November 2019

The Research Foundation for The State University of New York System Access Administrator Handbook

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Introduction

The RF business systems access administrator ensures that users have the appropriate access to the Research Foundation for SUNY's (RF) business applications. This document describes the business systems access administrator role and includes the processes that should be followed in this role.

Business Systems Access Administrator

Responsibilities

The business systems access administrator is responsible for the following:

- Ensuring users have the appropriate access to the RF systems:
  - Access necessary to perform their jobs
  - Access that does not cause segregation of duty issues
- Ensuring access is terminated on a timely basis
- Monitoring access

The business systems access administrator must follow the policies and procedures as outlined in this manual.

How to Appoint

Campus management designates a business systems access administrator through the annual signature delegation process as outlined in the Delegation of Authority Procedure. If changes occur during the year, the Operations Manager (OM) or delegate must update the form and send it to the RF's Office of Compliance Services.

Campuses should also determine if they would like to enter the information in the business applications security module or have Customer Services do it. The business systems access administrators should log a help desk ticket with Customer Services if he or she does not have the Oracle responsibilities and training needed to enter information in the security module.

Oracle Business System Access for Security Administrators

The business systems access administrator will need one of the following Oracle responsibilities to perform the requirements listed in this manual:

- ORG Campus Security – this is for business systems access administrators who enter information in the security module.
- ORG Campus Security Inquiry – this is for business systems access administrators who do not enter information in the security module and for those who are responsible for monitoring business systems access administrator activity.

Business systems access administrators will not be granted access for ORG Campus Security unless actually required to perform routine functions.

New Access

A new RF employee, principal investigator (PI), project support staff, or SUNY/RF administrative staff responsible for RF business at the campus will need access to the RF's business applications. HR staff must enter the user into the Oracle HR module before the business systems access administrator can give the user access.

Business systems access administrators must work with campus RF HR staff to ensure there is agreement on the process and timing of adding someone to the Oracle HR module. Once HR enters the person's name, social security number and campus location into Oracle a process runs every 15 minutes to create a RF user ID for the person.

Using Campus-Assigned User IDs

Certain campuses allow PIs, project staff and administrators to use their campus user ID and password to access to the RF Report Center and Effort Certification and Reporting Technology (ECRT, see page 15). The RF Central Office allows all users at all campuses to us their campus ID and password to access the Osprey COIRiskManager system. This is done via the single sign-on InCommon or SUNY Federated solution. For these campuses, the individual's LDAP ID must be added to the individual's person assignment record for this authentication to work.

An LDAP ID for InCommon is the equivalent of a user's campus Net ID plus @campusname.edu, e.g., johnsmith@albany.edu. Anyone with an HR responsibility or with the XXX Sign-on and SUNY Job Information

responsibility can add this information.

An LDAP ID for SUNY Federated is the equivalent of the user's campus assigned email. Anyone with an HR responsibility or with the XXX Sign-on and SUNY Job Information responsibility can add this information.

Informing Users of their RF User ID

- RF Employees: If an e-mail address is entered in the HR module, they will receive a welcome e-mail with their user ID and directing them to finish the authentication process (discussed below) and set a password.
- SUNY Employees using Campus User ID and Password: If your campus uses the InCommon or SUNY Federated single sign-on solution to access ECRT, the RF Report Center, and Osprey COIRiskmanager you do not need to inform the individual of their RF user ID. **Note**: If the individual needs to access other applications, e.g. Oracle, you will need to inform them of their RF user ID as per the below bullet.
- SUNY Employees using RF User ID: For all other campuses or for those that need access to applications such as Oracle (eg self service), business systems access administrators should inform users of their RF user ID and provide them instructions to finish the authentication process and set a password.

Completing Authentication and Setting a Password

Users will need to complete an online form to complete authentication and to set their password for their RF user ID. Business systems access administrators should share the steps listed in Appendix A, "Self-Registration," to help users complete this process.

