

DELEGATED SECURITY ADMINISTRATION AGREEMENT

Agreement between

DEPARTMENT OF PERSONNEL AND ADMINISTRATION
DIVISION OF FINANCE AND PROCURMENT
and

THE DEPARTMENT OF _____

This is an agreement between the State Controller and _____ (print name) acting on behalf of the above named department for delegated security administration related to the use of the State Financial System as defined in the State Controller's Office Statewide Security Policy. In addition, any information contained in the COFRS' Security Administrator Guide, the current or any future edition, is an integral part of this agreement. This agreement is effective on _____ (date). This agreement is effective for the following COFRS agency codes:
_____.

SECTION I - Scope of Delegation

The State Controller may delegate security administration responsibility to department controllers. These agencies must demonstrate the ability to adequately maintain security over the processing of transactions and access of information in the Colorado Financial Reporting System (COFRS).

This delegation may include the ability to inquire, add, modify and/or delete security profiles (update capabilities). In addition, the delegation may include the ability to perform transaction processing, table maintenance, transaction approval and error override. Also, this delegation includes the ability to approve access to COFRS' reports through Document Direct and Financial Data Warehouse.

The agency controller can delegate update capabilities to one other person at the agency. Once the agency controller delegates update capabilities, the agency controller relinquishes the ability to perform updates. If the person with the delegated update capabilities is absent, and the agency needs to perform updates, the agency controller should contact the COFRS Helpdesk to perform updates. The delegated department controller retains full responsibility for updates completed by assigned staff.

The agency controller must not also serve as the agency's top secret administrator. The agency's security administrator, which is usually the agency's controller, and the agency's top secret administrator must be two separate individuals.

The agency controller will follow the security profiles included in the Statewide Security Policy for Access to the State Financial System, including:

- The agency controller cannot approve a change to his/her own security profile. The agency controller must obtain approval from the agency’s FAST representative to change his/her own profile.
- For payment voucher transactions, a single user with multiple profiles cannot have the ability to enter or correct on one profile and approve on a second profile.
- An individual will not be granted access to both Personnel and Payroll functions in the Colorado Personnel and Payroll System without a business case justification that includes established internal controls made to the State Controller.

Delegated security administration for the purposes of this agreement gives the agency controller the responsibility to perform the following security profile functions:

	<u>YES</u>	<u>NO</u>
- Inquiry to Security Profiles	_____	_____
- Add Security Profiles *	_____	_____
- Modify Security Profiles *	_____	_____
- Delete Security Profiles *	_____	_____
- Add individuals to receive reports via INFOPAC	_____	_____
- Add individuals to receive reports via Document Direct	_____	_____

* If the agency controller assigns these functions to another individual in the agency, these boxes should be marked “No” for the agency controller.

Delegated security administration for the purpose of this agreement gives the agency controller the responsibility to assign security to process all transactions and access all tables defined as accessible to agencies in the COFRS’ Security Administrator Guide (Appendix A).

Delegated security administration for the purpose of this agreement gives the agency controller the responsibility to establish who within a department will be allowed to approve transactions. This approval authority will be within the parameters that SCO has established within COFRS. Additionally, the agency controller will have discretion as to who may override transaction errors within the agency. As with approvals, this ability will be limited by the override parameters established by SCO. The approval and override parameters are listed in the COFRS Security Administrator Guide (Appendix C and Appendix D, respectively).

Regardless of the level of delegated authority, in any instance where an agency controller needs to establish security access to the records of another agency not within their defined department, this security profile must be reviewed and approved by the Statewide Security Administrator.

Additional Access Approved Includes: _____

SECTION II - Delegated Responsibility

Based upon the scope of delegation established in Section I above, the agency controller assumes all responsibilities of the State Controller related to his/her delegated tasks. These responsibilities include duties under state statute and state fiscal rules, and any other related law,

rule or regulation. In addition, the agency controller is certifying that he/she has and is maintaining an adequate system of internal accounting and administrative controls over the use of the State Financial System.

The ability to adequately maintain security over access to the computerized financial and management information system is dependent on the agency's internal accounting and administrative control system. Related to COFRS security, this internal system must be a combination of control over physical access to the system and management policies for the use of the system.

In accordance with the State Department Financial Responsibility and Accountability Act, these management policies must ensure that:

- ♦ A plan of organization is in place that specifies adequate segregation of duties to assure proper safeguarding of assets.
- ♦ Restrictions exist to permit access to state assets only by authorized persons in the performance of their assigned duties.
- ♦ Adequate authorization and record keeping procedures are available to provide effective accounting control over state assets, liabilities, revenues and expenditures.
- ♦ Personnel of quality and integrity commensurate with their assigned responsibilities are employed by the agency.
- ♦ An effective process of internal review and adjustment for changes in conditions exist within the agency. This process includes ongoing supervision by management with technical support provided by the chief financial officer and others when necessary.

The delegated security administrator's responsibilities include the following:

- Maintain communication with the Statewide Security Administrator in the State Controller's Office (SCO). Immediately change employee's security profile due to termination of an employee or reclassification of an employee's duties.
- Assist agency management in identifying the correct security profiles for agency personnel.
- Approve all Security Request Forms and correspondence with the SCO relating to security access. When establishing user ID's for a state employee with multiple applications within the state financial system, the same user ID should be used, if practical.
- Ensure that employees who are granted access to selected systems have completed the appropriate Security Request Form and have signed the Statement of Compliance for Computer Usage and Data Security.
- Maintain accurate records of the security profiles for agency personnel.
- Constantly monitor the agency's environment for any changes with require a change to user security profiles. This includes the responsibility to periodically review security authorized under this agreement to ensure profiles are reflective of each employee's current job duties and that profiles support an overall scheme of adequate internal controls.
- Establish internal procedures to assist with granting appropriate security access to the State Financial System. These procedures should include a process to add, change and delete users and may require lower level reviews of security access requests.
- Attend security training.
- Review annually the COFRS SEC01R Report: Security Cross Reference Report - Security Groups by User for his/her department/agency, make all necessary COFRS security changes to reflect the current staffing pattern and security requirements, confirm completion of the review, and submit to the State Controller's Office.

- Review monthly the COFRS SEC04R and 05R Document Security for PV Type I Reports and report any violations and corrective measures taken to the State Controller's Office.
- Ensure that all users comply with the Statewide Security Policy for Access to the State Financial System.

Agencies granted waivers from this policy are required to implement alternate controls to ensure access to the State Financial System is adequately controlled. The State Controller must approve the alternate system of controls.

The State Controller reserves the right to audit the agency's administration of the COFRS security system at any time without prior notification

SECTION III - Remedies

If the State Controller determines that an agency controller is not adequately accepting or administering the responsibilities of this delegated security administration, the controller may void this agreement and assume responsibility for security administration of the agency. This may include reviewing all additions, modifications and deletions to the agency's security profiles, or it may entail actually performing the security table maintenance for all additions, modifications and deletions to the agency's security profiles.

SECTION IV - Signatures

On the indicated date, the following agree to all terms of this agreement:

_____ Signature - Agency Controller	_____ (Print Name)	_____ Date
_____ Signature - Department Executive Director	_____ (Print Name)	_____ Date
_____ SCO Field Accounting Specialist		_____ Date
_____ Statewide Security Administrator		_____ Date