Finance

Security

Security Overview

PeopleSoft security is a combination of three levels: User ID, Permission Lists and Roles. The User ID assigned to an individual is the same as their alias at Cal Poly. The approach at Cal Poly is to have each page access assigned to only one Permission List. The theory being that each permission list is a unique job function and/or need or a unique set of pages. These job functions (permission lists) are then grouped to “build” a role. Permission Lists can be assigned to multiple roles. (Note: For the most part, a permission list at Cal Poly represents a unique set of pages and those same pages will not be in another permission list. However, we break our own rule in on three permission list, COA_Inquire, Config_Inquire, and Security_Inquire as the same pages are used for the update permission list and the inquire permission list). Cal Poly has chosen to separate roles based on Internal Finance Users (in-house) and End Users Customers.

In order for Cal Poly to accommodate its Developer’s we have chose to use Superop as the clone User Id. This User ID is in a “Locked Out” status in the production environment. The access is only valid in a test environment. This function will allow the Developer to access the system at a very high level for various troubleshooting and developing. The spreadsheet below shows the User’s that have been cloned and the associated roles with the User Id.

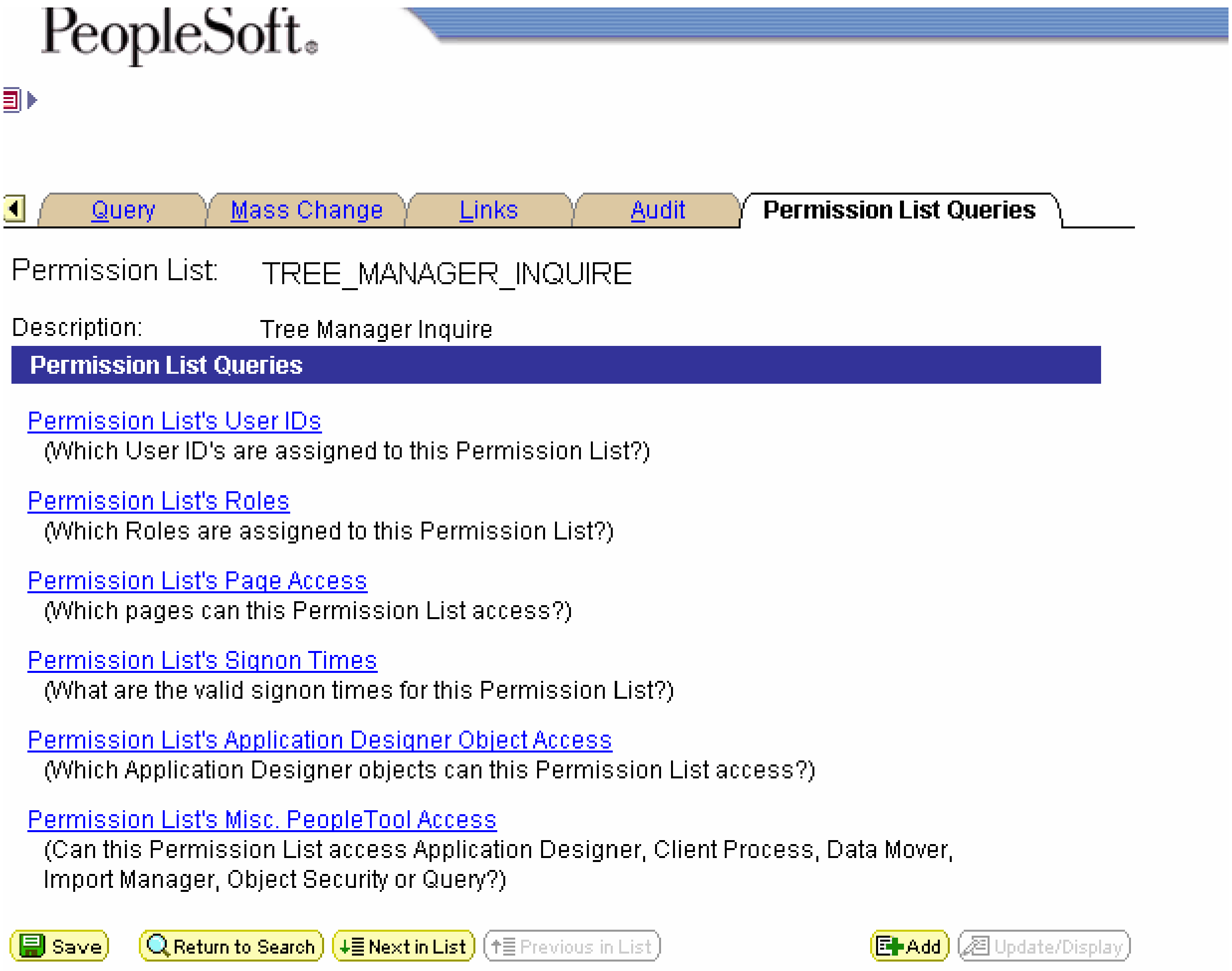
R:\Finance\Auditor\
May_2004_Audit\Dev

A spreadsheet is maintained to show the relationship between the Permission Lists and Roles. This is used to determine the various roles based on job function that the User will inherit. There are supplied queries which will show the same information.

R:\Finance\8.4
Finance\Security\8.4_

Permission List

The permission lists are the building blocks of the end user security. A Permission List contains the following permissions: sign on times, page permissions, and People Tools, including query table access. The Permission Lists are created based on a unique process the user will perform in their job; it is not user specific. A permission list can be assigned to multiple roles. The page access on a permission list can be view with display only, update/display, add, or correction. To audit the different permission lists there are supplied queries from PeopleSoft. The queries appear as hyperlinks on the Permission List page and can be processed by just clicking on the Permission List Queries. Once that page is displayed it will list the various queries that are supplied and click on the query link to process.



A sample of a Permission List query that lists all pages this Permission List has access to, including if it update/display only.

PT_SEC_PLIST_PAGES- Pages the Perm List can Access

Download results in : Excel SpreadSheet CSV Text File (3 kb)

View All First 1-7 of 7 Last

	Menu Name	Bar Name	Bar Item	Panel Item	Authorized Actions	Display
1	TREEMANAGER	USE	TREE_VIEWER_PIA	PSTREEMGRXFER	Update/Display	0
2	TREEMANAGER	USE	TREE_VIEWER_PIA	PSTREEMGR	Update/Display	0
3	TREEMANAGER	USE	TREE_NODE_PIA	PSTREEMGRXFER	Update/Display	1
4	TREEMANAGER	USE	TREE_NODE_PIA	TREE_NODE_PIA	Update/Display	1
5	TREEMANAGER	USE	DEPTNODE	DEPT_NODE_TBL	Update/Display	1
6	TREEMANAGER	USE	TREE_LEVEL_PIA	PSTREEMGRXFER	Update/Display All	1
7	TREEMANAGER	USE	TREE_LEVEL_PIA	TREE_LEVEL_PIA	Update/Display All	1

Roles

Roles are assigned to User Profiles. The roles are created based on job activities. You can assign multiple Roles to a User Profile, and you can assign multiple Permission Lists to a Role. A user's access is determined by the sum of all the permission lists applied to each role to which they belong. Every user will need the role of either In House Signon or EU_Signon. These roles have the information needed to be able to log into PeopleSoft. The queries appear as hyperlinks on the Roles page and can be processed by just clicking on the Roles Queries. Once that page is displayed it will list the various queries that are supplied.

An example of a Role Query listing the Permission Lists which are included in this role:

PT_SEC_ROLE_CLASS- Classes assigned to role.

Download results in : Excel SpreadSheet CSV Text File (1 kb)

View All First 1-1 of 1 Last

	Permission List
1	PAY_CYCLE_PROCESS

User ID

User Profiles define individual PeopleSoft users. User profiles are defined and then linked to one or more Roles. A user profile must be linked to at least one Role in order to be a valid profile.

The queries appear as hyperlinks on the UserId page and can be processed by just clicking on the User ID Queries. Once that page is displayed it will list the various queries that are supplied.


PeopleSoft.

Workflow | Audit | Links | User ID Queries

User ID: CJOHNSTO

Description: Carol Johnston

User ID Specific Queries

User ID's Permission List
(To which Permission Lists does this User ID belong?)

User ID's Roles
(To which Roles does this User ID belong?)

User ID's Page Access
(Which pages can this User ID access?)

User ID's Misc. PeopleTools Access
(Can this User ID access Application Designer, Client Process, Data Mover, Import Manager, Definition Security or Query?)

User ID's Application Designer Object Access
(Which Application Designer objects can this User ID access?)

User ID's Signon Times
(What are the valid signon times for this User ID?)

User ID's Roles, Permission Lists, and Page Access
(What access to Roles, Permission Lists and Pages has been granted for this User ID?)

