the discretion of MIS Division. So as to minimize interfere with, or minimize impact on, daily operations, MIS will handle all major installations and configurations of the ERP software outside of regular business hours, generally with prior notice. All required end user software installations shall be the responsibility of the department/agency. Technical documentation for end user software installations to support ERP functionality is available on-line, at [www.usvifinance.info/html/Use-and-AccessPolicy.html](http://www.usvifinance.info/html/Use-and-AccessPolicy.html).

Internet and E-Mail: These resources are provided by Bureau of Information Technology (BIT). The Internet provides access to a wide range of information in the form of text, graphics, photographs, video and sound. E-mail will allow account holders to communicate with others within and outside the department. The use of these resources at the Department of Finance is restricted to Finance personnel only.

### **CONTACTING DEPARTMENT OF FINANCE**

As custodians for the ERP system, the Department of Finance can be contacted as follows:

Department of Finance  
2314 Kronprindsens Gade  
Charlotte Amalie  
St. Thomas USVI 00802

Telephone: (340) 774-4750  
Facsimile: (340) 774-4028

Department of Finance  
1008 Estate Diamond,  
Christiansted  
St. Croix USVI 00802

Telephone: (340) 773-1105  
Facsimile: (340) 778-5002

[HTTP://www.usvifinance.info](http://www.usvifinance.info)

Department of Finance Helpdesk can be reached as follows:

Telephone: (340) 774-4750, ext. 2121; Facsimile: (340) 714-9442; E-mail: [helpdesk@dof.gov.vi](mailto:helpdesk@dof.gov.vi)

**Revision History**

Revision #	Date	Description of changes	Requested By
0	2007	Initial Draft	AEW
1	06/2011	Revisions	AEW
2	04/2013	Revisions	AEW
3	04/2013	Edits and Revisions	VOC

SOPP #425	Prepared by Department Of Finance (Finance) and Division of Personnel (Personnel)
Effective Date:	May, 2013
Title:	<b>Management of Access and Permissions to the ERP and STATS Systems</b>
Purpose:	To provide a comprehensive, coordinated, timely, and secure policy for management and administration of access, and control of the Enterprise Resource Planning ( <b>ERP</b> ) system and Standard Automated Time and Attendance System ( <b>STATS</b> ); to ensure that there are no unauthorized access or changes, and that those resources are regulated through standard procedures.
Policies and Procedures:	<p><b>KEY POINT OF CONTACT</b></p> <p>Each Department/Agency Head must identify a supervisory level <b>Key Point Of Contact (KPC)</b> responsible for handling all ERP and STATS system access and permissions, including menus, functions, data permissions, and workflows/approval authorizations. The following information for each key point of contact must be submitted to the Commissioner of Finance, (Finance), for access to Financials and Payroll, or to the Director of Personnel, (Personnel), for access to the Human Resources (HR) Module:</p> <p><i>Department/Agency, First, Last Name, Position Title, and Employee Identification Number , Phone, Fax, and Government email address.</i></p> <p>KPC information must be submitted on form <b>DOF-ERP-SEC-100</b>, the <b>Key Point of Contact Information Form</b> (see appendix). The original form bearing authorizing signatures must be provided to Finance.</p> <p>The Department/ Agency must immediately appoint a replacement upon separation of the Key Point of Contact, and submit updated form <b>DOF-ERP-SEC-100</b> to the Department of Finance.</p> <p>Each department/agency must maintain separate written procedures to ensure that employees channel their access or permission-related issues through their KPC to resolve issues, rather than directly contacting the MIS Divisions at the Finance or Personnel, unless the KPC determines that direct contact is necessary.</p> <p>MIS Directors at Finance and Personnel must each appoint an employee responsible for handling the security duties within the department. Finance and Personnel have identified KPCs to resolve personnel- or payroll-related access-and-permission issues for financial, payroll and/or HR as follows:</p> <p style="text-align: center;"><u>Department of Finance Key Point of Contact</u></p> <p style="text-align: center;">Shona Clarke Data Processing Management Assistant (340) 774-4750 DOF-MIS Helpdesk – ext. 2121); <a href="mailto:helpdesk@dof.gov.vi">helpdesk@dof.gov.vi</a></p> <p style="text-align: center;"><u>Division of Personnel Key Point of Contact</u></p> <p style="text-align: center;">Kenneth Belle, MIS Administrator (340) 774-8588 DOP-MIS Helpdesk – (340) 714-5049; <a href="mailto:helpdesk@dopusvi.org">helpdesk@dopusvi.org</a></p>



The KPC for the each department/agency, including Finance and Personnel must:

Maintain a listing of Department/Agency employees with access to modules within the ERP System.

