

| | |
|--------------------------|---|
| SOPP #425 | Prepared by Department Of Finance (Finance) and Division of Personnel (Personnel) |
| Effective Date: | May, 2013 |
| Title: | Management of Access and Permissions to the ERP and STATS Systems |
| Purpose: | To provide a comprehensive, coordinated, timely, and secure policy for management and administration of access, and control of the Enterprise Resource Planning (ERP) system and Standard Automated Time and Attendance System (STATS); to ensure that there are no unauthorized access or changes, and that those resources are regulated through standard procedures. |
| Policies and Procedures: | <p>KEY POINT OF CONTACT</p> <p>Each Department/Agency Head must identify a supervisory level Key Point Of Contact (KPC) 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 DOF-ERP-SEC-100, the Key Point of Contact Information Form (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 DOF-ERP-SEC-100 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;"><i>Shona Clarke Data Processing Management Assistant (340) 774-4750 DOF-MIS Helpdesk – ext. 2121); helpdesk@dof.gov.vi</i></p> <p style="text-align: center;"><u>Division of Personnel Key Point of Contact</u></p> <p style="text-align: center;"><i>Kenneth Belle, MIS Administrator (340) 774-8588 DOP-MIS Helpdesk – (340) 714-5049; helpdesk@dopusvi.org</i></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 ¹ | 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 ² | STATS Request for Changes to Employee Data | DOF-STATS-SEC-300 |

¹ New, existing and approvers

² 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.

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

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 |
| | | | |
| | | | |
| | | | |