

Office of the State Controller

Statewide Security Policy for

Access to the State Financial System

Policy

It is the policy of the State of Colorado that:

- Access to the State Financial System is granted solely to conduct legitimate business on behalf of the State of Colorado. The State Financial System includes: the Colorado Financial Reporting System (COFRS), Document Direct, the Financial Data Warehouse, Colorado Personnel and Payroll System (CPPS), and Human Resources Data Warehouse.
- Access to the State Financial System is limited to only what the user needs to accomplish his/her job responsibilities.
- Access is permitted under the condition that the user signs and observes the Statement of Compliance for Computer Usage and Data Security. Access may be revoked if the user violates this Statement.
- Access requests are initiated by completing the applicable security request forms approved by the department controller who has knowledge about the users' legitimate need to access/change financial data.
- Each user that is given access to the State Financial System will receive an individual user ID for access to the state financial system.
- The user ID for all new users will be the same as the user ID for Top Secret access. If practicable, all existing users should change their user ID to be the same as their ID for Top Secret access. If the user does not have an ID for Top Secret access, then the user ID should be the same as the user's LAN ID.
- All user ID's with access to the State Financial System require password protection.
- User accounts will remain active until a user's employment relationship either changes or terminates, or the dormancy period is exceeded.
- Each department controller seeking delegation will sign and comply with the Delegated Security Administration Agreement for the Financial System. The FAST will provide security administration for non-delegated controllers.
- Each delegated department controller will attend appropriate security training.
- All users of CPPS will attend training before security access is granted.
- Requests received for information contained in the State Financial System shall be processed according to statewide procedures for handling open records requests.

Policy (Cont)

- Only the State Controller can grant exceptions to the five standard security profiles included in Action Code Assignment Configurations in the COFRS Security Manual.
- Only the Statewide Security Administrator can grant multi-department access.
- The State Controller, the authorized delegate, the Statewide Security Administrator, or the authorized delegate may terminate any user's access at any time for any reason if determined to be in the best interests of the State.
- The State Controller may approve exemptions or waivers from this policy.

Delegation

The State Controller may delegate agency security responsibilities to the department controller, who cannot further delegate security responsibilities. Actual data entry ability on COFRS or CPPS may be assigned to someone who reports to the department controller. CPPS data entry ability may be assigned to an employee in the department's HR Office by the department controller or HR director.

The department controller or HR director, as applicable, retains responsibility for the accuracy of input. If data entry ability is assigned to staff, the department controller or HR director must relinquish their data entry ability. Only one person per agency may have data entry ability at any point in time.

The State Controller has delegated the role of Statewide Security Administrator to one of the members of the Field Accounting Services Team (FAST).

Security Profiles

The COFRS Security Manual in the Action Code Assignment Configuration section includes five security group action code assignment configurations for transaction entry, transaction approval, table update, table supervision, and inquiry guidelines.

Payment Voucher Transactions - For payment voucher (PV) transactions, the user profile must follow the recommended profiles for transaction entry and approval in the COFRS Security Manual. This means a user cannot have both enter or correct and approve for PV transactions.

A single user with multiple profiles cannot have the ability to enter or correct on one profile and approve on a second profile.

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.

An agency or institution of higher education cannot have a shared generic profile.

The State Controller may grant an exception to the recommended profiles for PV transactions only if both of the following conditions exist:

1. unavoidable need to deviate is necessary (i.e. no staff for segregation of duties)
2. evidence of alternate control procedures are in place separate from the point of entry

For systems interfacing into COFRS, a single user cannot have the ability to enter or correct in the feeder system and approve in COFRS.

Other Transactions - For journal voucher (JV), invoice (IN), Requisition (RQ), purchase order (PO) and EPS transactions, the user profile should follow the recommended profiles for transaction entry and approval in the COFRS Security Manual. Delegated state agency security administrators may, however, allow deviation to these profiles if a demonstrated management need exists and evidence of alternate control procedures exist separate from the point of entry. Delegated state agency administrators should document identified management need and the alternative control and maintain this documentation with their security files.

Due to the relative low risk associated with grant master (GM), project management (PJ), utility copy (UC), expense budget (EB), and revenue budget (RB) transactions, agency security administrators may exercise individual judgment regarding profile assignments. Varying the use of these transactions in an agency and the assignment of other related tables or transactions to the same user may increase the risk in any one transaction. Agency security administrators are authorized to make judgment decisions regarding table access for users in the agency.

Colorado Personnel and Payroll System - For CPPS, predetermined roles include Personnel, Benefits, or Payroll. An individual will not be granted access to both Personnel and Payroll functions without a business case justification that includes established internal controls made to the State Controller.