Granting Access to Applications

Once a user ID is created, the business systems access administrator can assign access to the RF's business applications (see below). Users will need a completed Project Staff User Access Form or Administrator User Access Form before business systems access administrators can assign them access. The RF business applications include:

- Oracle Business System: – the application allows access to RF grants, financial, HR and payroll transactions and data
- RF Report Center: – allows access to the RF's reporting application. Data from the Oracle Business System is retrievable in this module.
- Payroll Reports: – this application gives access to specific payroll reports that are run immediately after payroll for reconciliation and reviewing purposes.
- ECRT: – the online tool the RF uses to certify and monitor certification of effort statements.
- E-mail groups: – the RF offers several groups by role (e.g., Accounts Payable, Sponsored Programs).
- Osprey:- the online tool for certifying the RF Code of Conduct, managing conflicts of interest (not related to compliance with federal FCOI standards), and complying with the RF signature authority policy

Automatic Access

RF employees and supervisors of RF employees are automatically assigned self-service (i.e. Employee Self Service, ORG Supervisor Self Service) responsibilities. The business systems access administrator does not need to take further action if the employee or supervisor does not need access to other RF business applications. These responsibilities do not need to be included in monitoring reviews. If Employee Self Service is not automatically assigned by the system, it can be manually assigned to an employee without prior approval from the security contact.

PIs may have access to the PI Dashboard for those projects/awards for which they are identified as a PI. Refer to the "Understanding RUSAM" section below for information on how to set this up. This access is not automatic, but no approval or documentation is needed to give this access. Campuses should establish a process they are comfortable with to give PIs this access.

All other access should be granted only after completion of the User Access Form.

User Access Form for all Other Access Requests

Users will need a completed Project Staff User Access Form or Administrator User Access Form to get access to the RF's business applications. The appropriate form is required for all users except those listed in the Automatic Access section above. Business systems access administrators are responsible for:

- Reviewing the form.
- Ensuring all campus approvals are documented.
- Determining that the access requested is appropriate for the job and that there is no segregation of duty issues.

Business systems access administrators that enter information for their campus can then follow the steps in Appendix B, "Oracle Input and Running Reports Steps," to set up the access. Otherwise, business systems access administrators should forward the form to Customer Services for input. In either case, the form must be kept for the length of the user's access plus 1 year. Documentation may be subject to audit.

Understanding RUSAM Functionality

The RUSAM Form works in conjunction with a responsibility on to determine the data level access for Oracle Applications and RF Report Center only.

Oracle Applications Security

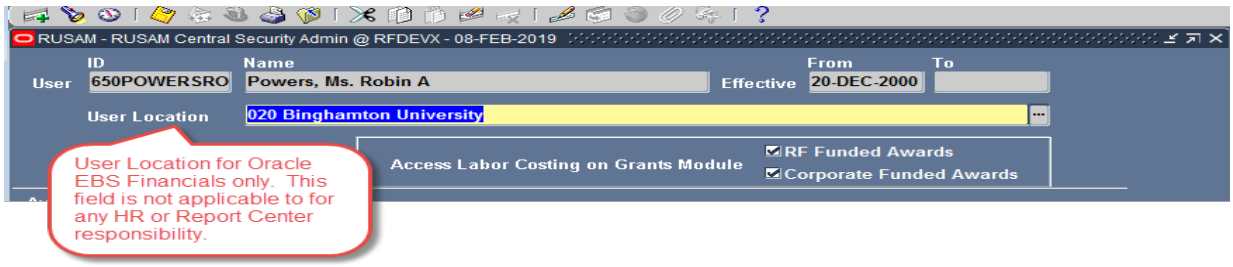
For the following Oracle Applications Modules: Grants Management, Accounts Receivable, Labor Distribution, Purchasing, and Accounts Payable, User Location access is determined by the campus assigned responsibilities that begin with "ORG", "CSS" or "Key". Any responsibility for the financial modules that does not begin with the campus assigned responsibilities, a security will not be applied, which is used for Central Office staff only when needed. *Note: Oracle Human Resources and Benefits modules do not use the RUSAM form for security, these are controlled by oracle standard security user profiles established in Human Resources.* The RUSAM Form is broken down as listed below.