Save | Return to Search | Add | Update/Display

General | ID | Roles | Workflow | Audit | Links | User ID Queries

An example of a User ID query listing all of the Permission Lists this User has assigned to them:

PT_SEC_USER_PERM_LIST- Users and Permission Lists

Download results in : Excel SpreadSheet CSV Text File (1 kb)

View All First 1-21 of 21 Last

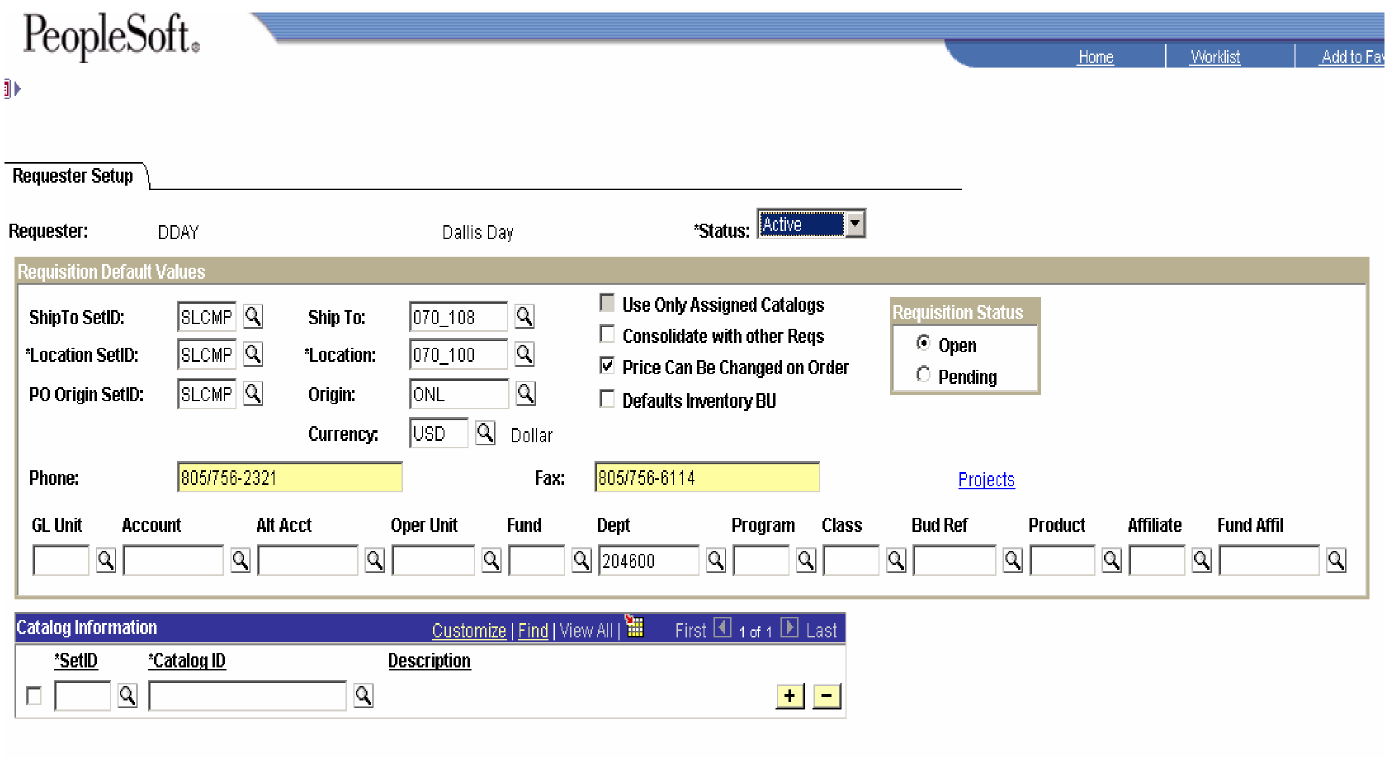
	Permission List
1	AP_INQUIRE
2	AP_PAYMENT_INQUIRE
3	AP_VOUCHER_INQUIRE
4	COA_INQUIRE
5	COMPLETE_QUERY_ACCESS
6	CONFIG_INQUIRE
7	FINDWH
8	GL_INQUIRE
9	GL_JOURNAL_INQUIRE
10	GL_REPORTS
11	NVISION_REPORTING
12	PO_BATCH_PROCESS
13	PO_BUYER
14	PO_CONFIGURATION
15	PO_REPORT
16	PROCUREMENT_INQUIRE
17	RECEIVING_INQUIRE
18	RECON_PROCURMENT_PROCESS
19	SHARED_PL
20	TREE_MANAGER_INQUIRE
21	VENDOR_INQUIRE

Requestor Setup:

This is done only if the User has the authority to enter requisitions. Only established users can be set up as requesters. The UserID entered on the User Profile is the requester ID.

This page contains the following information that will default into the requisition based on the requestor ID:

- Ship to SetID, Location SetID, and PO Origin SetID are always SLCMP
- Ship to: always 070_108
- Location is where the requestor wants their items delivered to
- Origin is always ONL
- Currency always USD
- Phone and Fax numbers are User specific
- Dept is the DeptId the user has defaulting into their requisitions.

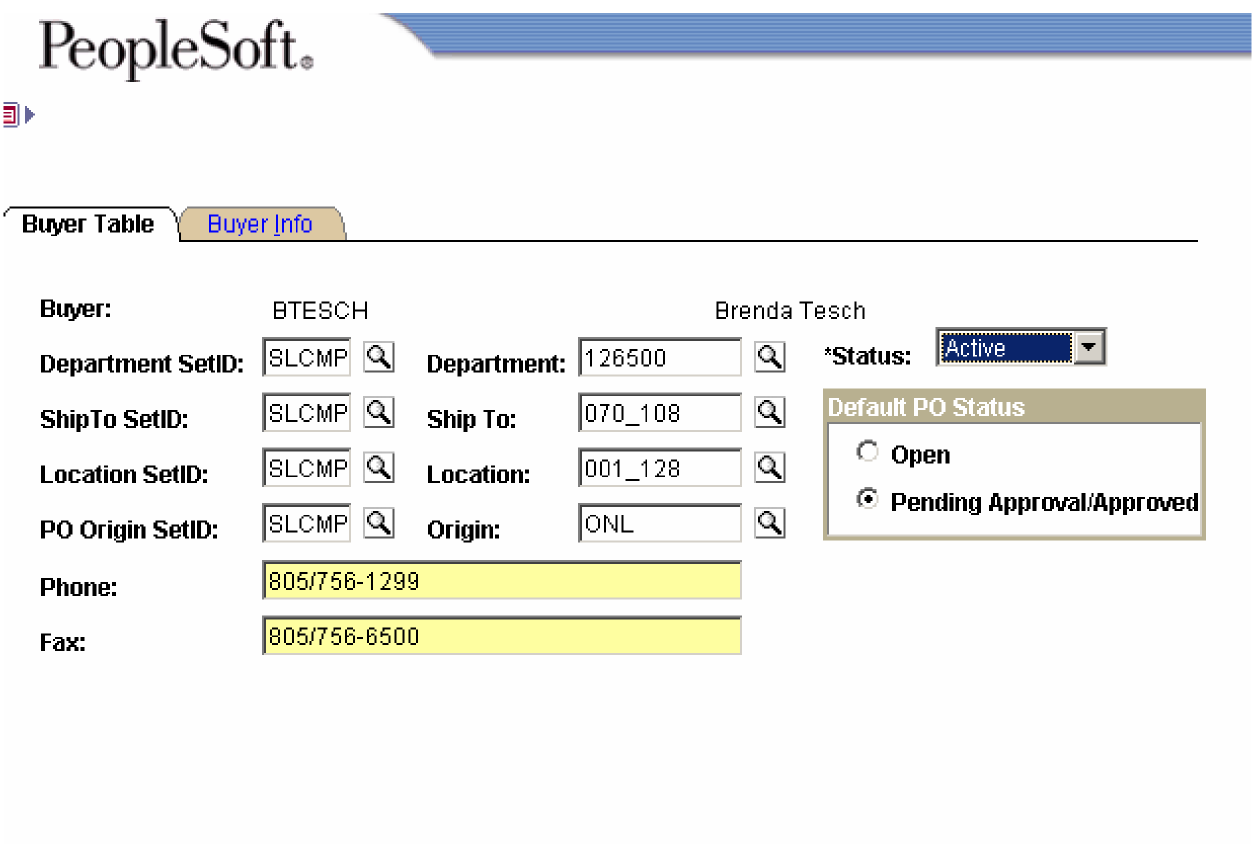


Buyer Setup:

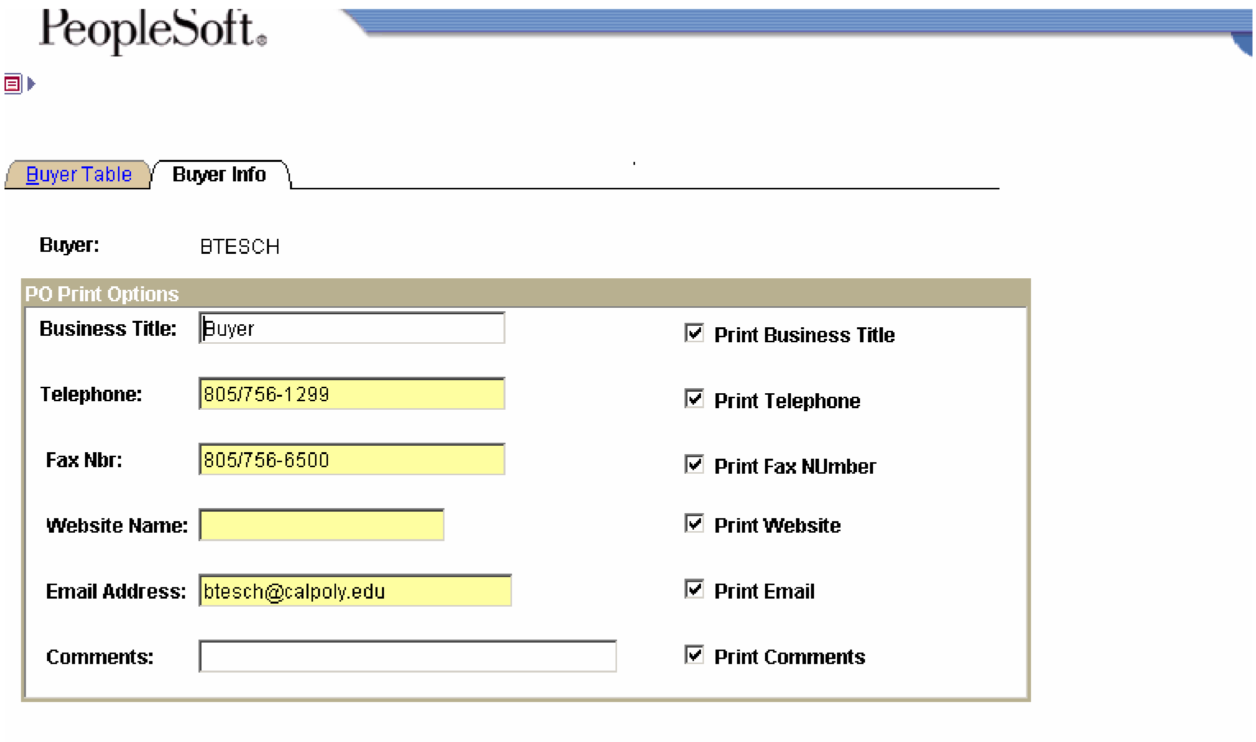
This setup is only done if the User is authorized to be Buyer. Only established users can be setup as buyers. The UserId entered on the User Profile is the Buyer ID. The following is an example of Buyer.

The information needed in for setup on the Buyer Table:

- Department SetID, Ship To SetID, Locations SetID and PO Origin SetID are always SLCMP
- Department is the default DeptId
- Ship To is always 70_108
- Location is the specific Buyer's location
- Origin always ONL
- Status is Active unless the Buyer has left then it becomes Inactive
- Default PO Status is Pending Approval/Approved
- Phone and Fax numbers are Buyer specific.



Buyer Info: The information in this section is Buyer specific. The boxes to right need to be checked so the information will be on the printed Purchase Order.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Buyer Table | Buyer Info

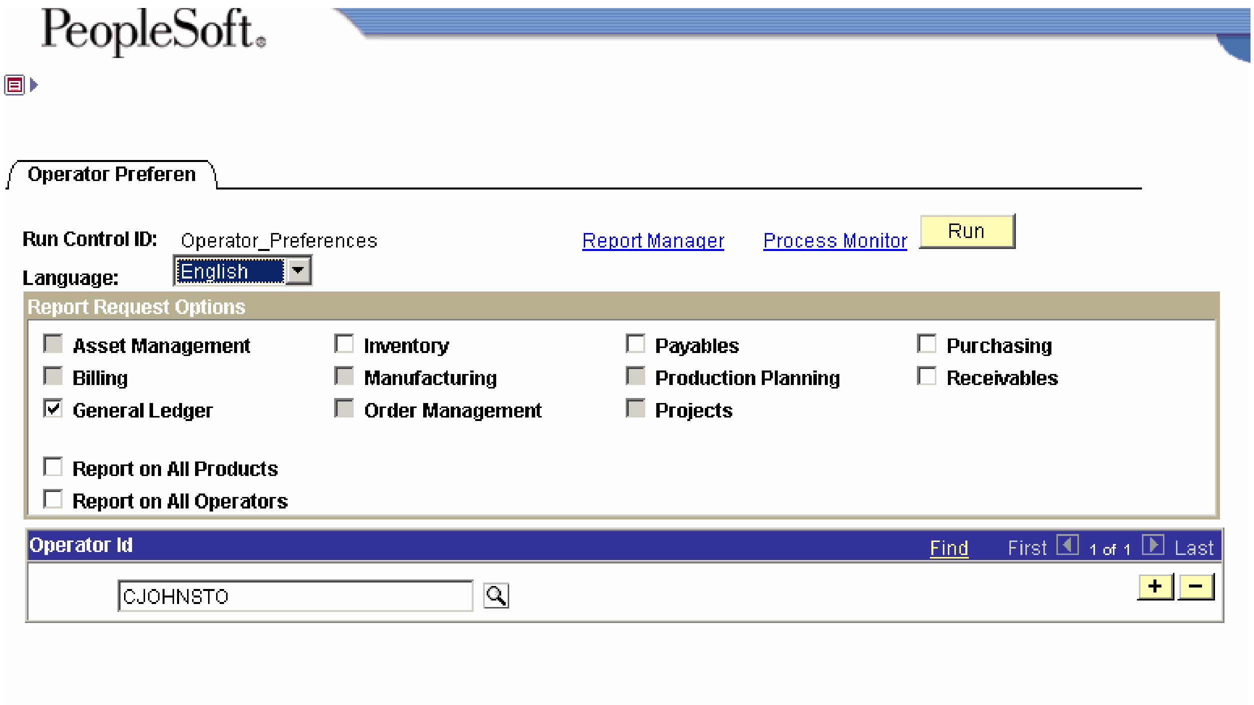
Buyer: BTESCH

PO Print Options

Business Title:	Buyer	☑ Print Business Title
Telephone:	805/756-1299	☑ Print Telephone
Fax Nbr:	805/756-6500	☑ Print Fax NUmber
Website Name:		☑ Print Website
Email Address:	btesch@calpoly.edu	☑ Print Email
Comments:		☑ Print Comments

User Preference:

The User Preference sets various options for a specific user's functions. It is broken down into two different categories: General Preference and Product Preference. There is a PeopleSoft report which reports on the Operator Preferences. The report can be run with several different options, by separate products, by all products, by individual users, a group of users or by all users.



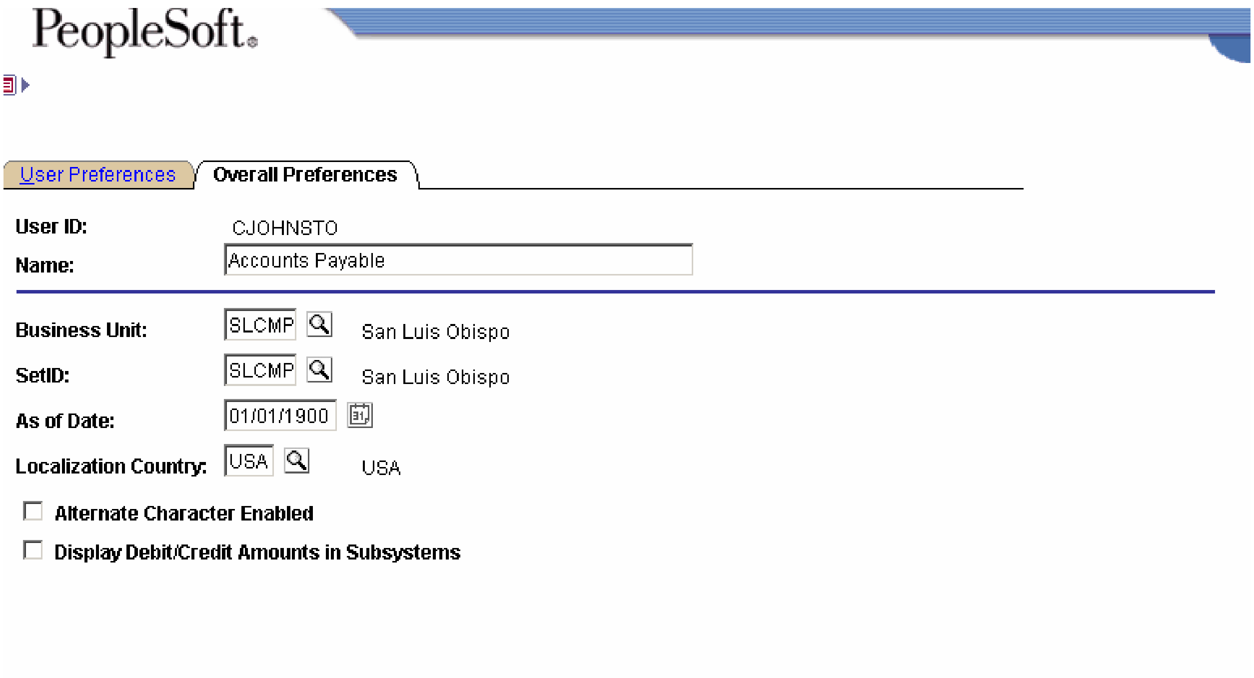
This example shows the report based on General Ledger product only and with only one User.

```
                                                  PeopleSoft Financials
Report ID:  FIN0006                               OPERATOR PREFERENCES                                                      Page No.  1
                                                                                                                            Run Date 04/2
                                                                                                                            Run Time 10:0

Operator ID:  CJOHNSTO              Accounts Payable              Business Unit:  SLCMP                  SetID:  SLCMP
As of Date:  01-JAN-1900            Country:  USA                 Alternate Character Enabled:  N

  General Ledger
  Ledger:  ACTUALS                  Ledger Group:  ACTUALS        Source:  APO

  Journal Entry Options
     Change Date on Correction Journals:  N     Use Next Journal ID:          Y     Change Journals from Journal Generator:  N
  Online Journal Edit Defaults
     Re-Edit Previously Edited:           Y     Mark Journal(s) to post:      Y     Recalc Currency Exchange Rates:          N
  Journal Post Defaults
     Skip Open Item Reconciliation:       N     Skip Summary Ledger Update:   N     Allow GL Entry Event Bypass:             N
  InterUnit Journal Edit Defaults
     Edit Non-Anchor Unit Journal:        N     Skip Entry Event Processing:  N
```

