

# OFFICE OF FINANCIAL MANAGEMENT

ACCOUNTING DIVISION

## *Financial Systems Security*

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### User Documentation

*April 2003*

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## Preface

This documentation was prepared to assist agency personnel in establishing and maintaining their financial system security records in order to:

- Control access to agency data
- Control transaction/record addition, change and deletion
- Control system reporting requests
- Support agency internal control policies

This user documentation pertains to the following statewide financial systems:

System	Requires Logon ID for DIS Mainframe
<ul style="list-style-type: none"> <li>• <b>Agency Financial Reporting System (AFRS)</b> includes: Disbursement Reporting System IRS 1099 Reporting OMWBE Reporting On-Demand Reporting Table Maintenance Transaction Input</li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>Allotment Preparation System (APS)</b></li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>The Allotment Preparation System (TAPS)</b></li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>Budget and Allotment Support Systems (BASS)</b> includes: Budget Development System (BDS), Budget Reporting System (BRS) (formerly VRS) Capital Budgeting System (CBS) Performance Measure Tracking &amp; Estimates System (PMTES) BPS1 Extract (To access in BASS an Excel spreadsheet containing report extracted from BPS1)</li> </ul>	No
<ul style="list-style-type: none"> <li>• <b>Budget Preparation System 1 (BPS1)</b></li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>Capital Asset Management System (CAMS)</b></li> </ul>	Yes

For information regarding security for systems not listed above, contact the following:

System	Requires Logon ID for DIS Mainframe
<ul style="list-style-type: none"> <li>• <b>Accounts Receivable System (AR):</b> <u>Your Agency AR Administrator</u>***</li> </ul>	No
<ul style="list-style-type: none"> <li>• <b>AFRS Data Distribution System (ADDS):</b> <i>OFM Product Manager at (306) 664-7778</i></li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>Fastrack:</b> <i>OFM Fastrack Help Line at (306) 664-7737</i></li> </ul>	No
<ul style="list-style-type: none"> <li>• <b>Personnel/Payroll System:</b> <i>HRISD Help Desk at Dept of Personnel at (360) 664-6400</i></li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>Time Management System (TMS):</b> <u>Your Agency TMS Administrator</u>***</li> </ul>	Yes
<ul style="list-style-type: none"> <li>• <b>Travel Voucher System (TVS):</b> <u>Your Agency TVS Administrator</u>***</li> </ul>	No

\*\*\*If you do not know who that is, contact Your Fiscal Office.

Your comments and proposals regarding the financial system security procedures and this user guide are always welcome. Send them to **Financial System Security Manager** via campus mail (Mail Stop 43113) or fax (360-664-3363).

## Overview

### Purpose of Security

The purpose of security is to establish and maintain access to financial systems within the agency in order to control agency records and report requests. Each agency is responsible for determining the level of security granted to each individual for each financial system to meet the user needs and the agency internal control standards. There are several levels of security which are important to understand.

### Levels of Security

There are two agencies that control *statewide* security records:

- **Office of Financial Management (OFM)**  
Maintains the security files specific to each financial system
- **Department of Information Services (DIS)**  
Maintains the statewide file of Logon ID's and Operator ID's for Systems which run on the DIS mainframe.

In some systems, the *OFM system security administrator* maintains security for the agency security administrators only. In other systems, the OFM system security administrator maintains security for all persons who need to access the system.

There are also several levels of security within each *agency*: the RACF administrator, the agency security administrator(s) and agency personnel. Each agency has a **Resource Access Control Facility (RACF) Administrator** who coordinates with DIS to obtain or delete Logon ID's and Operator ID's for systems which run on the DIS mainframe.

The *agency security administrator(s)* for each financial system maintains the security files for system access by agency personnel. The agency can assign the duties of agency security administrator to the same individual for all systems or to a different individual for each system. The agency director or designee must authorize the individual(s) named as primary and alternate agency security administrators. It is recommended that for each system your agency utilizes, one primary and at least one alternate agency security administrator be assigned.

The final level of security is held by *agency personnel* who can add, change or delete records and request reports in the statewide financial system(s) for which they have security. These personnel cannot control the security of other users.

See individual system instructions for levels of security within each specific system.

## Preliminary Steps

There are two steps your agency has already completed (unless it is a new agency) which are helpful in understanding the overall flow of system security. These steps have established the security administrators (as described above) within your agency and only need to be done again when there is a change in personnel or duties within your agency.

1. Your agency has assigned a RACF administrator and has notified the Department of Information Services (DIS) of this assignment. DIS will only establish Logon ID's requested by the RACF administrator of an agency. It is the agency's responsibility to notify DIS of any changes to their RACF administrator.
2. Your agency has also identified security administrators for each of the systems in use by your agency and notified OFM of the assignments. The agency security administrator or alternate for each system are the only ones who can enter or request changes to the security records of the systems. Thus, it is important to keep OFM informed of any changes in security administrators. (*See Appendix A, Pages 29-35, for Agency Security Administrator forms.*)

## Establishing Security for a New Employee

The first step in establishing security for a new employee is to contact your agency RACF administrator. Give them the name of the person for whom you are establishing security records and the names of the systems for which the person will need access. The agency RACF administrator will contact DIS, and DIS will establish the Logon ID and the operator ID (OpID) for the individual.

The next step in this procedure depends on which systems the individual will need to access. For AFRS, TAPS, CAMS and TMS, the ***agency system security administrator*** is responsible for establishing security records.

For BPS1, APS and BASS the agency security administrator will need to complete the BPS/APS Security Form and/or the BASS Security Form and send them to OFM. The ***OFM system security administrator*** is then responsible for establishing security records. (Please refer to the following sections for step-by-step instructions on how to establish a security record in each system.)

Contact the OFM system security administrator at (360) 664-7691 if you have any questions.

## Agency Financial Reporting System (AFRS)

The *agency AFRS security administrator* is responsible for maintaining all security records in AFRS for users within your agency. In order to add, change or delete a user record, contact your *agency AFRS security administrator* and provide the following information. (See Appendix C for “AFRS System Security Maintenance” form. This form is optional and is for agency use only.)