User Location:

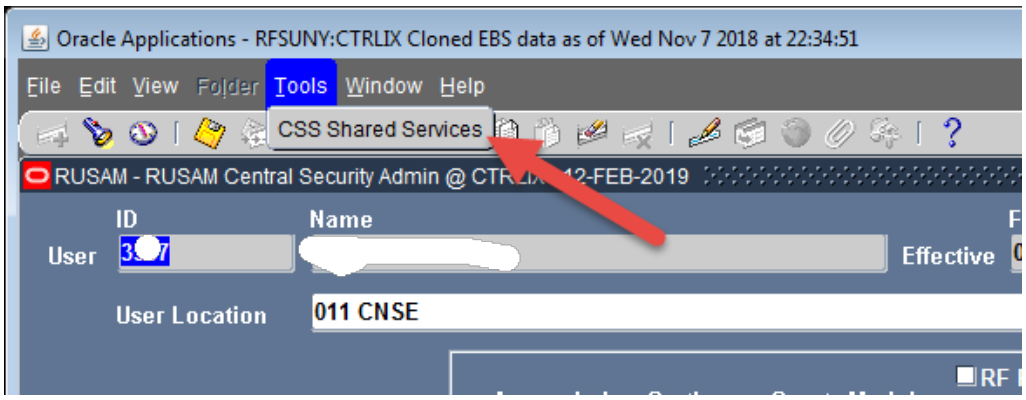
Access to campus level data in the Oracle Applications Modules mentioned

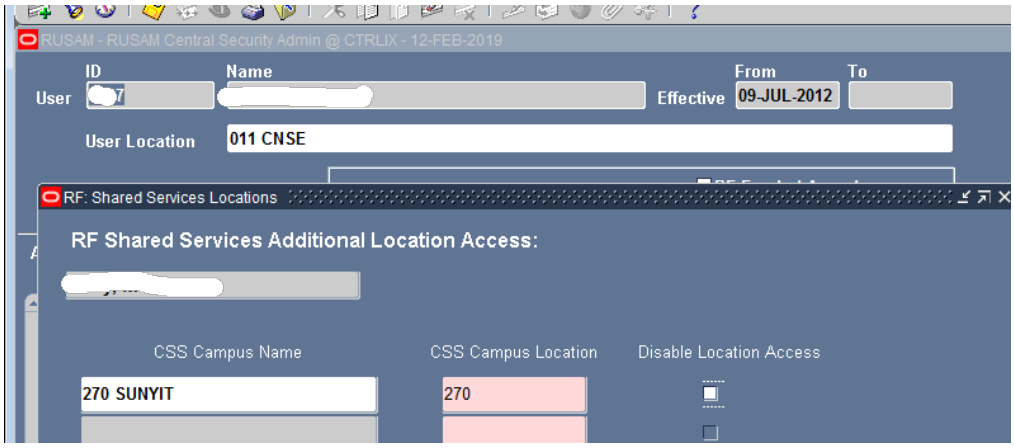
above is determined by the information provided in the "User Location" field (shown below) of the RUSAM Form. The value of *All Locations including 650*, meaning universal access to every campus in addition to Central Office, is only allowed for Central Office Staff. Any responsibility that begins with "CSS" requires an additional form to load access to an additional location.