The General Preference section has the overall preference for the user.

It contains the following information:

- Name of the department the user is associated with, the default Business Unit and SetID, and the as-of-date (which is always set at 01/01/1900).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User Preferences | Overall Preferences

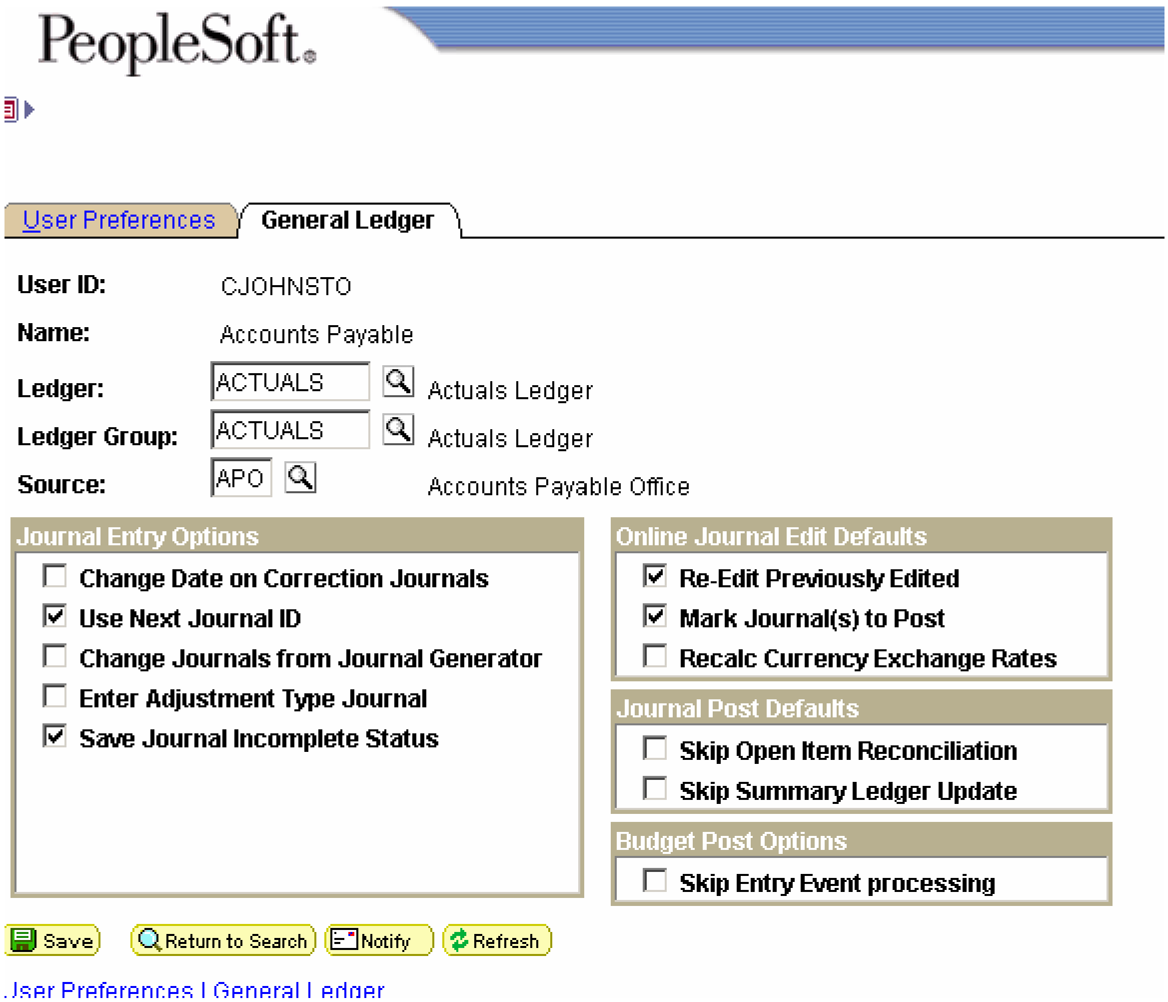
User ID: CJOHNSTO
Name: Accounts Payable

Business Unit: SLCMP San Luis Obispo
SetID: SLCMP San Luis Obispo
As of Date: 01/01/1900
Localization Country: USA USA

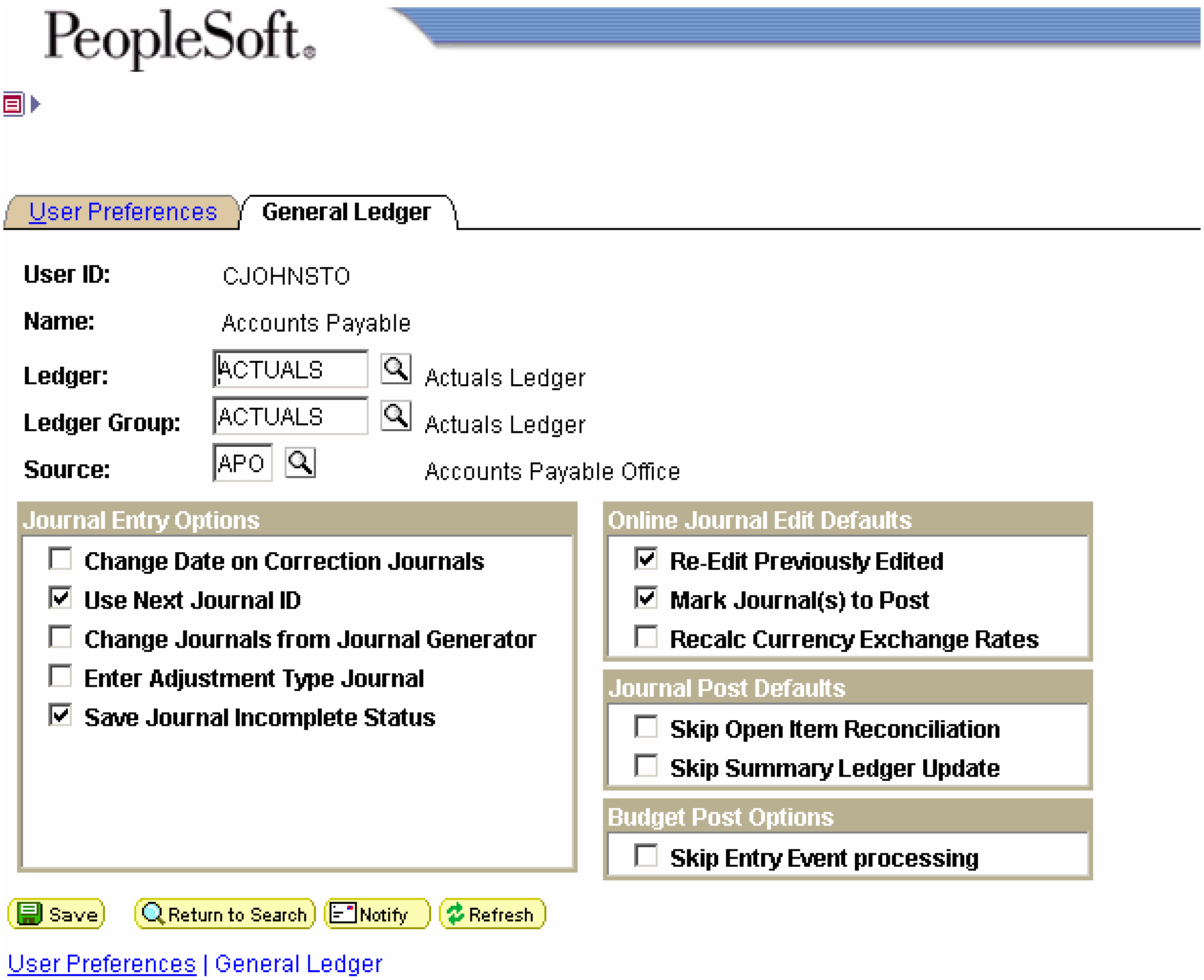
☐ Alternate Character Enabled
☐ Display Debit/Credit Amounts in Subsystems

The Products Preference includes all of the products that are available in PeopleSoft, at the current time we are only using the following products: General Ledger, Paycycle, and Procurement. The preferences are set based on the specific functions this user will be performing.