- Logon ID of user (obtained from DIS)
- Name of user
- Phone number of user
- The “Stop Use Date” field is optional. If you want someone to have access to AFRS for a limited period of time, enter the last date you want the user to have AFRS access (YYMMDD).
- Level of security user will need for each field.
  - 0 = No access
  - 1 = View records and print reports
  - 2 = Update records and view and print them
  - 3 = Release batches from screen IN.1.5 with errors. Transactions with errors will go to overnight error file.
  - V = View records

See footnotes for exceptions. Shaded levels are either not available or restricted to update by OFM.

Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens:	Levels		
<ul style="list-style-type: none"> <li>• AFRS Security <sup>1</sup></li> <li>Agency Transaction Edit Controls</li> </ul>	ASEC	SS.1-SS.2 TM.A.1, TM.A.2, TM.A.3, TM.A.4	0	1	

### Financial Transaction Batch Flags & OFM Recommendations for Separating Functions

OFM recommends the use of AFRS security to separate the following functions: Transaction Input, Batch Release, Error Correction, and Agency Vendor Table Updates. Security access levels by batch type have been added to AFRS to give agencies more flexibility in doing this. The Batch Type field is alphanumeric and required with a security level indicator for Input, Release, and Error Correction. In the Batch Type Field, you may enter specific batch types or enter the wildcard ‘\*\*\*’ to indicate all batch types. You may also enter a character in the first position of the batch type with the wildcard ‘\*’ in the second position. For example, ‘B\*’ for all batch types beginning with ‘B’; or ‘2\*’ for all batch types beginning with ‘2’. (Refer to examples in Appendix E, Page 53.)

### Financial Transaction Batch Flags

<ul style="list-style-type: none"> <li>• Transaction <u>Input</u></li> <li>&amp; Reprint Registers/Remittances</li> <li>&amp; Inter-Agency Billing Pmt. Display</li> <li>&amp; Warrant Cancellation Input</li> </ul>	TI	IN.1, IN.1.1, IN.1.2, IN.1.V, SW Vendor Selection - C105P20V, IN.1.4, IN.1.5 Batch Delete, IN.1.6, IN.1.7, IN.2, IN.3, (all select functions on IN.3), IN.3.1, MIA, MIB, VE.7, VE.7.1, VE.7.1.1	0	1	2
<ul style="list-style-type: none"> <li>• Batch <u>Release</u></li> </ul>	BR	IN.1.5 Batch Release	0	1	2 3

<sup>1</sup> Only the OFM system security administrator can assign level 1 security in this field; valid agency security levels: 0 = view/print ; 1 = update agency records

Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens:	Levels		
--------------------	----------------	----------------------------------	--------	--	--

**Other Financial Flags**

• Warrant Write	WW	IN.7	0	1	2
• Project Purge	PP	TM.P	0	1	2

**(TM) Table Maintenance Flags**

• Descriptor Tables <sup>2</sup> IAP Multi Fund Breakout Payment Process Controls DSHS Tables (Agency 3000 only) DSHS CAS Maintenance - Bien. 03 DSHS CAS Maintenance - Bien. 05	DT	TM.1 TM.B VE.6 TM.D, TM.D.1-.2, TM.D.4-.7 TM.D.M-.P TM.D.A-.I, TM.D.R, TM.D.X	0	1	2	V
• Organization Index Table	OI	TM.2	0	1	2	V
• Appropriation Index Table	AI	TM.3	0	1	2	V
• Program Index Table	PI	TM.4	0	1	2	V
• Project Control Table	PC	TM.5	0	1	2	V
• Vendor Table  Combined Vendor Selection Add Vendor No. to DRS Records	VE	VE.2, VE.2.1, VE.2.2, VE.2.3, VE.2.5 IN.1.V DS.5	0	1	2	V
• Statewide Vendor Table Statewide Vendor Selection Combined Vendor Selection	SWVE	VE.3 IN.1.S (C105P2VE) IN.1.V	0	1		V
• Organization Control Table	OC	TM.7	0	1	2	
• Transaction Code Decision Table	TD	TM.8-TM.8.1		1		V
• Master Index Table	MI	TM.9	0	1	2	V

**(MF) Master File Inquiry Flags**

• Appropriation File Inquiry	AP	MI.1	0	1	
• Allotment File Inquiry	AL	MI.2	0	1	
• Grant Project <sup>3</sup>	GP	n/a	(		
• Operating File Inquiry <sup>4</sup>	OF	n/a	(	1	
• Subsidiary File Inquiry	SF	MI.4	0	1	
• General Ledger File/ Document File Inquiry	GL	MI.3 MI.5, MI.6	0	1	

**(RC) Reporting Control Flags**

• MRS Design	MD	MR.1	0	1	2
• MRS Submit	MS	MR.2	0	1	2
• Report Request	RR	RR.1-RR.3	0	1	2
• On-Demand Report Design	OD	RD.1-RD.2	0	1	2
• On-Demand Report Submit	OS	RD.3	0	1	2

<sup>2</sup> Agency DT flag also controls access to the agency Payment Process Controls screen (VE.6) and allows agency to view or print the statewide descriptor tables from screens TM.1 and AD.2.