Communicate in writing to their employees, that: exchange of ERP or STATS user ID's and passwords are not allowed; security breaches of the ERP and STATS systems will not be acceptable and may result in immediate disciplinary actions or termination.

Notify the MIS Director in Finance in the event that the Department/Agency becomes aware of any breach in security related to the ERP or STATS systems. Also, the MIS Director in Personnel must be notified if the security beach is related to the ERP H/R Module.

#### ACCESS TO THE ERP/STATS SYSTEMS

All access to the ERP Systems must be requested by written correspondence to the Commissioner of Finance (Commissioner), through the department's KPC. All employees are entitled to access to the STATS system to monitor their electronic time cards. Requests for ERP and STATS access (for timekeeping maintenance and administration) must include the user's first name, middle initial (if available), and complete last name, the user's division, telephone number (and extension), position title and the name of the supervisor, and KPC. The request form must be signed by the employee, supervisor, KPC and department/agency head.

For access to the ERP human resources module, a copy of the written request must be forwarded to the Director of Personnel at the same time the request is being made to DOF.

Access for a new user of ERP (including any employee for ERP approvals who do not have a current ERP user ID), is granted via use of the **Request/Validation For Access/Permissions to the ERP System form (DOF-ERP-SEC-105)**.

Form **DOF-STATS-SEC-300** is the standard form for new employees, terminated employees, transferred employees and retiring employees. Enrollment and resignations on the STATS system will occur after the personnel action has been approved.

Access to STATS is available to all employees, to view and/or monitor their own electronic time cards. When an employee is being transferred, (within a division, a department/agency, or to a new department/agency), and the employee is being assigned a new supervisor and/or punch clock, the **STATS Request for Changes to Employee Data Form (DOF-STATS-SEC-300)** is required to update the employee's STATS record. The request must contain the employee's full name, title, destination division/department/location name and code, the supervisor's name, and all other required changes for the respective employee. Upon receipt of the written request all updates will be applied to the employee's STATS record with three business days.

Access to STATS for supervisory purposes, time and attendance approvals, and time keeping administration is granted via the use of form **(DOF-STATS-SEC-300)**.

Access for ERP Approval authorization is granted via use of the **ERP System Authorization for Approvals form (DOF-ERP-SEC-205)**.

Access and authorizations forms for ERP and STATS processing operations are summarized as follows:

Access Authorization	Form Description	Form Label
ERP Users <sup>1</sup>	Request/Validation For Access/Permissions to the ERP System	DOF-ERP-SEC-105
ERP Approvers	ERP System Authorization for Approvals	DOF-ERP-SEC-205
STATS Users <sup>2</sup>	STATS Request for Changes to Employee Data	DOF-STATS-SEC-300

<sup>1</sup> New, existing and approvers

<sup>2</sup> New, existing, time-keeping managers and approvers

Departments and agencies must inform the Commissioner of Finance in the event that an employee with financial, personnel and/or payroll system access changes position or is terminated. Forms must be sent to Finance at the same time a Personnel Action (PA) transaction is initiated in the HR Module, indicating that the employee's position has changed or the employee has been terminated.

The Commissioner of Finance reserves the right to withhold, suspend or deny access to the ERP and STATS (for timekeeping administration and maintenance) systems to any user. The director of Personnel also reserves the right to suspend, or deny access to any user of the Human Resource Module. Also, upon the recommendation of the MIS Directors (Finance and Personnel), a user's access may be denied or revoked, without notice, to these resources.

Because the ERP and STATS are resources that reside at the Department of Finance, all connections thereto utilize the department's Local Area Network (LAN). Therefore, Finance reserves the right to exercise disciplinary action for improper use of its resources.

Any session that remains inactive for more than sixty (60) minutes will be terminated automatically. Users must logout immediately when departing their workstations for extended periods; unattended sessions may be accessed by others. Therefore users should lock their workstations in order to avoid unauthorized use of their active login sessions.

Unacceptable use and regulations for DOF's information technology resources are outlined under SOPP#420, Acceptable Use and Information Technology Resource Regulations.

