

Security Administration Agreement concerning Colorado Personnel Payroll System (CPPS) and Human Resources Data Warehouse

The agency controller, agency human resources director, and the State Controller hereby agree to the terms in this agreement related to security administration for the Colorado Personnel and Payroll System (CPPS) and the Human Resources Data Warehouse. These parties further agree that:

1. The agency signing this CPPS security policy and procedures agreement will strictly adhere to the Statewide Security Policy for Access to the State Financial System.
2. Under CRS 24-72-203 (Public records open to inspection), all public records shall be open for inspection by any person at reasonable times, except certain confidential information as provided in CRS 24-72-204 (Allowance or denial of public records), or as otherwise specifically provided by law.
3. Generally, personal information in an employee's personnel record is not open to inspection must not be released outside of compliance with the Open Records Act, other legal limitations, and agency policy.

SECTION I – Internal Control and Security Procedures

The ability to adequately maintain security within CPPS and the HR Data Warehouse is dependent on the agency's internal accounting and administrative control system. This internal system must be a combination of control over physical access to the system and management policies for the use of the system and its data. These internal control procedures must ensure that:

- ♦ A plan of organization is in place that specifies adequate segregation of duties to avoid improper personnel and payroll actions.
- ♦ Restrictions exist to limit access to information only by authorized persons in the performance of their assigned duties.
- ♦ Adequate authorization and record keeping procedures are available to assure integrity of information.
- ♦ Only personnel of quality and integrity commensurate with their assigned responsibilities are allowed access to the data. Users shall be trained prior to receiving security access.
- ♦ Agencies will set up a review process of the Daily Change Register report on Document Direct which shows all changes made to an employees record in CPPS. They will also set up a process to reconcile each payroll processed in CPPS using various reports on Document Direct and/or downloads provided by CPPS.

- ♦ An effective process of internal review and adjustment for changes in conditions exist within the agency. 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. This also includes the termination of duplicate user ID's when they exist. This process also includes ongoing supervision by management with technical support provided by the chief financial officer or HR Director if delegated.
- ♦ The State Controller, 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 agency controller and agency HR director will ensure that the following security procedures are in place:

1. The employee signs the Security Access Authorization Request Form for CPPS and HR Data Warehouse (security request form) available on the State Controller's and the Division of Human Resources websites.
2. The security request form must identify the role of the individual (in terms of job assignment) to receive system access. 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.
3. The agency will route the completed security request form, with written justification for exception requests, to the State Controller for security authorization. Approval by the Agency Controller is required. Approval by the HR Director is optional as defined by the agency's internal controls.
4. Once approved and authorized, Central Payroll sets up security access for the employee.
5. When an employee resigns, transfers, or changes job assignments, the agency controller must revoke system access immediately.

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 and the State Personnel Director reserve the right to review the agency's use of CPPS and HR Data Warehouse systems 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 – Certification and Signatures

By signing this agreement, the agency controller certifies that he/she has and is maintaining an adequate system of internal accounting and administrative controls over the use of CPPS and HR Data Warehouse, and the agency is in compliance state statutes, state fiscal rules, state personnel rules, and any other law, rule or regulation related to the use of CPPS and HR Data Warehouse.

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

_____ Signature - Agency Controller or Other Agency Staff	(Print Name)	_____ Date
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_____ Signature – Agency HR Director	(Print Name)	_____ Date
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_____ State Controller		_____ Date
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