<sup>3</sup> Valid agency security level is 0 (no access) for this field

<sup>4</sup> Only the OFM system security administrator can assign level 1 security in this field

Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens:	Levels		
--------------------	----------------	----------------------------------	--------	--	--

**(DR) Disbursement Reporting Flags**

• Disbursement System	DR	DM.1-DM.6, DM.1.1, DM.8, WR.1-WR.2, WR.3, DS.6, DS.7, C105V092 (OMWBE/IRS Detail Update) <sup>5</sup>	0	1	2
• IRS 1099 Reporting System <sup>6</sup>	IR	IR.1-IR.4, IR.7-IR.8	0	1	2
• OMWBE Reporting System	OM	OM.1-OM.4, DM.9	0	1	2
• Purge Disbursement Records	P	DM.1 (Delete Function) DS.4	0	1	2
• Transaction Selection	TS	DS.3	0	1	2
• Agency Profile Maintenance	PF	DS.1 <sup>7</sup> , IR.5-IR.6	0	1	2
• Agency Job Card	JC	DS.2	(		

NOTE: There are other screens in AFRS which users are automatically given access to when they are assigned a Logon ID for AFRS:

- Message screens
- Primary menu and sub-menus
- Batch Interface Log (BI)
- Contact List (CL)
- Exchange Data Sets (EX)
- Inter-Agency Vendor Selection (IN.1.I) (Function 8 on VE Menu)
- The following Master File Inquiry screens
  - Recent History Detail (MI.7)
  - Payment Write File (MI.8)
  - Payments Made Today/This Month (MI.9)
- Documentation Request screen (RR.4)
- View System Security Records (SS.2)
- Master Index Review screen (TM.9.1)

<sup>5</sup> DS.5 is controlled by the Vendor Table (VE) flag.

<sup>6</sup> The following fields on these screens are controlled by the Agency Profile Maintenance (PF) security:

IR.1 - 1099 FORMS CONTROL

IR.1 - RECORD LOCK

<sup>7</sup> DS.1: The YES for Nightly Extract is controlled by Agency. The NO for Nightly Extract is controlled by OFM.

## Accessing The AFRS Security Screens

At the Message 10 screen, type **CICP3**. Press  $\downarrow$  *Enter*.

Type your **Logon ID** and **password**. Press  $\downarrow$  *Enter*.

You will get a screen that says "SIGN-ON COMPLETE."

Type **F002** (F, zero, zero,2). Press  $\downarrow$  *Enter*.

The AFRS message screen will appear. Read the messages and press  $\downarrow$  *Enter* to continue. The AFRS primary menu screen will appear, as follows:

```

=== AFRS ===== PRIMARY MENU ===== C105P05A ===
  TM -- TABLES                               IN -- INPUT/CORRECTION

  MI -- MASTER FILE INQUIRY                   VE -- VENDOR/PAYMENT/CANCELLATION

  RD -- ON-DEMAND REPORTING                   RR -- REPORT REQUEST

  BI -- BATCH INTERFACE LOG                   DR -- DISBURSEMENT REPORTING SYSTEM

  SS -- SYSTEM SECURITY                       OM -- OMWBE REPORTING

  CL -- HELP PHONE LIST                       MR -- MANAGEMENT REPORTING SYSTEM

  EX -- EXCHANGE DATA SETS                   AD -- ADMINISTRATION

                                     AGENCY: _____
                                     SELECT FUNCTION: ____

                                     PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT

PRIVACY NOTICE:
THE AFRS SYSTEM DOES NOT COLLECT PERSONAL INFORMATION FROM SYSTEM USERS.
THE SYSTEM FILES/PRODUCTS MAY CONTAIN PERSONAL INFORMATION ABOUT CITIZENS.
SAFEGUARDING/DISPOSITION OF AFRS FILES/PRODUCTS MUST COMPLY WITH EXECUTIVE
ORDER 00-03, 4/15/00; RCW 42.17.310; AND THE FEDERAL PRIVACY ACT OF 1974.

```

Type your 4-digit agency number in the Agency field and type **SS** (System Security) in the Select Function field. Press  $\downarrow$  *Enter*. The following screen will appear:

```

=== AFRS =(SS)===== SYSTEM SECURITY MAINTENANCE MENU ===== C105P405 ===
TR: _____

                                     1 -- SYSTEM SECURITY

                                     2 -- VIEW SYSTEM SECURITY RECORDS

                                     SELECT FUNCTION: ____

                                     PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT

```



Abbreviations for Security Flags on View System Security Records screen (SS.2) are defined in tables on Pages 4-6. Note that the, following Security Flags do not display on screen SS.2: Transaction Input (TI), Batch Release (BR), and Error Correction (EC). Security Flags for these functions may be set up by batch type and only display on System Security Maintenance screen (SS.1).

If you want to use the Select function (S), type **S** in the Select (SEL) column next to the record you wish to display. Press **↵ Enter**. The Select function will take you directly to the System Security Maintenance screen (SS.1) where you can view, update or delete the record.

## System Security Maintenance Screen (SS.1)

The purpose of the System Security Maintenance screen (SS.1) is to view, add, change or delete *individual* AFRS security records. This screen can be accessed directly from the System Security Maintenance Menu (SS) by selecting function 1 – *OR* – from the View System Security Records screen (SS.2) as explained in the previous section. If accessed from the System Security Maintenance Menu, the screen will appear as follows:

```

=== AFRS =(SS.1)===== SYSTEM SECURITY MAINTENANCE ===== C105P412 ===
TR: _____ FUNCTION: V (A=ADD, C=CHNG, D=DEL, V=VIEW, N=NEXT)
AGENCY: 9990 LOGONID: EFGH999 AFRS SECURITY: 0 STOP USE DATE:

      NAME: USER #2                                PHONE: 360 999 9999

      BATCH INPUT RELEASE                          BATCH INPUT RELEASE
      **      1      2                               ---      -      -
FINANCIAL                                     ---      -      -
TRANSACTIONS                                ---      -      -
BATCH                                        ---      -      -
FLAGS                                        ---      -      -
      ---      -      -                               ---      -      -
      WARR WRITE: 1      PROJECT PURGE: 1

TM FLAGS - DT: 1 OI: 1 AI: 1 PI: 1 PC: 1 VE: 2 SWVE: V OC: 1 TD: 1 MI: 1
MF FLAGS - APPN: 1 ALLOT: 1 GRANT PRJ: 0 OPERATING: 0 SUBSID: 1 GEN LGR/DOC : 1
RC FLAGS - MRS DESIGN: 0 MRS SUBMIT: 0 RPT REQ: 1 O-D DESIGN: 1 O-D SUBMIT: 1
DR FLAGS - DISB: 1 1099: 1 OMWBE: 1 PURGE: 1 TRAN SEL: 1 PROF: 1 JOBCARD: 0
SC FLAGS - BROADCAST: 0 ACTION MSG: 0 JOB CARD: 0 TRAN RESTRICT: 0 UPDATE SM: 0

      PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT

RECORD FOUND

```

There are five functions available on this screen, as follows:

- A** = Add a new security record
- C** = Change an existing security record
- D** = Delete an existing security record
- V** = View an existing security record using Logon ID as the search field
- N** = View the Next consecutive security record

These functions are explained in the sections below.