#### USER AUTHORIZATIONS AND PERMISSIONS

Each department/agency must indicate the type of access and permission(s) to the ERP and STATS for each Department/Agency employee requiring access.

Access/permission level for an ERP new user (including employees for ERP approvals who do not have a current ERP user ID), is granted via the use of the - form **Request/Validation For Access/Permissions to the ERP System (DOF-ERP-SEC-105)**.

Access for ERP approval authorization, is granted via the use of the **ERP System Authorization for Approvals form (DOF-ERP-SEC-205)**.

Access to STATS for supervisory purposes, time and attendance approvals, and time keeping administration is granted via the use of form **STATS Request for Changes to Employee Data (DOF-STATS-SEC-300)**

Payroll/Human Resources access and permissions must be referenced by the **Table of Human Resources/Payroll Access and Permissions USVI ERP System**.

For current users whose access have not been modified for more than one year, each department/agency must validate employee's access status, via an updated copy of form **Request/Validation For Access/Permissions to the ERP System (DOF-ERP-SEC-105)**, or by a substitute document confirming discussion(s) and review of employee's status signed by department/agency KPC and DOF's KPC, to ensure user access is up-to-date. Where H/R access is applicable, a copy of form DOF must be forwarded to Personnel at the same time the original form is being transmitted to Finance.

All **Request/Validation For Access/Permissions to the ERP System** forms must be for an individual employee; access and authorizations will not be approved for position titles.

All requests shall include a written statement (included on form **DOF-ERP-SEC-105**) to be signed by each employee, stating that the employee will maintain the security of their access code and will not

share the code or password with any other employee, and will not misuse his/her access to the system, as outlined in SOPP#420, Acceptable Use and Information Technology Resource Regulations.

All requests forms must be assigned to one employee only; each employee will be issued a unique user/login-id; it is not permissible for more than one employee to use or share the same user code (user /login-id).

All requests must be signed by the director of the division, the employee, the KPC and the department/agency head before submitting the form to the Department of Finance. When access requests include H/R module, a copy of all requests forms must be sent to the Division of Personnel at the same time the original is being send to Finance.

All requests for consultants or auditors working with the system must be approved by the head of the Department/Agency and must be limited in time and scope to the requirements of the consulting/auditing contract. Such access shall be *read-only*.

In the event that the MIS Director in Finance and/or Personnel has any concerns regarding a request, the MIS Director will contact the KPC at the Department/Agency to resolve the issues within five (5) business days of receiving the request.

In the event that an employee's access to Payroll/HR module does not conform to the Government-wide protocol, (**Table of HR/Payroll Access and Permissions- USVI ERP System**), a justification letter must be submitted, with an explanation to the Commissioner of Finance and MIS Director-Finance (for Payroll), and Director of Personnel and MIS Director-Personnel (for HR) before special access is granted. If a special request is granted, it will be processed within the same timeframe as a regular request.

MIS Director-Personnel will approve all Request/Validation for Access/Permissions for personnel-related records, and MIS Director-Finance will approve all financial- and payroll-related records, before the request is keyed into the system(s).

If information on the form must be changed during the approval process, an email from the KPC will be sufficient documentation for a downgrade. If the information received results in an upgrade, a revised form must be issued, signed and re-submitted. If there are no issues, the request will be approved and entered into the system(s) within five (5) business days.

When an approved request is submitted, the security person must enter the access and permissions into the system as designated on the approval form. MIS personnel are not permitted to change any access or permissions without further written approval signed by the Head of the employee's Department/Agency.

Access and authorization forms and table of HR/Payroll access and permissions are available online at <http://www.usvifinance.info/html/forms.html>.

#### APPROVALS AND SIGNATURES OF AUTHORIZATION

Electronic signature images are included on all purchase orders (POs) and personnel actions (PAs) that are printed directly from the ERP System.

Purchase orders are signed by the commissioner of Property and Procurement, and the department/agency head.

Personnel actions are signed by the Governor, the director of the Division of Personnel, the department/agency head and the certifying officer.

Authorized and current signatures for Department/Agency Heads and Certifying Officers must be affixed appropriately on the signature forms and must be submitted to the Department of Finance for

further processing. When there is a change of department/agency head or certifying officer, signature forms must be updated and sent to the Department of Finance promptly.