This is an example of the General Ledger Preferences: This user has the ledger and ledger group default to Actuals, and the Source to APO. This information is based on the department the user is associated with. Using the check boxes on this page determines what security the user has in performing journals. This user can enter journals on line, save the journal as incomplete, re-edit previously edited journals, and mark journals for posting.



Paycycle Preference: This is used to have the server default to the PSUNX server for the process of Paycycle. It does not give the user the ability to perform the Paycycle this is done using roles.


PeopleSoft.

User Preferences | General Ledger

User ID: CJOHNSTO

Name: Accounts Payable

Ledger: ACTUALS Actuals Ledger

Ledger Group: ACTUALS Actuals Ledger

Source: APO Accounts Payable Office

Journal Entry Options

- [ ] Change Date on Correction Journals
- [x] Use Next Journal ID
- [ ] Change Journals from Journal Generator
- [ ] Enter Adjustment Type Journal
- [x] Save Journal Incomplete Status

Online Journal Edit Defaults

- [x] Re-Edit Previously Edited
- [x] Mark Journal(s) to Post
- [ ] Recalc Currency Exchange Rates

Journal Post Defaults

- [ ] Skip Open Item Reconciliation
- [ ] Skip Summary Ledger Update

Budget Post Options

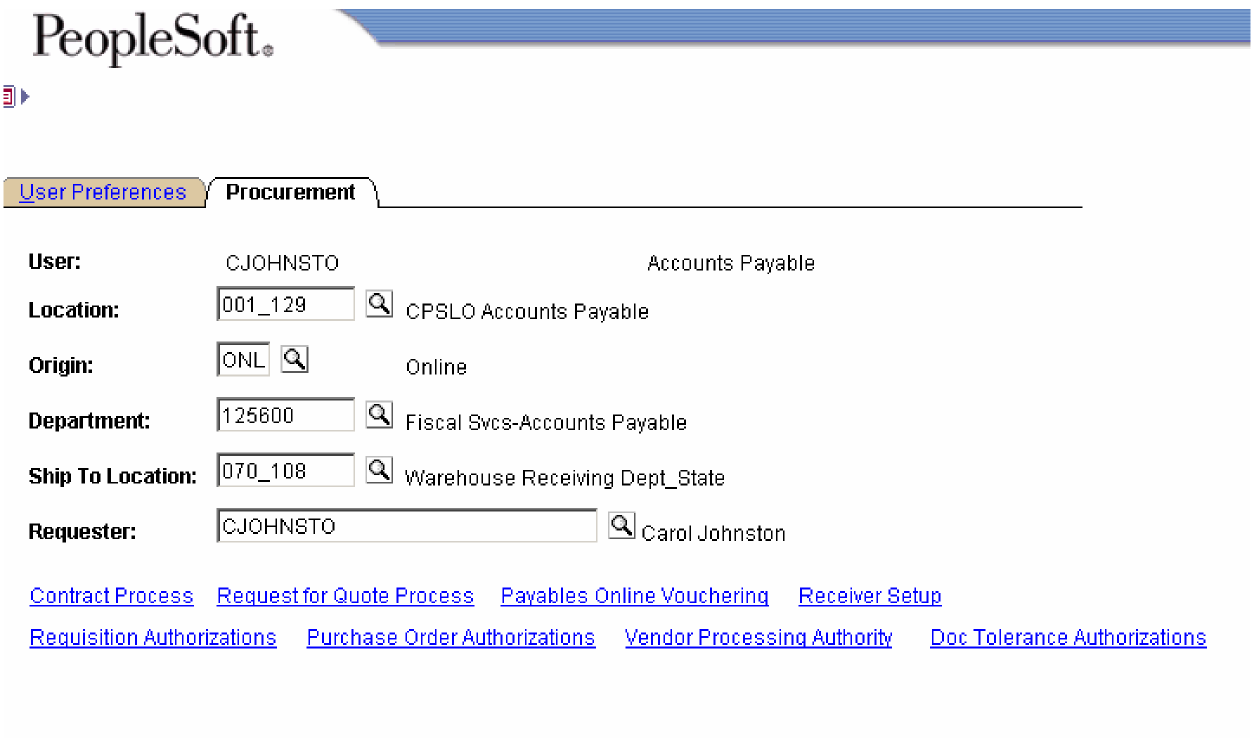
- [ ] Skip Entry Event processing

Save | Return to Search | Notify | Refresh

User Preferences | General Ledger

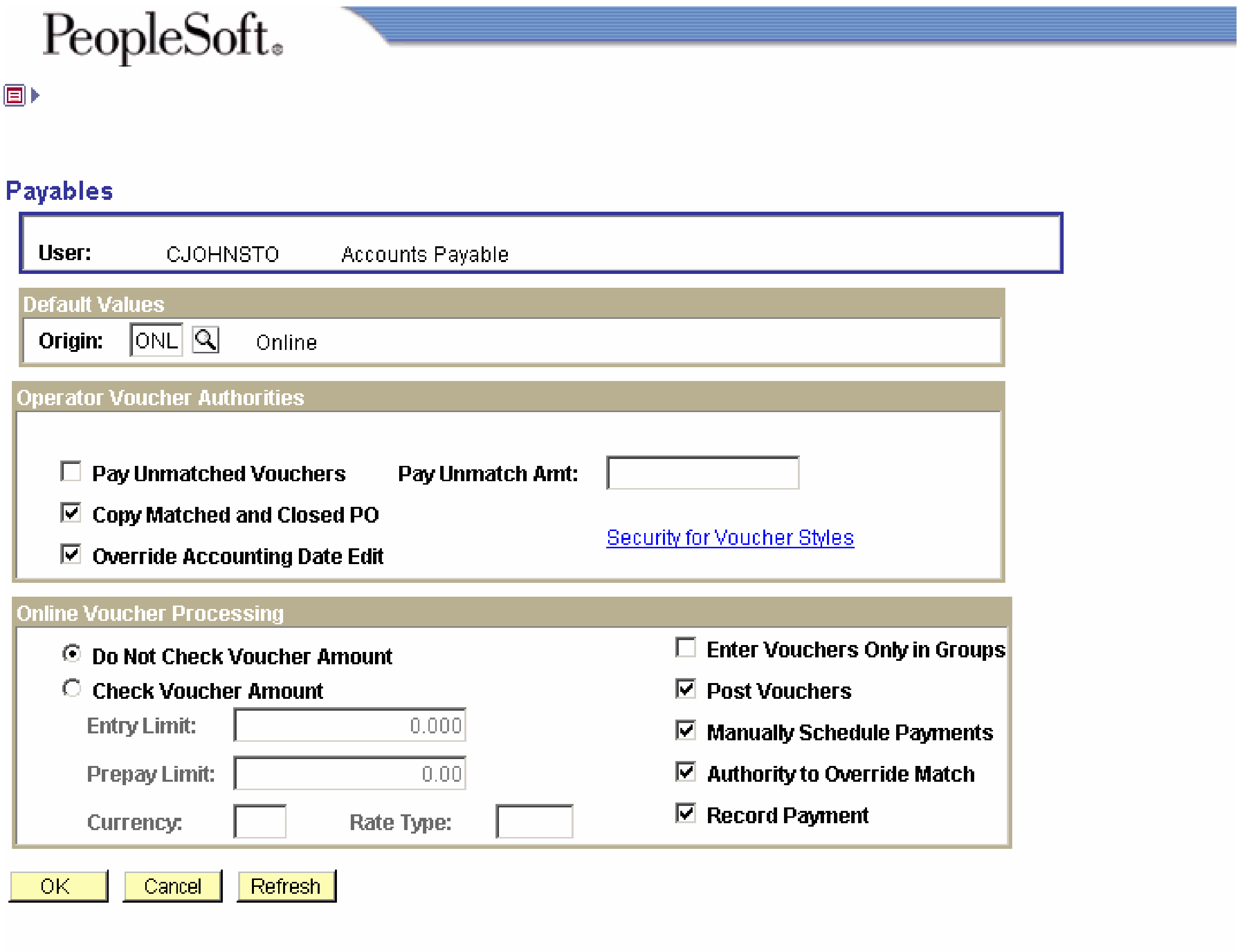
Procurement Preference: The first part of the preference has the following information for the UserId: the default location, the origin, the Department number, the Ship to location and if the user is a requestor the requestor ID that will default into the requisition entry pages. Also located within this page are the options to setup the Payables Online Vouchering, Requisition Authorizations, Purchase Order Authorizations, and Vendor Processing Authority. These preferences are used along with the roles that are assigned to the UserId. The two need to agree in order for the function to be preformed.