## Viewing System Security Records in AFRS

*If you know the user's Logon ID:*

- At the System Security Maintenance screen (SS.1), type **V** (View) in the function field and type the user's Logon ID and press ↵ Enter.
- The user record will be displayed and the message "RECORD FOUND" will appear at the bottom of the screen.

*If you don't know the user's Logon ID, there are two options for viewing:*

- At the System Security Maintenance screen (SS.1), type **N** (Next) in the function field and press ↵ Enter.
- The first user record will be displayed. Keep pressing ↵ Enter to view consecutive records. (Note: If you are searching for one particular record and you have more than three or four records in your agency, this method is NOT very efficient!)

– OR –

- On the View System Security Records screen (SS.2), find the user record you wish to view.
- Type **S** (Select) in the left column under the "SEL" heading and press ↵ Enter.
- The system will bring up the SS.1 screen showing the record you selected.

## Adding a System Security Record in AFRS

To add a new user record:

- On the System Security Maintenance screen (SS.1), type **A** (Add) in the function field.
- Fill in the following:
  - Logon ID of user (obtained from DIS)
  - Name of user
  - Phone number of user
  - The "Stop Use Date" field is optional. If you want someone to have access to AFRS for a limited period of time, enter the last date you want the user to have AFRS access (YYMMDD).
  - Level of security user will need for each field.

0 = No access

- 1 = View records and print reports
- 2 = Update records and view and print them
- V = View records

- Refer to **Chart of AFRS Security Fields and Security Levels** on Pages 4-6.
- Press ↵ *Enter*. The message “RECORD ADDED” will appear at the bottom of the screen.

There is an alternative method of adding a record which eliminates having to enter a security level in over 30 fields:

- On the System Security Maintenance screen (SS.1), View the record of a user who has the same security levels as the user you are adding. (See previous section for methods of viewing a particular record.)
- Type **A** (Add) in the function field and type over the user information (Logon ID, Name, Phone, SSN) with the user information of the record you are adding.
- Verify the security levels and press ↵ *Enter*.

### Changing a System Security Record in AFRS

To change an existing user record:

- On the System Security Maintenance screen (SS.1), View the user record you wish to change using one of the methods described above.
- Type **C** (Change) in the function field and type over the information you wish to change.
- Press ↵ *Enter*. The message “RECORD CHANGED” will appear at the bottom of the screen.

### Deleting a Security Record in AFRS

To delete an existing user record:

- On the System Security Maintenance screen (SS.1), View the user record you wish to delete using one of the methods described above.
- Type **D** (Delete) in the function field and press ↵ *Enter*. The message “PRESS ENTER TO DELETE ABOVE RECORD” will appear at the bottom of the screen.
- Press ↵ *Enter* again. The message “ABOVE RECORD DELETED” will appear at the bottom of the screen.

## Capital Asset Management System (CAMS)

The *agency CAMS security administrator* is responsible for maintaining all security records in CAMS for users within your agency. In order to add, change or delete a user record, contact your *agency CAMS security administrator* and provide the following information. (See Appendix C for “CAMS Logon Registration and Change Form.” This form is optional and is for agency use only.)

- Logon ID of user (obtained from DIS)
- Priority code you want the user to have. The priority code is the security level of the user. Available options are as follows:
  - 02 = Inquire only
  - 04 = Browse for records
  - 08 = Report request
  - 10 = Add asset records
  - 12 = Change asset records
  - 14 = Dispose asset records
  - 16 = Purge asset records
  - 18 = Add user records to CAMS
- The bin number (at DIS Service Center)
- The funds for which the user needs to have access (Note: Each individual can be assigned up to 25 funds. The user will only be able to add, change, delete or purge asset records in the funds shown on this screen.)

### Accessing the CAMS Security Screens

At the Message 10 screen, type **CICP3**. Press **↵ Enter**.

Type your **Logon ID** and **password**. Press **↵ Enter**.

You will get a screen that says “Sign-on is complete (Language E).”

The command you use next depends on the function (add, change, or delete) you wish to perform. See appropriate section below for instructions.

**Adding a User Security Record in CAMS**

Type **FC23**. Press **↵ Enter**

The following screen will appear:

```

=== PMS ===== ADD CLEARANCE RECORD MENU ===== C105C023 ===

          LOGON          PRIORITY          AGENCY          BIN
          _____          _____          _____          _____

          AUTHORIZATIONS (TYPE IN UP TO 25 FUNDS)

1.  _____    2.  _____    3.  _____    4.  _____    5.  _____
6.  _____    7.  _____    8.  _____    9.  _____   10. _____
11. _____   12. _____   13. _____   14. _____   15. _____
16. _____   17. _____   18. _____   19. _____   20. _____
21. _____   22. _____   23. _____   24. _____   25. _____

          PF3=END SESSION, ENTER=ADD RECORD
  
```

- Type the user information in the following fields:

Logon ID  
 Priority Code (2-digit)  
 Agency Number (4-digit)  
 Bin Number at DIS  
 Fund Number(s) as required

- Press **↵ Enter**. The message “RECORD ADDED” will be displayed at the bottom of the screen.
- Repeat to add another user or press [PF3] to exit.