The required ERP signature forms – **Tyler Forms Output Management Electronic Signature Sheets** – are:

- **Signature Sheet for USVI NOPA Forms**
- **Signature Sheet for USVI PURCHASE ORDER Forms**

Signature forms are available at the Department of Finance, Commissioner's office and on-line, at [www.usvifinance.info/html/forms.html](http://www.usvifinance.info/html/forms.html).

Signature forms must be returned to the Department of Finance, MIS Division for processing; forms are processed within five (5) business days.

ERP transaction approvals are maintained within the system. Transactions that are inputted into the ERP system are approved electronically. The Department of Finance recommends that at least two (2) approvers are included at each level, to avoid delay in the approval process.

In addition to department/agency approval, each of the central services agencies (OMB, P&P, DOP and DOF) have internal processes that require one or more approvals before a transaction can be considered fully approved.

STATS electronic time cards are approved by a first level supervisor/manager, the director of the division and the department/agency head. The Department of Finance recommends that at least two (2) approvers are included at each level, to avoid delays in the processing of bi-weekly payrolls.

#### USER/LOGIN IDENTIFICATIONS (UID) AND PASSWORDS

Each user is issued a user identification (UID) and password. The UID will comprise of no less than six (6) characters. Passwords shall be limited to no less than 8 characters, i.e., letters (uppercase and /or lowercase), digits, and symbols. General guide to secure passwords are as follows:

- Your UID and password should be kept confidential;
- Your password should be kept secret;
- Do not provide your password to anyone, for any reason; issuance of password to another employee is a violation of the Department of Finance's policy;
- For optimum security, you should not write down your password in a public or conspicuous location;
- If you elect to write down your login information, it is urged to do so in a safe and private place that is only known to the user. Do not post it on your computer or anywhere around your desk; do not include the name of the system or the UID associated with the password; any written note must be kept in a private place;
- You should not write down your password and user/login-id together on the same piece of paper;
- Passwords must be changed at least once, within every calendar quarter; passwords will expire at the end of a 13-week period;
- The use of strong passwords is encouraged; weak passwords are discouraged; the system will not authorize the use of weak passwords. (Weak passwords are in the form of a word, all-alpha string, a number, or all-digits). Strong passwords comprise the following:
  - a minimum of 1 alpha;
  - a minimum of 1 other character;
  - a minimum of 1 numeric.
- Recommendations for strong passwords are as follows:
  - Use at least two numbers within the first six characters;
  - Use uppercase and lowercase letters;
  - Use at least one special character/symbol; eg: @, &, \*, etc.;
  - Choose long passwords, at least 8 characters in length;
  - Do not use common dictionary words, names, and birthdays, proper nouns, strings of numbers or letters or your User ID;

- Favorite sayings, quotations or idioms can be used by skillfully stringing the letters, and including numbers and symbols as needed;
- After three (3) failed login attempts, your user account will be locked out.

If your user name and/or password is compromised, it is recommended that you contact your department's Key Point of Contact first to assist in navigating through the Department of Finance's MIS Division Helpdesk. Otherwise call Finance's MIS Helpdesk immediately for assistance. All requests for user login and password assistance must first be directed through your department's Key Point of Contact before coming to Finance.

#### REVIEW AND VALIDATION:

The MIS Directors in Personnel and Finance will conduct an annual review of access and permissions, and will update all access and permission records as necessary. In the event that MIS Division determines an inconsistency is present, the MIS Director will notify the Department/Agency to determine the best means of resolution.

The MIS Directors in Personnel and Finance will make available to the Commissioner of Finance, Director of Personnel, as well as other authorized requesters all records related to access for the purpose of audit and review when requested.

Permission documents must be retained for a minimum of seven (7) years from the date of approval.

#### CONTACTING DEPARTMENT OF FINANCE

As custodians for the ERP system, the Department of Finance can be contacted as follows:

Department of Finance  
2314 Kronprindsens Gade  
Charlotte Amalie  
St. Thomas USVI 00802

Department of Finance  
1008 Estate Diamond,  
Christiansted  
St. Croix USVI 00802

Telephone: (340) 774-4750  
Facsimile: (340) 774-4028

Telephone: (340) 773-1105  
Facsimile: (340) 778-5002

[HTTP://www.usvifinance.info](http://www.usvifinance.info)

Department of Finance Helpdesk can be reached as follows:

Telephone: (340) 774-4750, ext. 2121; Facsimile: (340) 714-9442; E-mail: [helpdesk@dof.gov.vi](mailto:helpdesk@dof.gov.vi)