<u>ORG Responsibilities</u> RUSAM Form setup

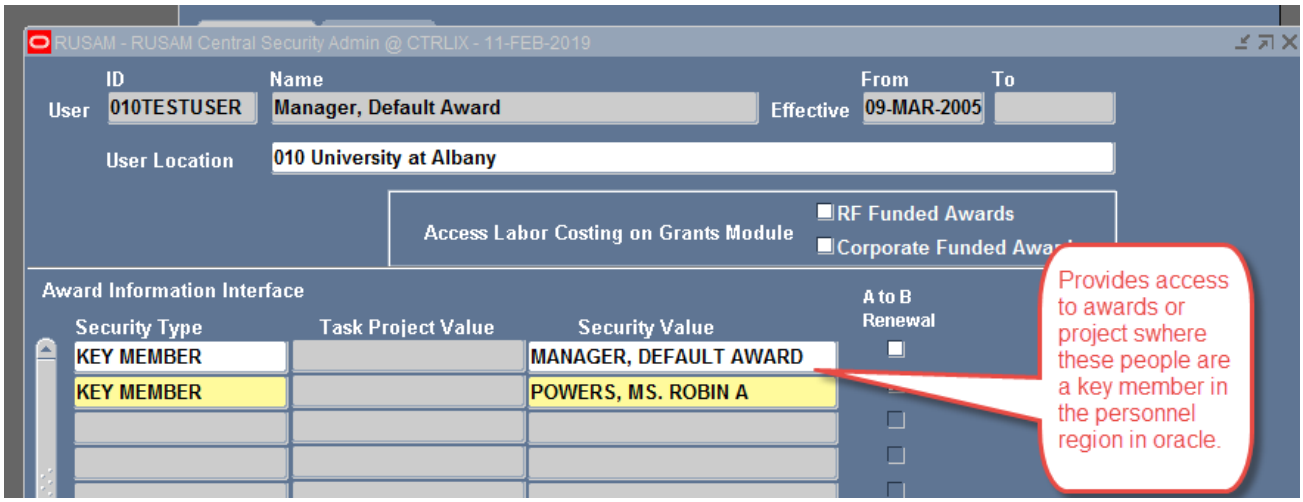


<u>CSS Responsibilities</u> The form required to add access to additional campus locations in the Oracle Applications Modules is located through the Tools Menu >Select CSS Shared Services. However, this is a Central Office only function or available to anyone who has received CSS Campus Security responsibility approval from the Central Office.





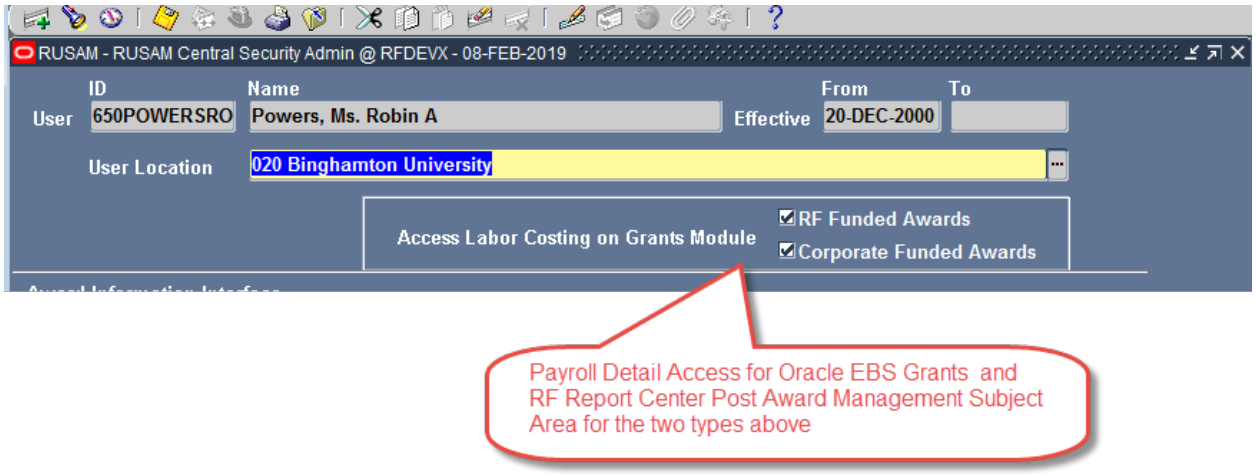
Key Member responsibility only applies to the Oracle EBS Grants Management Module. This data access responsibility is controlled by the "Award Information Interface" section of the RUSAM form. This functionality allows a user access to an award or project in the Oracle EBS Grants Management Module, where the person listed in the "Security Value" field is a key member. Multiple Key Members can be listed in this section.



Access Labor Costing on Grants Module for RF Funding Awards or Corporate Funded Awards:

This only applies to a responsibility that provides access to the Oracle Grants Management Module or the RF Report Center Post Award Management Subject Area. If the checkboxes are checked it means "Yes" and the user can drill down on payroll expenditures/encumbrances, run a detail report or analyst query and see the individual payroll detail and individual payroll encumbrances down to the individual level with each pay period and amounts with the individual's name. When is not checked the user will be

able to view the award/project/task and will be limited to high-level totals, they will not be able to access payroll detail.



RF Funded or Corporate Funded awards are classified with the following award purpose codes:

Classification	Award Purpose Code
Corporate	Central Office Administration
Corporate	Corporate GL Holding
Corporate	PAID FAMILY LEAVE
Corporate	Payroll Overpayment
Corporate	Research Collaboration
Corporate	Technology Accelerator Fund
RF Funded	Incentive Programs Revenue
RF Funded	RF Funded Revenue

RF Report Center Security:

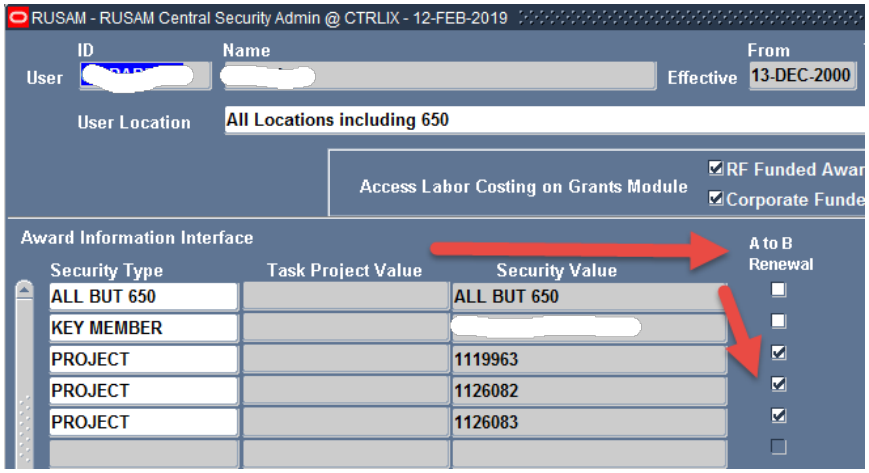
RF Report Center users are assigned various functions and security is based off information provided in the RUSAM Form under the Award Information Interface section. The access labor costing on grants module applies also from the RUSAM form except for the HR, Benefits and Retirement subject areas, these are controlled by HR Security and are campus level only. RF Report Center responsibilities begin with "OBIEE" or "Dashboard".

Secure Types are below. Users can have one or more secure types with various security values as listed below:

- **Award** – Access to award level data and all associated projects and tasks on the award. *Note: Only applicable to subject areas that contain an award number.*
- **Project** – Access to project level data and all associated tasks on the project. *Note: Only applicable to subject areas that contain a project number.*
- **Task** – Access to task level data and all associated sub-tasks. *Note: Only applicable to subject areas that contain a task number.*
- **Organization** – Access to all data pertaining to the user's assigned organization level as defined in the HR hierarchy of subordinate organizations. A user could have access to all awards, projects and task at the campus or the department level. *Note: If the user has campus level organization security value, they will automatically get access to the "PACS" subject areas. The rest of the subject areas access is based upon the subject area having the award, project, or task organization fields.*
- **Key Member** – Access to awards and/or project for the person listed as the key member on the award or project. *Note: Automatic access is assigned provide key member access to themselves when they are listed as a key member on an award or project in Oracle. Only applicable to subject areas that contain award or project team/key member information.*
- **All But 650** – Access to all campuses except for central office (available to Central Office only).
- **All Locations** – Access to all campuses including central office (available to Central Office only)

- **Project Credit Organization**- User will be able to access every project/award that has a credit organization at the project/award level in the RF Report Center. *Note: A to B renewal does not apply and no access to Monthly Award or Monthly Project Summary Reports.*
- **Project Credit Person**- User will be able to access all data where the person is listed as a credit person at the project/award level in the RF Report Center. *Note: A to B renewal does not apply and no access to Monthly Award or Monthly Project Summary Reports.*
- **PACS Key Member** – Access to the PACS Proposal subject areas for the person listed as a key member on the proposal. *Note: A to B renewal does not apply.*
- **PACS Organization**– Access to the PACS Proposal subject areas for organization listed in the proposal. *Note: A to B renewal does not apply.*

A to B Renewal A to B renewal check boxes will initiate/stop a grants process that transfers labor schedules from one award/project/task to another award/project/task, which is run for payroll purposes. This will only apply to a campus who uses this process. When the process is run, and this is checked it will automatically load a new row in the award interface section for the new award/project/task level report center security values as shown below.



Oracle Business System, and Report Center

Access to the Oracle Business System, and RF Report Center and applications is controlled through assignment of responsibilities that are added to users' records in the Oracle Business System.

Although campuses can enter many responsibilities, some require additional approval.

Business Systems Access Administrators must send in a separate request for Customer Services to add the user to the buyer file if the user has any of the following responsibilities:

- ORG Purchasing Specialist
- ORG Purchasing Administrator
- ORG Purchasing Buyer

In addition, if they have these responsibilities they may also need an electronic signature added to the system to electronically approve purchase orders. The purchasing supervisor must approve electronic signature requests.

RF Report Center responsibilities assigned to users will not be available until the next business day because the information in these applications requires a nightly replication before they are updated.