### Changing a User Security Record in CAMS

Type **FC24**. Press ↵ *Enter*. The following screen will appear:

```

=== PMS ===== CHANGE A CLEARANCE RECORD ===== C105C024 ===

                                CICS LOGON ID TO CHANGE: _____

                                PF3 KEY=END THE SESSION, ENTER=PROCEED WITH CHANGE
  
```

- Type the Logon ID of the user whose record you want to change. Press ↵ *Enter*. The following screen will appear:

```

=== PMS ===== CLEARANCE CHANGE MENU ===== C105C025 ===

                                LOGON          PRIORITY    AGENCY      BIN
                                USERXXX      XX           XXXX        XX

                                AUTHORIZATIONS (UP TO 25 FUNDS)

                                1. 001          2. 006          3. 041          4. 057          5. 058
                                6. _____  7. _____  8. _____  9. _____  10. _____
                                11. _____ 12. _____ 13. _____ 14. _____ 15. _____
                                16. _____ 17. _____ 18. _____ 19. _____ 20. _____
                                21. _____ 22. _____ 23. _____ 24. _____ 25. _____

                                PF3 KEY=END THE SESSION, ENTER=CHANGE CLEARANCE RECORD
  
```

- Type in the information you wish to change. (Note: You cannot change the Logon ID on this screen. If a record is set up with an incorrect Logon ID, delete the incorrect record and add a new record with the correct Logon ID.)
- Press ↵ *Enter*. The system will take you back to the previous screen (“Change a Clearance Record”) and will display the message “PREVIOUS CHANGE PROCESSED.”
- Repeat to change another user record or [PF3] to exit

**Deleting a User Security Record in CAMS**

Type **FC26**. Press **↵ Enter**. The following screen will appear:

```

=== PMS ===== PURGE A CLEARANCE RECORD MENU ===== C105C026 ===

                                CICS LOGON ID TO PURGE: _____

                                PF3 KEY=END THE SESSION, ENTER=PROCEED WITH PURGE
  
```

- Type the Logon ID of the user whose record you wish to delete. Press **↵ Enter**. The following screen will appear:

```

=== PMS ===== CLEARANCE PURGE MENU ===== C105C027 ===

                                LOGON          PRIORITY      AGENCY          BIN
                                USERXXX       XX              XXXX            XX

                                AUTHORIZATIONS (UP TO 25 FUNDS)

                                1. 001          2. 006          3. 041          4. 057          5. 058
                                6. ____         7. ____         8. ____         9. ____         10. ____
                                11. ____        12. ____        13. ____        14. ____        15. ____
                                16. ____        17. ____        18. ____        19. ____        20. ____
                                21. ____        22. ____        23. ____        24. ____        25. ____

                                PF3 KEY=END THE SESSION, ENTER=PURGE CLEARANCE RECORD
  
```

- Verify that this is the record you wish to delete.
  - ⇒ If this is **not** the record you wish to delete, press [PF3] to cancel your request.
- Press **↵ Enter**. The system will take you back to the previous screen (“Purge a Clearance Record Menu”) and will display the message “PREVIOUS RECORD PURGED.”
- Repeat to delete another user record or [PF3] to exit.

### Exiting the CAMS Security Screens

When you are finished with any of these functions, press [PF3] to exit.  
The screen will display the message “SESSION ENDED.”

Type LOGOFF and press ↵ *Enter* to end the CICS session.

## The Allotment Preparation System (TAPS)

The *agency TAPS security administrator* is responsible for maintaining all security records in TAPS for users within your agency. In order to add, change or delete a user record, contact your *agency TAPS security administrator* and provide the following information. (See Appendix C for “TAPS System Security Maintenance” form. This form is optional and is for agency use only.)

- Logon ID of user (obtained from DIS)
- Name of user
- Phone number of user
- Level of security user will need for each field (see below), as follows:

0 = No access  
1 = View only access  
2 = Update privilege

- The “Stop Use Date” field is optional. If you want someone to have access to TAPS for a limited period of time, enter the last date you want the user to have TAPS access (YYMMDD).

Available fields are as follows:

	<b><u>Screen SS.2 Abbreviation</u></b>	<b><u>TAPS Screens</u></b>
• TAPS Security <sup>8</sup>	TAPS	SS.1,2
<b><u>Packet/Batch Transaction Flags</u></b>		
• Transaction input	TRAN	IN.1,2,3
• Report request	RREQ	PM.1
• Packet delete	DLET	PM.2
• Packet release (to OFM/AFRS)	RELS	PM.3,4
<b><u>System Control Maintenance Flags (for OFM use only)</u></b>		
• Broadcast message	BROD	SC.1
• Action message	ACTM	SC.2
• Job card	JOBC	SC.3

<sup>8</sup> Only the OFM system security administrator can assign a level 2 in this field

## Accessing the TAPS Security Screens

At the Message 10 screen, type **CICP3**. Press  $\downarrow$  *Enter*.

Type your **Logon ID** and **password**. Press  $\downarrow$  *Enter*.

You will get a screen that says “Sign-on is complete (Language E).”

Type **FA01** (F, A, zero, 1). Press  $\downarrow$  *Enter*.

The TAPS message screen will appear. Read the messages and press  $\downarrow$  *Enter* to continue. The TAPS Primary Menu screen will appear, as follows:

```
=== TAPS ===== PRIMARY MENU ===== C105A008 ===  
  
      IN -- INPUT/CORRECTION  
  
      PM -- PACKET MAINTENANCE  
  
      SS -- SYSTEM SECURITY  
  
      SC -- SYSTEM CONTROL  
  
      AGENCY: _____  
  
      SELECT FUNCTION: ____  
  
      PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT  
  
PRIVACY NOTICE:  
THE TAPS SYSTEM DOES NOT COLLECT PERSONAL INFORMATION FROM USERS OF THE  
SYSTEM. THE SYSTEM FILES DO NOT CONTAIN PERSONAL INFORMATION ABOUT CITIZENS.
```

Type your 4-digit agency number in the Agency field and type **SS** (System Security) in the Select Function field. Press  $\downarrow$  *Enter*.