**Revision History**

Revision #	Date	Description of changes	Requested By
0	2007	Initial Draft	AEW
1	06/2011	Revisions	AEW
2	04/2013	Edits and Revisions	VOC
3	04/2013	Revisions	AEW

**Mailing Address:**  
2314 Kronprindsens Gade  
Charlotte Amalie, VI 00802

**GOVERNMENT OF THE  
UNITED STATES VIRGIN ISLANDS**



**Street Address:**  
76 Kronprindsens Gade  
Charlotte Amalie, VI 00802

**DEPARTMENT OF FINANCE**

**Key Point of Contact Information**

Each Department/Agency or Government Instrumentality requiring access to the VISION ERP System at the Virgin Islands Department of Finance must authorize a single Key Point of Contact person, who will serve as the security liaison between DOF and the user agency/department/instrumentality. The Key Point of Contact Person is primarily responsible for communicating all user security issues.

**The Department of Finance Key Point of Contact for ERP Security Administration is:**

Shona M. Clarke  
Data Processing Management Assistant  
MIS Division, Department of Finance  
2314 Kronprindsens Gade  
St. Thomas, USVI 00802

Telephone: (340) 774-4750, ext. 2247  
Facsimile: (340) 714-9442  
E-mail: [sclarke@dof.gov.vi](mailto:sclarke@dof.gov.vi)

**Department/Agency Key Point of Contact Information:**

**Key Point of Contact Name:**

**Key Point of Contact Position Title:**

**Key Point of Contact Dept/Agency:**

**Key Point of Contact Office Location:**

**Key Point of Contact Phone Number:**

**Key Point of Contact Fax Number:**

**Key Point of Contact E-Mail Address:**

**Key Point of Contact Employee Number:**

Key Point of Contact (Signature)

Date

Department/Agency Head

Date



DEPARTMENT OF FINANCE

Request /Validation For Access/Permissions to the Vision ERP System

New User

Existing User

NAME OF EMPLOYEE: \_\_\_\_\_ ID #: \_\_\_\_\_  
EMPLOYEE'S DEPARTMENT/AGENCY: \_\_\_\_\_ Dept Loc. Code: \_\_\_\_\_  
EMPLOYEE'S EMAIL ADDRESS: \_\_\_\_\_ Phone: \_\_\_\_\_  
EMPLOYEE'S POSITION TITLE: \_\_\_\_\_ Position Code: \_\_\_\_\_  
KEY POINT OF CONTACT IN DEPT/AGENCY: \_\_\_\_\_ Phone: \_\_\_\_\_

PERMISSIONS/ACCESS REQUESTED:

DOF/DOP/OMP/P&P (Specific Tasks)

AA Adjustment (G/L) Entry

☐ G/L Inquiry

☐ P.O Inquiry

☐ Budget Entry

☐ H/R Reports\*

☐ Requisitions Entry

☐ Cash Receipts

☐ Invoice Entry

☐ Time Entry\*

Other (Specify)

☐ Fixed Assets

☐ NOPA Entry\*

☐ Approver

☐ Grants Management

☐ Payroll Reports\*

(See Form DOF-ERP-SEC-205)

\*LEVEL OF PERMISSION FOR H/R-PAYROLL MODULE:  
(Based on Table of Payroll Access and Permissions)

H/R-Payroll Loc Codes: \_\_\_\_\_

I hereby certify that this employee is required to have access to the GVI VISION ERP Systems in order to perform his/her position responsibilities, and that I am responsible for supervision the use of this permission. ☐

I hereby certify that this employee is no longer required to have access to the GVI VISION ERP Systems ☐

\_\_\_\_\_  
SUPERVISOR

Date: \_\_\_\_\_

I hereby certify that I have reviewed the above which subscribes to the Department of Finance ERP User Access Policy

\_\_\_\_\_  
KEY POINT OF CONTACT

Date: \_\_\_\_\_

I hereby certify that I am required to have access to the GVI VISION ERP System as indicated and that I will maintain security of my access and will not permit anyone to use my user code or my password. Further, I will not misuse this access to obtain information that I should not obtain, nor will I misuse this access in any manner.