Payroll Reports

Payroll reports are available through special access to the RF Web site so that campuses can review payroll input and errors for their location on a bi-weekly basis. Only users with a business need to know should be granted this access. Approvals must be obtained from the Campus Payroll Officer and the Central Office Payroll Manager before access is granted.

The Business Systems Access Administrator must submit a request to Customer Services via e-mail. The request can also come from the HR/payroll office; however, the business systems access administrator should be copied. Customer Services will forward the request to the Central Office Payroll Manager to obtain approval from the Campus Payroll Officer as it is strongly recommended that the campus human resources office

approve this type of access.

After all approvals are granted, Customer Services will grant access to the user, this cannot be done at the campus level. Approval documentation does not need to be forwarded to Customer Services.

Effort Certification and Reporting Technology (ECRT)

ECRT is used to certify effort statements for those who have effort on sponsored programs. Individuals who will certify effort or others who perform effort-reporting administration will need a role in ECRT. Campuses should send an e-mail to effort@rfsuny.org to request that a role be assigned to an individual. More information on ECRT administration can be located here http://www.rfsuny.org/media/rfsuny/documents/ecrt/ECRT_administrator_overview_training_materials.pdf

Modifying or Terminating User Access

It may become necessary to modify or terminate access to the RF business applications if a user leaves employment or has a change in position.

Immediately upon separation or change in position, business systems access administrators are required to remove or send a request to remove all responsibilities except Employee Self Service to RF business application access for users who no longer require access due to job change, leave of absence or separation from employment. Business systems access administrators must establish a process to remove such responsibilities.

They should also notify Customer Services so that Customer Services can perform the following:

- Remove users from e-mail groups or listservs
- Remove users from the buyer file if they have purchasing responsibilities
- End date all responsibilities except for Self Service (terminating employees)
- Delete out the data on the RUSAM form on the Award Interface section (terminating employees)

The same steps should be followed if the user changes jobs, except the

responsibilities should be adjusted if they still need some form of access to perform their new job responsibilities.

Password Violations

A user account is "locked out" of the RF Web site after five unsuccessful login attempts. A user who is locked out should use the "Forgot Password" feature. The user will be sent an e-mail with a temporary password that the user should use to login and immediately change using the "Change Password" feature.

The user should contact Customer Services if this does not work.

Monitoring

Monitoring Business Systems Access Administrator Activity

Campuses must run the "RF Campus Security Audit Report" on a quarterly basis, to monitor security administrator activity in the Oracle applications. The report must be maintained for 3 years from the date of the report. This report documents security changes made in the Oracle applications and should be reviewed to ensure the activity is appropriate. Someone without the ability to enter changes should perform this monitoring activity. The responsibility "ORG Campus Security Reporting" can be used for this purpose.

If an unauthorized or inappropriate change was made, campus management should be informed immediately and should refer the matter according to the Fraud and Whistleblower Policy.

Annual Campus Review of User Access to the RF Business Applications

Campuses must run the "RF User Report" annually to monitor users registered in the application security system to verify correct access. This ensures that the RF's internal control environment is appropriate and effective. In addition, if a campus has local systems that stores RF information annual reviews of access to these systems must be performed and documented.

Business systems access administrators must provide written confirmation of the review to the RF's Central Office Information Security contact each

year. Central Office will start the annual review process by sending an e-mail to business systems access administrators with the deadline for the review.
Documentation of review is audited annually by the RF's auditors.

The following areas must be evaluated as part of the annual review:

1. There is an ongoing need for a user's access to RF data (e.g., active user account, current employment).
2. User must have appropriate data access for his or her job role(s), including inquiry access versus update access.
3. Segregation of duties is appropriate for the user's access(See Appendix C).
4. Access to human resources data is restricted to only those personnel for whom it is essential in relation to their job duties.

Other Optional Monitoring

The RF provides security reports to ensure access is controlled, accurate and to help avoid misuse. The business systems access administrator is responsible for monitoring access to the RF business applications for users at their location to protect RF systems and data.

- RF User Report: As stated above, this report should be run annually at a minimum. However, this report can be used more frequently to monitor access, particularly for those with access that allows them to make changes in Oracle. The report is in Excel and can be sorted and manipulated to meet the monitoring needs for your campus.
- RF Responsibilities Report: This report should be used to view users who are assigned a specific responsibility.
- RF Stale Login Report: This report can be run to determine if users of the Oracle Business Applications that have not logged in for a number of days.
- RF Termed Employees with Active Responsibilities: This report can be run to determine if RF terminated employees still have access to the applications. Note: Does no include employee self-service.