The System Security Maintenance Menu (SS) will display as follows:

```
=== TAPS =(SS)===== SYSTEM SECURITY MAINTENANCE MENU ===== C105A011 ===  
TR: _____  
  
      1 -- SYSTEM SECURITY  
  
      2 -- VIEW SYSTEM SECURITY RECORDS  
  
      SELECT FUNCTION: ____  
  
      PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT
```



## System Security Maintenance Screen (SS.1)

The purpose of the System Security Maintenance screen (SS.1) is to view, add, change or delete *individual* TAPS security records. This screen can be accessed directly from the System Security Maintenance Menu (SS) by selecting function 1. When selected, the screen will appear as follows:

```
=== TAPS =(SS.1)===== SYSTEM SECURITY MAINTENANCE ===== C105A024 ===  
TR: _____  
  
FUNCTION: _ (A=ADD, C=CHANGE, D=DELETE, V=VIEW, N=NEXT)  
  
AGENCY: 9990 LOGONID: _____ TAPS SECURITY: _  
  
NAME: _____ PHONE: ____ ____  
  
STOP USE DATE: _____  
  
PACKET/BATCH TRANSACTION FLAGS  
TRANSACTION INPUT: 0 REPORT REQUEST: 0 PACKET DELETE: 0  
PACKET RELEASE: 0  
  
SYSTEM CONTROL MAINTENANCE FLAGS  
BROADCAST MESSAGE: 0 ACTION MESSAGE: 0 JOB CARD: 0  
  
PF3=RETURN, PF12=MESSAGE, CLEAR=NEXT
```

There are six functions available on this screen, as follows:

- A** = Add a new security record
- C** = Change an existing security record
- D** = Delete an existing security record
- V** = View an existing security record using Logon ID as the search field
- N** = View the Next consecutive security record
- S** = Search for and View an existing security record using Logon ID as the search field

These functions are explained in the sections below.

## Viewing Security Records in TAPS

*If you know the user's Logon ID:*

- At the System Security Maintenance screen (SS.1), type **V** (View) in the function field and type the user's Logon ID and press ↵ Enter.
- The user record will be displayed and the message "RECORD FOUND" will appear at the bottom of the screen.

*If you don't know the user's Logon ID:*

- At the System Security Maintenance screen (SS.1), type **N** (Next) in the function field and press ↵ Enter.
- The first user record will be displayed. Keep pressing ↵ Enter to view consecutive records. (Note: If you are searching for one particular record and you have more than three or four records in your agency, this method is NOT very efficient! A quicker option is to use the View System Security Records screen (SS.2) to find the Logon ID and then use one of the view options described above.)

## Adding a Security Record in TAPS

To add a new user record:

- On the System Security Maintenance screen (SS.1), type **A** (Add) in the function field.
- Fill in the following fields:
  - Logon ID of user (obtained from DIS)
  - Name of User
  - Level of security user will need for each field:
    - 0 = No access
    - 1 = View only access
    - 2 = Update privilege

**Refer to Chart of Security Flags and screens accessed by them on Page 18.**

- The "Stop Use Date" field is optional. If you want someone to have access to TAPS for a limited period of time, enter the last date you want the user to have TAPS access (YYMMDD)
- Press ↵ *Enter*. The message "RECORD ADDED" will appear at the bottom of the screen.

There is an alternative method of adding a record which eliminates having to enter the security levels:

- On the System Security Maintenance screen (SS.1), View the record of a user who has the same security levels as the user you are adding. (See above for methods of viewing a particular record.)
- Type **A** (Add) in the function field and type over the user information (Logon ID, Name, Phone, SSN) with the user information of the record you are adding.
- Verify the security levels and press ↵ *Enter*.

### Changing a Security Record in TAPS

To change an existing user record:

- On the System Security Maintenance screen (SS.1), View the user record you wish to change using one of the methods described above.
- Type **C** (Change) in the function field and type over the information you wish to change.
- Press ↵ *Enter*. The message “RECORD CHANGED” will appear at the bottom of the screen.

### Deleting a Security Record in TAPS

To delete an existing user record:

- On the System Security Maintenance screen (SS.1), View the user record you wish to delete using one of the methods described above.
- Type **D** (Delete) in the function field and press ↵ *Enter*. The message “PRESS ENTER TO DELETE ABOVE RECORD” will appear at the bottom of the screen.
- Press ↵ *Enter* again. The message “ABOVE RECORD DELETED” will appear at the bottom of the screen.

## ALLOTMENT PREPARATION SYSTEM (APS) BUDGET PREPARATION SYSTEM 1 (BPS1)

The *OFM system security administrator* is responsible for maintaining all security records in APS and BPS for all agencies. In order to add, change or delete a user security record, the agency must complete a “BPS/APS Security Maintenance” form and it must be approved by the *agency APS/BPS/BASS security administrator*. Complete a separate form for each user. (See Appendix B for a copy of the BPS/APS Security Maintenance form.)

Complete the following fields on the BPS/APS Security Maintenance form:

- System (APS / BPS1) – circle all that apply
- Type of request (Add, Change, Delete)
- Logon ID of user (obtained from DIS)
- Operator ID of user (obtained from DIS). **Required for BPS1.**  
**Not required for APS.**
- Level of access requested (**for APS only**):

B = Browse (Authorized to view records)  
W = Write (Authorized to view, add & print records)  
R = Release (Authorized to view, add & print records and to release batches)

- Agency number
- Sub-agency numbers (if any) for which user needs access
- User name
- Telephone number of user
- FAX number of user
- Mail stop of user
- Bin number (at DIS Service Center)
- Effective date of request
- DIS Work Authorization number
- Name of requester
- Telephone number of requester
- Date of request

Forward the form to your *agency APS/BPS/BASS security administrator* for approval. The *agency APS/BPS/BASS security administrator* should sign and fill in his/her telephone number and the date.

Forward the completed form to:

*Financial Systems Security Administrator  
OFM Accounting & Administrative Services Division  
Mail stop 43113  
Olympia, WA 98504-3113*

The ***OFM system security administrator*** will verify the authorizing signature, enter the data into the appropriate system(s) (APS, BPS1), and notify the new agency user that the update is complete.

## BUDGET AND ALLOTMENT SUPPORT SYSTEMS (BASS)

The *OFM system security administrator* is responsible for maintaining all security records in BASS for all agencies. In order to add, change or delete a user security record, the agency must complete a “BASS” Security Maintenance” form and it must be approved by the *agency APS/BPS/BASS security administrator*. Complete a separate form for each user. (See Appendix B for a copy of the BASS Security Maintenance form.)