\_\_\_\_\_  
EMPLOYEE

Date: \_\_\_\_\_

Approvals:

\_\_\_\_\_  
AGENCY DIRECTOR

Date: \_\_\_\_\_

For DOF internal use only:

I have reviewed this request and have determined that it complies

\_\_\_\_\_  
MIS VALIDATION

Date: \_\_\_\_\_

\_\_\_\_\_  
MIS DIRECTOR

Date: \_\_\_\_\_

I have entered request into the system per official policy

\_\_\_\_\_  
MIS SECURITY ADMINISTRATOR

Date: \_\_\_\_\_



**TABLE OF PAYROLL ACCESS AND PERMISSIONS – U.S. V.I. MUNIS PAYROLL SYSTEM**

#	Position Classifications	Menu Access	Access to Modules	General Requirements	Location Access	Deduction Type Maint.	Location Type Maint.	Org Maint.	Pay Type Maint.	Applicant Status Maint.	Application Req. # Maint.	Time & Attendance	Payroll Run Procedures	Category Access
1	Governor	Yes	Payroll Personnel	Inquiry Only	All	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
2	Finance - Commissioner	Yes	Payroll Personnel	Inquiry Only	All	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
3	Finance – Asst/Deputy Commissioners	Yes	Payroll Personnel	Inquiry Only	All	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
4	Finance – Payroll Director	Yes	Payroll	Inquiry Only	All	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	Full Access	Inquiry Only
5	Finance – Central Payroll Employees	Yes	Payroll	Inquiry Only	All	Full Access	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	Full Access	Inquiry Only
6	Finance – Timekeepers/Approvers	Yes	Payroll	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	Limited (reports)	Inquiry Only
7	Finance – MIS Director/Security	Yes	Payroll	Update/Delete	All	Full Access	Full Access	Full Access	Full Access	Inquiry Only	Inquiry Only	Full Access	Full Access	Update/Delete
8	Personnel – Director	Yes	Payroll Personnel	Inquiry Only	All	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
9	Personnel - Employees	Yes	Personnel	Inquiry Only	All	Full Access	Full Access	Full Access	Full Access	Full Access	Full Access	Inquiry Only	No Access	Inquiry Only
10	Personnel – Timekeepers/Approvers	Yes	Payroll	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	Limited (reports)	Inquiry Only
11	Personnel – MIS Director/Security	Yes	Personnel	Update/Delete	All	Full Access	Full Access	Full Access	Full Access	Full Access	Full Access	Inquiry Only	Inquiry Only	Update/Delete
12	OMB – All Staff	Yes	Payroll Personnel	Inquiry Only	All	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
13	Agency – Commissioners	Yes	Personnel	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
14	Agency – Directors	Yes	Personnel	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	No Access	Inquiry Only
15	Agency - Human Resources	Yes	Personnel	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	No Access	Inquiry Only
16	Agency – Fiscal Administrators	Yes	Payroll	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	No Access	Inquiry Only
17	Agency - Timekeepers/Approvers	Yes	Payroll	Inquiry Only	Limited	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Inquiry Only	Full Access	Limited (reports)	Inquiry Only
18	Agency – Other Employees	None	No Access	No Access	None	None	None	None	None	None	None	None	None	None
19	Consultant	As req.	As req.	As req.	As req.	As req.	As req.	As req.	As req.	As req.	As req.	As req.	As req.	As req.

EFFECTIVE DATE: \_\_\_\_\_

APPROVED BY COMMISSION OF FINANCE, DIRECTOR OF PERSONNEL.



DEPARTMENT OF FINANCE  
2314 KRONPRINDENS GADE  
ST. THOMAS, V.I. 00802  
TELEPHONE: (340)774-4750  
FAX: (340)776-4028



DEPARTMENT OF FINANCE  
4008 EST. DIAMOND LOT# 7-B  
ST. CROIX, V.I. 00820  
TELEPHONE: (340)773-1105  
FAX: (340)778-5002

## Government of the Virgin Islands ERP System Authorization for Approvals

<b>Approval for (Module):</b>
<b>Approval for Department:</b>

Approval Level	Approver's Name	Title	Criteria for Approving (See Legend Below)

Authorized by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

Legend for Criteria: FU=Fund; FN=Function; I=Island; DP=Department; DV=Division; A=Activity;  
PG=Program/Location; B=Budget Category; PJ=Project

Instructions: Enter the name of the ERP Module (Req, A/R, Payroll, etc)

Enter the Department Name and Number

Approval Level: 1 to 3, 4, n (where 1 is first approver - lowest, and n is highest)