An example of the Procurement Tab:



Payables Online Vouchering: Based on the options selected this User has the following default on the vouchers Origin: ONL

Also this user can perform the following functions based on their preferences: Copy Matched and Closed PO, Override Accounting Date Edit, Do Not Check Voucher Amount, Post Vouchers, Manually Schedule Payments, Authority to Override Match and Record Payments.


PeopleSoft.

Payables

User: CJOHNSTO Accounts Payable

Default Values

Origin: ONL Online

Operator Voucher Authorities

☐ Pay Unmatched Vouchers Pay Unmatch Amt:

☑ Copy Matched and Closed PO

☑ Override Accounting Date Edit

Security for Voucher Styles

Online Voucher Processing

◉ Do Not Check Voucher Amount

○ Check Voucher Amount

Entry Limit: 0.000

Prepay Limit: 0.00

Currency: Rate Type:

☐ Enter Vouchers Only in Groups

☑ Post Vouchers

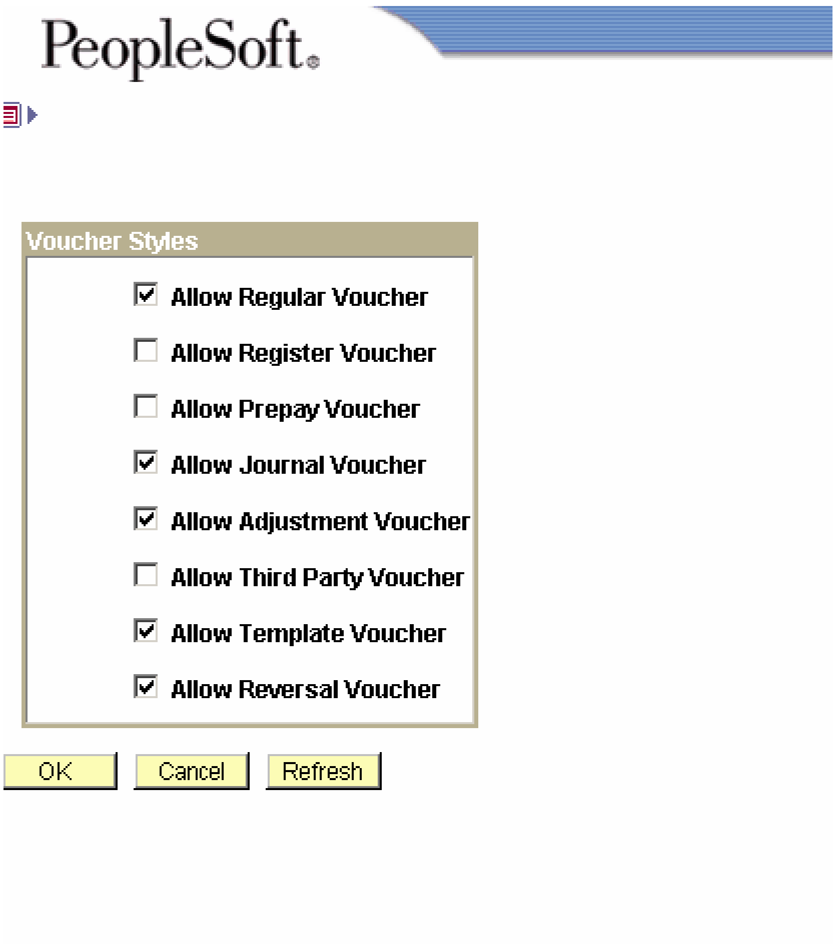
☑ Manually Schedule Payments

☑ Authority to Override Match

☑ Record Payment

OK Cancel Refresh

Security for Voucher Styles: This is the same for all Users: Allow Regular Voucher, Allow Journal Voucher, Allow Adjustment Voucher, Allow Template Voucher, and Allow Reversal Voucher.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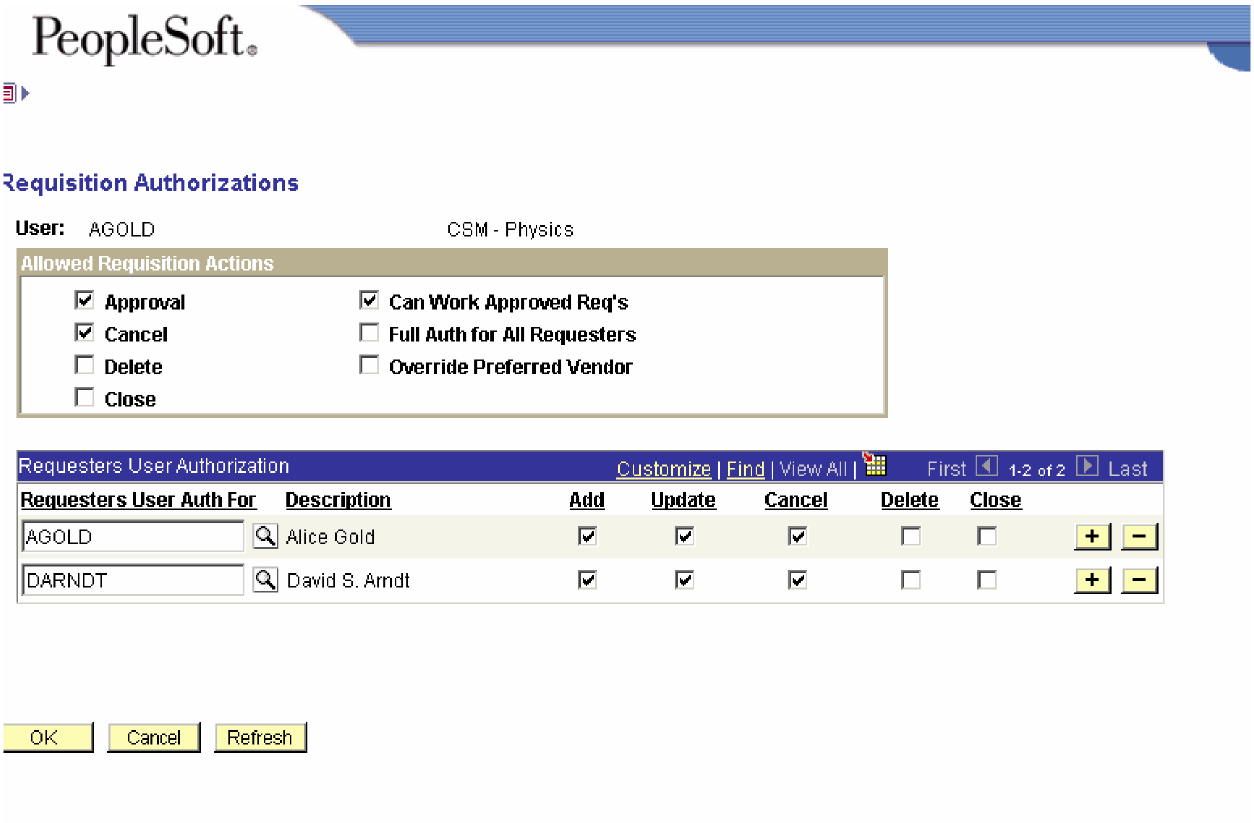
Voucher Styles