Complete the following fields on the BASS Security Maintenance form:

### Select Systems:

- System Action (Check whether to Add or Delete Access for each System.)
- Security Level (If adding BDS or CBS access, check a Security Level.)
- Data Release to OFM (Check if user should be able to release data from PMTES, BDS or CBS.)
- State Intranet Access. (If you can access <http://swfs.ofm.wa.gov>, you have access.) If you do not have access, check the Add Access box.

### User Identification

- Agency Code #
- Agency Name
- User name
- Telephone number of user
- FAX number of user
- E-Mail Address of user
- Name of requester
- Date of request
- Telephone number of requester
- Effective date of requested security update

Forward the form to your *agency APS/BPS/BASS security administrator* for approval. The *agency APS/BPS/BASS security administrator* should sign and fill in his/her telephone number and the date.

Forward the completed form to:

*Financial Systems Security Administrator  
OFM Accounting & Administrative Services Division  
Mail stop 43113  
Olympia, WA 98504-3113*

The ***OFM system security administrator*** will verify the authorizing signature, enter the data into the appropriate BASS system(s), and notify the new agency user that the update is complete.

**Appendix A**  
**Agency Security Administrator Forms**

**Form 1:**

***Agency Security Administrator and Alternate(s) Form  
for OFM products AFRS, TAPS, CAMS, & TMS***

## AGENCY SECURITY ADMINISTRATOR AND ALTERNATE(S) FOR OFM PRODUCTS: AFRS, TAPS, CAMS AND TMS

AGENCY #: \_\_\_\_\_ NAME: \_\_\_\_\_

**Check here if this form supersedes previous forms.**

*The following individuals are designated as Agency Security Administrators for the financial systems indicated below. They are authorized to assign security for individuals within this agency.*

**PRIMARY:**

\_\_\_ *Add* Name: \_\_\_\_\_ Logon ID: |\_|\_|\_|\_|\_|\_|\_|\_|\_|  
Phone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

\_\_\_ *Delete* Name: \_\_\_\_\_ Logon ID: |\_|\_|\_|\_|\_|\_|\_|\_|\_|  
Phone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

**ALTERNATES:**

\_\_\_ *Add* Name: \_\_\_\_\_ Logon ID: |\_|\_|\_|\_|\_|\_|\_|\_|\_|  
\_\_\_ *Delete* Phone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

\_\_\_ *Add* Name: \_\_\_\_\_ Logon ID: |\_|\_|\_|\_|\_|\_|\_|\_|\_|  
\_\_\_ *Delete* Phone: \_\_\_\_\_ E-Mail: \_\_\_\_\_

**PRODUCTS (Check the financial systems this form applies to):**

\_\_\_ AFRS (Agency Financial Reporting System)      \_\_\_ TAPS (The Allotment Preparation System)  
\_\_\_ CAMS (Capital Asset Management System)      \_\_\_ TMS (Time Management System)

DIS Work Authorization # (Required if this is a new system for your agency) |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

**APPROVAL OF AGENCY DIRECTOR OR DESIGNEE:**

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Printed Name \_\_\_\_\_ Phone Number \_\_\_\_\_  
Title \_\_\_\_\_ Mail Stop \_\_\_\_\_

Send **original** form to: *Financial Systems Security Administrator  
FM Accounting & Administrative Services Division  
PO Box 43113  
Olympia, WA 98504-3113(OFM USE ONLY)*

System security changes made:

AFRS: by \_\_\_\_\_ date \_\_\_\_\_ CAMS: by \_\_\_\_\_ date \_\_\_\_\_  
TAPS: by \_\_\_\_\_ date \_\_\_\_\_ TMS: by \_\_\_\_\_ date \_\_\_\_\_

**Form 2:**

***Agency Security Administrator and Alternate(s) Form  
for OFM Products APS, BPS1, & BASS***

**AGENCY SECURITY ADMINISTRATOR AND ALTERNATE(S)  
FOR OFM PRODUCTS: APS, BPS1, AND BASS**

AGENCY #: \_\_\_\_\_

AGENCY NAME: \_\_\_\_\_

\_\_\_\_\_ **ADD**

\_\_\_\_\_ **UPDATE**

\_\_\_\_\_ **DELETE**

*The following individuals are designated as Agency Security Administrators for the financial systems indicated below. They are authorized to approve APS/BPS and BASS security Maintenance forms for this agency.*

**PRIMARY:** Signature \_\_\_\_\_

Printed Name \_\_\_\_\_ Phone # \_\_\_\_\_

**ALTERNATE:** Signature \_\_\_\_\_

Printed Name \_\_\_\_\_ Phone # \_\_\_\_\_

**ALTERNATE:** Signature \_\_\_\_\_

Printed Name \_\_\_\_\_ Phone # \_\_\_\_\_

**Check the financial systems this form applies to:**

\_\_\_\_\_ APS (Allotment Preparation System)

\_\_\_\_\_ BPS1 (Budget Preparation System 1)

\_\_\_\_\_ BASS (Budget Allotment Support System)

**APPROVAL OF AGENCY DIRECTOR OR DESIGNEE:**

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Phone Number \_\_\_\_\_

Title \_\_\_\_\_ Mail Stop \_\_\_\_\_

Send **original** form to:

*Financial Systems Security Administrator  
OFM Accounting & Administrative Services Division  
PO Box 43113  
Olympia, WA 98504-3113*

## **Appendix B**

### ***BPS1/APS Security Maintenance Form***

**(This form is mandatory for these systems.)**

### APS / BPS SECURITY MAINTENANCE

System(s):	<b>APS</b>	<b>BPS1</b>	(Circle those that apply.)	___ Add
				___ Change
				___ Delete
Logon ID *:	_ _ _ _ _ _ _ _ _			
Operator ID (OpID) *:	_ _ _ _  (Required for BPS1)			
Security Level (APS Only: B=Browse, W=Write, R=Release)				___
Agency #:	_ _ _ _	Subagency #'s:	_ _ _ _   _ _ _ _   _ _ _ _	
User Name:	_____			
Telephone: ( _____ )	_____	FAX: ( _____ )	_____	
Mail Stop:	_____	E-Mail:	_____	
Effective Date:	_____	Bin #:	_____	
DIS Work Authorization #	_ _			
	Agency	Sub	Acct Number	System
Requested by:	_____			Date: _____
Telephone #: ( _____ )	_____			
<b>Approval Signature</b>	_____			Date: _____
Telephone #: ( _____ )	_____			
* Logon ID and Operator ID are obtained from the Dept of Information Services. Contact your agency RACF security administrator to obtain ID's for a new employee.				