Documenting and Retaining All Security Monitoring Reports

The RF provides the "RF Business Applications" and "Web Site Security" reports to ensure access is controlled, accurate and to help avoid misuse.

Campuses should retain reviewed reports for three years. Documentation of review may be subject to routine monitoring and audit.

Contact Information

Where to Go for Help

If you have questions, you can seek guidance from Customer Services.

Security Terminology

RUSAM Location Code: The unique campus identifier (three-digit code) limits a user's ability to view and/or change data to a specific location. RUSAM location codes do not apply to Human Resource responsibilities (see responsibility definition below).

Person Record in HR: Users must be defined in the People table in the Human Resources (HR) module to allow access to all the data and forms within Oracle and the RF Report Center.

A to B Renewal: A to B is a grants process to transfer labor schedules from one award/project/task to another award/project/task when certain criteria are met to run this process for payroll purposes.

Appendix A – Self Registration

Go To www.rfsuny.org.

1. In the upper left-hand area of the homepage, access the Login button.
2. Click the "Request Access to the RF Web site."
3. Complete the online **registration** form, entering the following information (required information noted by an asterisk):
    - Title
    - First name*
    - Middle name
    - Last name*
    - Phone number*
    - Last 4 digits of Social Security Number* (For RF employees this will speed automatic approval)
    - Campus name*
    - E-mail address* (this will be used for communications regarding your user id – will not be used for any other purpose)
    - Desired password
4. Click the **Submit** button at the bottom of the form.

Appendix B – Oracle Input and Running Reports Steps

Assign access

1. Open the User form (Oracle Security>User>Define)
2. Query the user: View>Query>Enter or F11
3. Enter the user ID in the User Name field
4. View>Query>Run or Ctrl+F11
5. In the bottom of the "Direct Responsibilities" form add the appropriate responsibility from the list
6. Save

Terminate access

Follow steps above until step 4

1. In the bottom of the "Direct Responsibilities" form, enter an end date in the "Effective Date To" column.
2. Repeat for all active responsibilities except "Employee Self Service" if the person is no longer part of the RF or SUNY
3. Save

RUSAM Entry

1. Open the RUSAM form (RUSAM Security Maintenance)
2. Query the user View>Query>Enter or F11
3. Enter the user id in the User ID field
4. View>Query>Run or Ctrl+F11
5. Enter the User Location, Access Labor Costing on Grants Module, Award Information Interface according to the information on the User Security Form
6. Save

Instructions for Running Security Monitoring Reports

1. Log in to the RF's Oracle business application and choose the responsibility ORG Campus Security Reporting > Security Notifications > Notifications
2. Select the request type **Single Request** and click **OK**.
3. Enter the report name you wish to run from the list of values in the **Submit Request** form.

a. **Copy Button Feature:** To re-run a previous report request, select a request from the list click on the Copy button. The **Copy** button will display a list of previous requests submitted from this responsibility. You may also make a change to the parameters of a previous request by clicking in the Parameters field on the Run Request form.

4. If a report requires parameter values, the **Parameters** window opens so that you can define parameters. Parameters are different for each report. *Note: for the RF User Security Report, leave the last log in to and from dates blank to ensure you get all users. These dates only work for Oracle access; they are not relevant for Report Center access.
5. Enter the values in the required parameter fields and click **OK.**
6. Click on the **Submit** button.
7. **Schedule Feature**: If you wish to define a report schedule, use this button to establish a specific time or repeatedly run the report at specific intervals. Click on the **Schedule** button to open the **Schedule** window and enter a run schedule.
8. Once a report request is submitted, you will need to click the **Refresh Data** button to view the status of the report request. Once the request is completed in the Phase column, you may click the **View Output** button to open the report.

Appendix C – Responsibility Listings and Segregation of Duties Reference

RF Oracle Business System Responsibilities

RF Report Center Responsibilities

Finance Duty Segregation Guidelines

Grants Management (OGM) Billing Duty Segregation Guidelines

Human Resources/Payroll/Labor Distribution Duty Segregation

Change History

- **August 27, 2019** – Revised to update links to New responsibility listings for Oracle and Report Center and updated document to be current.