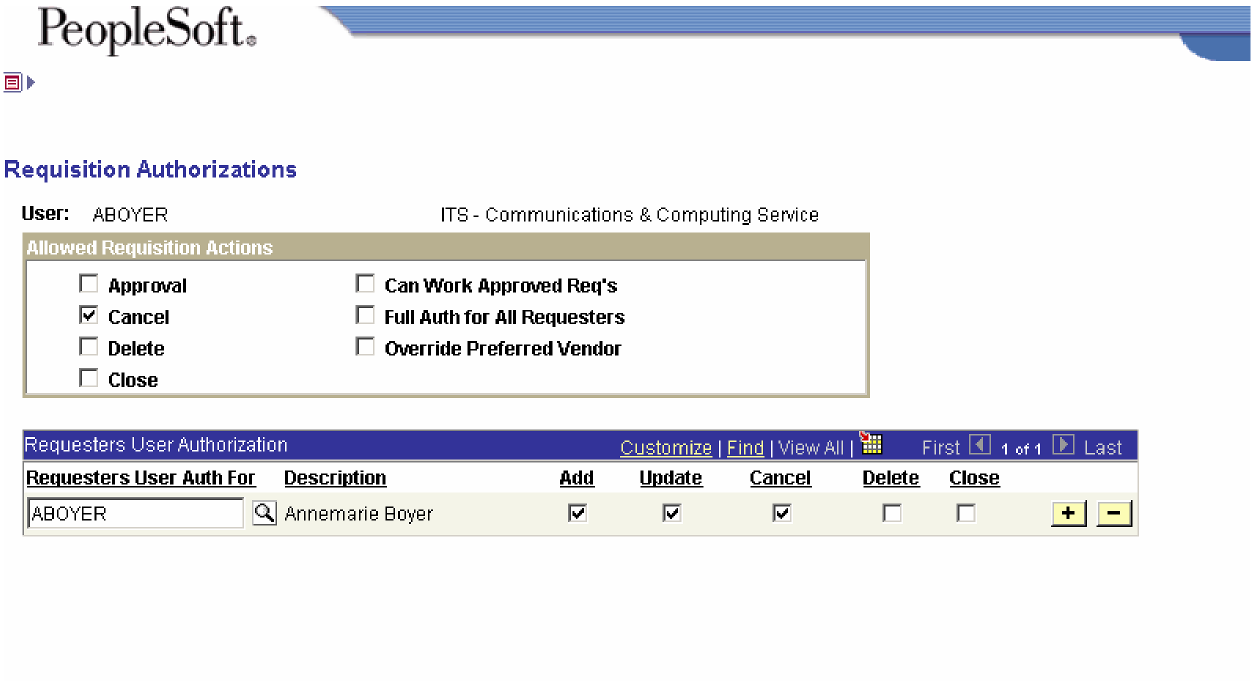
- [x] Allow Regular Voucher
- [ ] Allow Register Voucher
- [ ] Allow Prepay Voucher
- [x] Allow Journal Voucher
- [x] Allow Adjustment Voucher
- [ ] Allow Third Party Voucher
- [x] Allow Template Voucher
- [x] Allow Reversal Voucher

OK Cancel Refresh

Requisition Authorizations: If the User has the authority to enter/ approve requisitions along with the correct role the user needs to have this section completed. If the user is an approver the requestor names that they have the ability to approve must be entered on this page. If the requestor is not listed on this page even with the correct role the user will NOT be able to approve the requisition. The following is an example of User that has approval authority. The boxes that must be checked along with the requestor names are: Approval, Cancel and Can Work Approved Req's.



An Example of User with only Requisition entry authority: The Cancel option is the only one to be checked. The Requestor ID must be entered. If this is not entered on the User Preferences even with the correct role they User will not be authorized to enter requisitions.



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Requisition Authorizations

User: ABOYER ITS - Communications & Computing Service

Allowed Requisition Actions

- [ ] Approval
- [x] Cancel
- [ ] Delete
- [ ] Close
- [ ] Can Work Approved Req's
- [ ] Full Auth for All Requesters
- [ ] Override Preferred Vendor

Requesters User Authorization — Customize | Find | View All | First 1 of 1 Last

Requesters User Auth For	Description	Add	Update	Cancel	Delete	Close
ABOYER	Annemarie Boyer	[x]	[x]	[x]	[ ]	[ ]

Security Maintenance

In order to monitor a User changing job locations or leaving the University there is a query which shows the User's that have changed Departments or left. This report is the first flag that a user has moved department. The User's account will be set to Account Lockout until the new Department has completed a new Security Request Form or notified the CMS Finance Security Administrator. The User's account is set at Account Lockout. In both cases a phone call will need to be made to the Department Budget Specialist or Department Head to determine what the email address should be changed to on the User's ID. The email needs to be changed so that the information on any outstanding Requisition or Purchase Order will be sent to the correct User. In the case that there is no one assigned to the new position or there is no response the email is changed to the CMS Finance Security Administrator, until this can be resolved.

View All   First 1 - 56 of 56 Last

	Name	ID	Empl Rcd#	Eff Date	Sequence	DeptID	Status	Action	Reason	Dept Date	Appt End	Term Date	Last Date
1	Alarcon,Natalia Isabel	000163419	0	10/01/2004	0	111500	A	Hire	APT	10/01/2004			
2	Amrein,Lindsay Jane	000162054	0	10/01/2004	0	201100	A	Hire	APT	10/01/2004			
3	Baumgarten,Cheri L	000018261	0	10/05/2004	0	120500	A	Promotion	PRO	10/05/2004			
4	Brophy,Eleanore M	000160676	0	10/01/2004	0	101300	A	Hire	APT	10/01/2004	06/30/2005		
5	Burrell,Shel A	000024579	0	10/05/2004	0	140800	R	Retirement	SRT	12/01/2000		10/04/2004	10/04/2004
6	Carnine,Carolyn Marie	000150341	2	10/01/2004	0	112500	A	Hire	CON	10/01/2004			
7	Churchill,Jesse Michael	000115501	1	10/01/2004	0	105002	A	Hire	CON	10/01/2004			
8	Cobian,Benjamin Robert	000163445	0	10/01/2004	0	120107	A	Hire	APT	10/01/2004			
9	Cowell,Lennis D	000022369	0	10/02/2004	0	120100	T	Terminatn	END	02/01/2004	09/30/2004	10/01/2004	09/30/2004
10	Cowell,Lennis D	000022369	0	07/01/2003	0	120125	R	Retirement	SRT	08/31/2000	08/31/2003	10/01/2004	09/30/2004
11	Crable,Sarah Elizabeth	000163744	0	10/01/2004	0	126800	A	Hire	APT	10/01/2004			
12	Crother,Cynthia A	000023669	1	10/08/2004	0	140001	T	Terminatn	END	10/05/2004	10/07/2004	10/07/2004	10/07/2004
13	Crother,Cynthia A	000023669	1	10/05/2004	0	140001	A	Hire	CON	10/05/2004	10/08/2004	10/07/2004	10/07/2004

Passwords:

Passwords are only assigned to User Id's for access to the nVision Reporting function through Terminal Services. The Password must be 8 characters long, have at least numeric value and at least one uppercase letter. The user has the ability to change their password in PeopleSoft by user the "Change My Password" option.

Security Review

Currently a spread sheet is maintained to show the User's within AFD the Role and Permission List each is linked to along with the Operator Preference listing. This information is sent to the Manager of each section once a year for review. The manager will review the access within their department and sign off on the spreadsheet, this is then returned and the necessary corrections are made if needed. The corrective action will be taken on the either the role or permission list of the user indicated by the manager's review. The completed date for the correction made to the either the role or permission is documented on the original form that was returned by the manager. A summary sheet will be completed of all changes that were made to roles, permission list or User's. This summary will be forward to the Vice President of Administration and Finance for review and signature. All of the documentation will be retained with the Security Administrator.

For our end user access we are in the process of creating a report to be sent to the Department Heads for a review each year. The report will be created from the PeopleSoft system indicating what access each user has with in their department. Included in this would be if the user has the ability to create/approve requisitions and who each user can approve requisitions. The reports will be emailed to the appropriate Managers or Department Heads. After the access is reviewed we will ask that the reports be emailed back with the necessary corrections or validation that the access is correct. The reports will be filed and kept for reference.