The Criteria will determine exact transactions for which the approver has authority;

eg: if the approver is authorized for all documents at the department level, enter "DP" and the Department Code (DP=3900)

Multiple criteria can be included (DP=xxxx;DV=xxxx;PJ=xxxx)

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DEPARTMENT OF FINANCE

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**STATS Request for Changes to Employee Data Form**

*GVI agencies on STATS must use this form to request employee changes*

Request Date \_\_\_\_\_

Affected Employee Name: \_\_\_\_\_ Affected Employee No. \_\_\_\_\_

*Please check the box for the appropriate action requested and provide details as needed.*

- ☐ Add Employee to STATS. Name of Employee's Supervisor \_\_\_\_\_
- ☐ Enroll Employee at Time Clock; Specific Clock/Employee Location: \_\_\_\_\_
- ☐ Transfer Employee, New Location Code \_\_\_\_\_ Transfer Effective Date: \_\_\_\_\_
- ☐ Terminate Employee on Time Force Termination Effective Date: \_\_\_\_\_
- ☐ Change Employee Classification. Explain Change: \_\_\_\_\_

For Requests Impacting Access, Indicate the Type of Access Required in TimeForce:

- ☐ Non-supervisory Employee Access ☐ Supervisor Level 1 ☐ Supervisor Level 2
- ☐ Supervisor Level 3 ☐ Agency Head ☐ Non-Supervisory PC Puncher ☐ Supervisor PC Puncher
- ☐ Supervisor View Only

If access is being sought for an employee that is a Supervisor as indicated above, please attach a list of the names of all employees whose time cards should be accessed by this Supervisor.

Requester's Name: \_\_\_\_\_ Requester Phone Number: \_\_\_\_\_

Agency Authority's Name: \_\_\_\_\_ Title: \_\_\_\_\_

Authorized Agency Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*For use by the Department of Finance Payroll Department*

Verified: \_\_\_\_\_ Date: \_\_\_\_\_

Request Completed by: \_\_\_\_\_ Date: \_\_\_\_\_

Notes: \_\_\_\_\_



**TylerForms Output Management Electronic Signature Sheet  
Signature Sheet for USVI NOPA Forms**

Site Name: USVI

Department Name: \_\_\_\_\_ (MUST BE PROVIDED)

Department Number: \_\_\_\_\_ (MUST BE PROVIDED)

Printing Application: **Notice of Personnel Action Forms**

Sign your name in **black ink** (not felt tip marker) inside the three appropriate boxes below. Signatures cannot exceed the height and width dimensions of the boxes. **DO NOT sign on the box lines – anything outside of the white space of the inner box will not be readable and therefore will not appear on the check.**

**This sheet MUST be submitted via mail or overnight carrier.  
No fax transmissions or photocopies will be accepted.**

**AGENCY HEAD SIGNATURE**

Sign **INSIDE** all three boxes below.

\_\_\_\_\_  
**PRINTED NAME OF SIGNATURE ABOVE**

\_\_\_\_\_  
**TITLE**

**TITLE TO APPEAR ON NOPA: ☐ YES ☐ NO**

**CERTIFYING SIGNATURE**

Sign **INSIDE** all three boxes below.

\_\_\_\_\_  
**PRINTED NAME OF SIGNATURE ABOVE**

\_\_\_\_\_  
**TITLE**

**TITLE TO APPEAR ON NOPA: ☐ YES ☐ NO**



**TylerForms Output Management Electronic Signature Sheet  
Signature Sheet for USVI PURCHASE ORDER Forms**

Site Name: USVI

Department Name: \_\_\_\_\_(MUST BE PROVIDED)

Department Number: \_\_\_\_\_(MUST BE PROVIDED)

Printing Application: **Purchase Order**

Sign your name in **black ink** (not felt tip marker) inside the three appropriate boxes below. Signatures cannot exceed the height and width dimensions of the boxes. **DO NOT sign on the box lines – anything outside of the white space of the inner box will not be readable and therefore will not appear on the check.**

**This sheet MUST be submitted via mail or overnight carrier.  
No fax transmissions or photocopies will be accepted.**

**DEPARTMENT OR AGENCY CERTIFYING OFFICER SIGNATURE**

Sign **INSIDE** all three boxes below

\_\_\_\_\_  
**PRINTED NAME OF SIGNATURE ABOVE**

*TITLE IS STATIC ON THE PURCHASE ORDERS:* **Department or Agency Certifying Officer**