Special Approval Levels on Transactions

AP (Appropriation) - requires THIRD level approval by agencies and FIFTH level approval by SCO only

CR (Cash Receipt) - requires THIRD level approval by agencies and requires FIFTH level approval by Treasury only

CX (Check Cancellation) - requires FIFTH level approval by SCO only

JA (Journal Adjustment) - requires FIFTH level approval by SCO and Treasury only

MW (Manual Warrants) - requires FIFTH level approval by SCO or

- Payroll (agency ACA) is allowed two people with FIFTH LEVEL approval.
- Dept of Revenue (agencies TAA, TBA, TFA) is also allowed to have two people with FIFTH level approval.
- Colorado Department of Labor and Employment
- Community Colleges

CDOT

PV (Payment Voucher) - employee should either be given: Approval or Enter & Correct.

TA - requires THIRD level approval by agencies and requires FIFTH level approval by SCO only

WR - requires FIFTH level approval by Treasury

Statewide Access

Statewide access or multi-department access is granted on a case by case basis and must be approved by the Statewide Security Administrator.

Security Groups

APP2 - SCO (State Controllers Office only get Change and Delete access; agencies have Add access)

BGTC – SCO (State Controllers Office only)

CAFT – Division of Purchasing only

CLI2 – DPA-Human Resources, Attorney General's Office, SCO, State Purchasing only

DPTS – COFRS Security Administrators only

DVP2 – State Purchasing only – they can delegate to agency

EFTC - SCO (State Controllers Office only)

ETAX - SCO (State Controllers Office only)

HELP – COFRS Helpdesk and COFRS Administrator, COFRS Documentation person

PUR1 – State Purchasing only – they can delegate to agency

PUR2 - State Purchasing only – they can delegate to agency

SCO1 - SCO (State Controllers Office only)

SECA – COFRS Helpdesk only and COFRS Operation Staff

STD - SCO (State Controllers Office only)

SYAD – COFRS Operations only

USER - SCO (State Controllers Office only)

VADM - SCO (State Controllers Office only)

VOFF - SCO (State Controllers Office only)

Procedures and Forms

Before access to the State Financial System can be established, the user must have a state mainframe, or Top Secret, user ID. Please refer to State Controller's website <http://www.colorado.gov/dpa/dfp/sco/> for procedures to obtain Top Secret ID.

For user to obtain access:

1. Complete appropriate security request form:
 - a. For financial access, complete and sign the Security Request Form for COFRS, Financial Data Warehouse, and Document Direct, and obtain the approval of the department controller.
 - b. For payroll/personnel access, complete and sign Security Request Form for CPPS and HR Data Warehouse, and obtain the approval of the department controller/HR director.
2. Read and sign the Statement of Compliance for Computer Usage and Data Security form.
3. Submit completed request form and Statement of Compliance to your agency's security administrator.

For state agency security administrator to be delegated:

1. Contact COFRS.Helpdesk@state.co.us to obtain security administration training.
2. Complete and sign the Delegated Security Administration Agreement and obtain the signatures of the Department Executive Director, Field Accounting Service Team Specialist, and the Statewide Security Administrator.
3. Submit completed Agreement to FAST representative or Statewide Security Administrator.

These forms are located on the State Controller's website: www.colorado.gov/dpa/dfp/sco/.

If a COFRS user is locked out or forgets his/her password, then the user should contact his/her agency's Top Secret Administrator who can re-set the user's password. If the agency's Top Secret Administrator is unavailable, then the user should contact either:

- (1) the DoIT Service Center at 303-239-4357 Option 5, or
- (2) COFRS Helpdesk at COFRSHelpdesk@state.co.us for Financial Data Warehouse or Document Direct. Either DoIT or COFRS Helpdesk will provide the user with a re-set password.

Applicability

This policy applies to all state employees, contract employees and all other individuals granted access to the State Financial System.

Definitions:

State Controller - The State Controller or his/her designee.

Statewide Security Administrator – The state employee on the Field Accounting Services Team (FAST) who is designated by the State Controller to serve this role.

Agency Security Administrator - The person responsible for ensuring access to the State Financial System is adequately controlled and monitored.

User - Any full-time, part-time, temporary, contract person, or independent contractor employed or hired by a state agency that uses the State Financial System.

State Financial System - The Colorado Financial Reporting System (COFRS), Document Direct, the Financial Data Warehouse, CPPS, and HR Data Warehouse.

Authority

CRS 24-30-201, Division of Accounts and Control – Controller

CRS 24-72-203, Public Records Open to Inspection

CRS 2-3-107, State Auditor

CRS 2-3-203(1), Joint Budget Committee

State of Colorado Fiscal Rule 1-3, Access to the State Financial System

State of Colorado Fiscal Rule 1-5, State Financial System Security

System Security and Use, Standard Operating Procedure #8808 issued by the Department of Personnel and Administration, Division of Information Technology.

APPROVED:

Leslie M. Shenefelt
State Controller

DATE: **March 13, 2006 DRAFT**