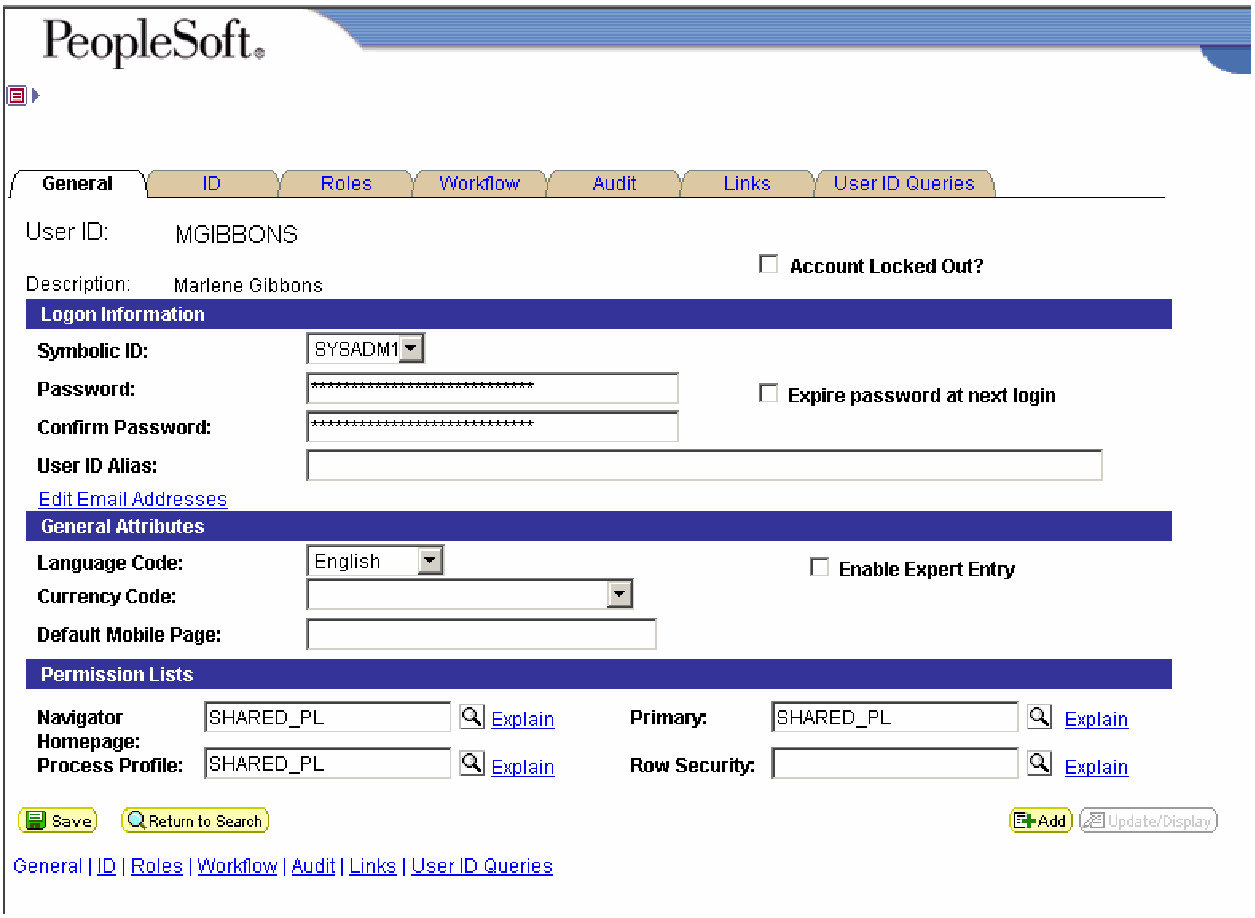
A monthly review is being conducted for access to create/maintain Vendors. This review is done by the Accounts Payable Manager from a prepared query. The query is being produced by the Finance Security Administrator.

R:\Finance\8.4
Finance\Security\AFD

Examples

Accounts Payable Technician User:

General Information:


PeopleSoft.

General | ID | Roles | Workflow | Audit | Links | User ID Queries

User ID: MGIBBONS

Account Locked Out?

Description: Marlene Gibbons

Logon Information

Symbolic ID: SYSADM1

Password: ******************************

Expire password at next login

Confirm Password: ******************************

User ID Alias:

Edit Email Addresses

General Attributes

Language Code: English

Enable Expert Entry

Currency Code:

Default Mobile Page:

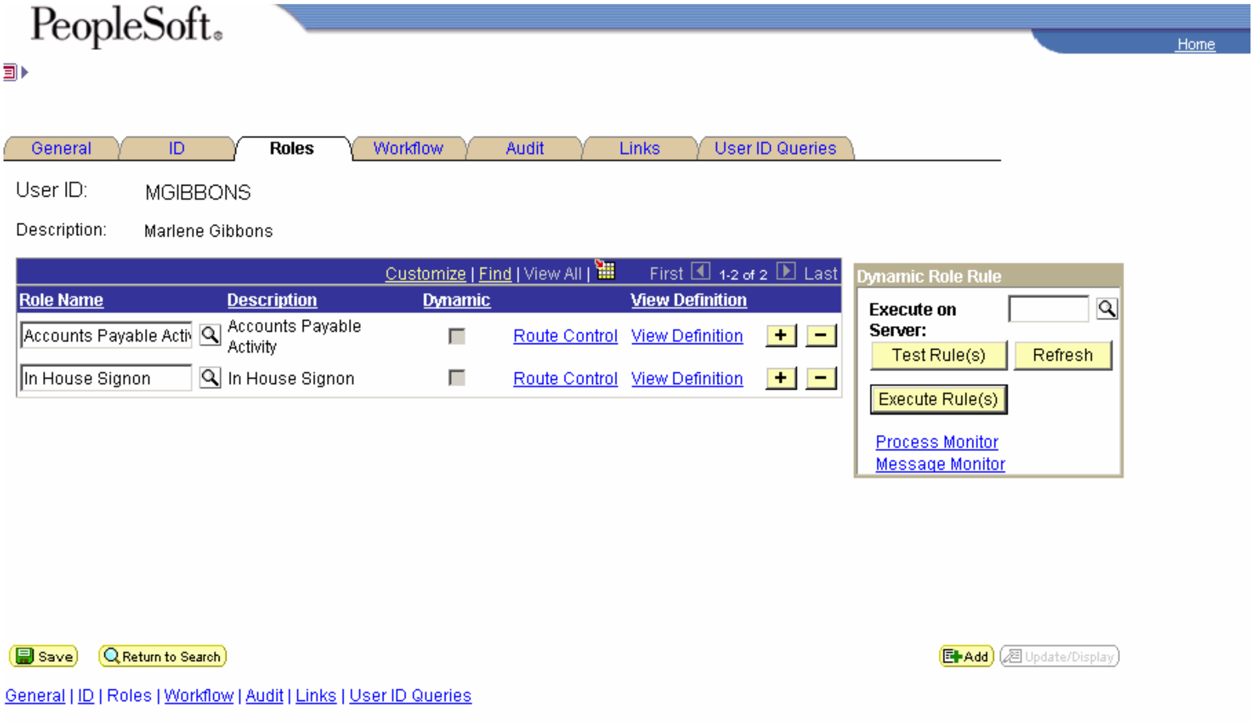
Permission Lists

Navigator Homepage:	SHARED_PL	Explain	Primary:	SHARED_PL	Explain
Process Profile:	SHARED_PL	Explain	Row Security:		Explain

Save | Return to Search | Add | Update/Display

General | ID | Roles | Workflow | Audit | Links | User ID Queries

Roles Attached:



Steps to create a new user:

1. The Manager of the user completes a security request form – located at http://www.forms.calpoly.edu/. This form is sent to Computer Operations.

This is an example of a security request form:

```
INSTRUCTIONS:
1. Copy and paste the form into an email.
2. Complete the subject line with LAST NAME, FIRST NAME, DEPARTMENT
and PHONE EXT of the person that is requesting the account.
3. If user is a temp/student, please list the name of the supervisor.
4. FORWARD the form via email to the (new) account owner's supervisor and ask the supervisor to indicate approval.
5. The supervisor then forwards the form to COMPACCT@calpoly.edu.

NOTE: Pre-requisites for an HR or Finance account:
-       Person must be in the campus directory
-       Person must have email account listed in the campus directory.  The "email" field and "send_email_to" fields mus

USER NAME: ________________________________________

TYPE OF REQUEST:
 (_) FACULTY/STAFF
 (_) STUDENT ASSISTANT/TEMP HELP (SUPERVISOR:_______________________)

PEOPLESOFT  FINANCIALS:
(_) Financial Inquiry Role

(_) Purchasing Requester Role
Specify Purchase Requisition Approver(s): ____________
Specify the appropriate default DeptID: _________

(_) Purchasing Requisition Approval Role
Specify names of requesters that this approver will approve for:_____

PEOPLESOFT HUMAN RESOURCES:
(_) MPC Approval            (_) Enter Faculty Contracts
(_) View Leave Balances
(_) Recruitment Inquiry     (_) Inquire Faculty Assignments/Tenure Data
(_) Recruitment Update      (_) Update Faculty Assignments/Tenure Data
(_) Position, Job, & Personal Data Inquiry
(_) Student Timekeeper

Specify the appropriate default DeptID:
```

2. The form is reviewed for by Computer Operations –

   - The user must a have valid Cal Poly e-mail account (the alias is used for the User Id)

   - The form must be submitted by the Manager of the user

3. The form is then sent to the appropriate Remedy Account

4. The User is then established based on the following criteria:

a. End Users -

- Will the user have financial inquiry access only? If so then the role will be EU_Financial_Inquiry.

- Will the user have the authority to enter requisitions? If yes then the user will have the role of EU_Requestor.

- Will the user have the authority to approve requisitions? Yes then the role assigned will be EU_Requisition Approvals. Also who are the Requestors they have the authority to approve.

b. In House Users -

- What department will the user will working in? This determines what role they will receive based on the spreadsheet.

- If working in Accounts Payable department what additional duties will this position are assigned? Examples will they be processing claims, or will they have create/maintain vendor assignments. Each department has additional duties that could be assigned to the position. Using the spreadsheet as a guide line the different roles will be assigned to the user.

c. Requestor or Buyer Setup –

- Do the job duties include the entering and/or approving requisitions? Will the User be a Purchasing Buyer? If yes then complete the Requestor/Buyer setup.

d. Operator Preferences –

- Based on the job duties of the User the correct information will be entered in the Operator Preference section.

- Procurement – If the User is a Requestor only enter the necessary information. If the User has Approval authority the necessary information is to be added.

e. Notification to the User –

- When the User has been setup the Remedy Ticket is resolved. The user will be notified by e-mail that their account is ready. The user will be emailed their password. See the attached copy of the email sent to the user.