Send **original** form to: *Financial Systems Security Administrator*  
*OFM Accounting & Administrative Services Division*  
*PO Box 43113*  
*Olympia, WA 98504-3113*

For same-day service, FAX form to (360) 664-3363. **Please also send the original form.**

(OFM USE ONLY)			
Product Manager Approval:	_____	Date:	_____
User record entered by:	_____	Date:	_____

## **Appendix C**

### ***BASS Security Maintenance Form***

#### **Includes:**

**Budget Development System (BDS),**

**Budget Reporting System (BRS) (formerly VRS)**

**Capital Budgeting System (CBS)**

**Performance Measure Tracking & Estimates System (PMTES)**

**BPS1 Extract** (To access Excel spreadsheet in BASS containing report extracted from BPS1)

**(This form is mandatory for these systems.)**



## **Appendix D**

### ***System Security Maintenance Forms AFRS, CAMS, TAPS***

**(These forms are optional and are for internal agency use only.)**



Form State of Washington  
 A61 **AFRS SYSTEM SECURITY MAINTENANCE**  
 (Rev. 4/03) (For Internal Agency Use Only)

Refer to: OFM Financial Systems Security User Documentation,  
 pp. 4-6 and 55-60 for valid codes for this form.

Approved By: \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_  
 name date phone #

Entered By: \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_  
 name date phone #

ADD  CHANGE  DELETE

Agency #:	LOGON ID:	AFRS Security: <b>OFM use only.</b>	Stop Use Date: (Optional) yy mm dd
User Name:		Phone: ( ) -	

**FINANCIAL TRANSACTION FLAGS**

Batch Type	Input	Release	Error Correct	Batch Type	Input	Release	Error Correct

Warrant Write  Project Purge

**TABLE MAINTENANCE FLAGS**

TM Flags DT  OI  AI  PI  PC  VE  SWVE  OC  TD  MI   
agency 0, 1 only agency 1, V only

**MASTER FILE INQUIRY FLAGS**

MI Flags Appropriation  Allotment  Grant Project  0 Operating  Subsidiary  Gen.Ledger & Document   
agency 0 only agency 1 requires OFM set-up

**REPORTING CONTROL FLAGS**

RC Flags MRS Design  MRS Submit  Report Request  On-Demand Design  On-Demand Submit

**DISBURSEMENT REPORTING FLAGS**

DR Flags Disb.  1099  OMWBE  Purge  Tran.Sel.  Profile  Job Card  0

**OFM ONLY**

**SYSTEM CONTROL MAINTENANCE FLAGS**

SC Flags Broadcast  0 Action  0 Job Card  0 Tran. Restrict  0 Update SM  0







Form State of Washington  
 A67 **TAPS SYSTEM SECURITY MAINTENANCE**  
 (Rev. 4/03) (For Internal Agency Use Only)

Approved By: \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_  
name date phone #  
 Entered By: \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_  
name date phone #

ADD  CHANGE  DELETE

Agency #:	LOGON ID:	TAPS Security: <b>OFM use only.</b>
User Name:		Phone: ( ) -
Stop Use Date: (Optional) yy mm dd		

**PACKET/BATCH TRANSACTION FLAGS**

TRANSACTION INPUT  REPORT REQUEST  PACKET DELETE   
 PACKET RELEASE

**OFM ONLY**  
**SYSTEM CONTROL MAINTENANCE FLAGS**

BROADCAST  ACTION  JOB CARD



## **Appendix E**

### ***Examples of How to Set Up AFRS Batch Type Security Feature***



## Internal Control

In considering vendor payments, a major concern for agencies is internal control. Regardless of the payment option used, agency internal controls must be established and practiced. The AFRS system security feature can be used as one internal control tool. **OFM recommends using AFRS system security to separate the duties of transaction input, batch release, error correction and agency vendor maintenance.**

To review your agency's security records, type

- SS (System Security) at the AFRS Primary Menu and
- 2 (View System Security Records) at the System Security Maintenance Menu
- S to the left of a Logon ID to review an individual record on screen SS.1 below.

**OR**

- P (Print) in Function and press Enter to request report of your agency's security records.
  - The Batch Job Submission screen will appear.
  - Then press Enter to order the AFRS Security System Report listing all your agency's AFRS Logon IDs and their security flags. (See sample report on Page 60.)

When reviewing your records on Screen SS.1, these are the functions that need to be separated:

Transaction Intput

Batch Release

Agency Vendor Table

```

=== AFRS =(SS.1)===== SYSTEM SECURITY MAINTENANCE ===== C105P412 ===
TR: _____ FUNCTION: V (A=ADD, C=CHNG, D=DEL, V=VIEW, N=NEXT)
AGENCY: 9990 LOGONID: EFGH999 AFRS SECURITY: 0 STOP USE/DATE:

NAME: USER #2 PHONE: 360 999 9999

      BATCH INPUT RELEASE          BATCH INPUT RELEASE
      **      1      2              ---      -      -
FINANCIAL          ---      -      -          ---      -      -
TRANSACTIONS      ---      -      -          ---      -      -
BATCH              ---      -      -          ---      -      -
FLAGS              ---      -      -          ---      -      -
WARR WRITE: 1     PROJECT PURGE: 1

TM FLAGS - DT: 1 OI: 1 AI: 1 PI: 1 PC: 1 VE: 2 SWVE: V OC: 1 TD: 1 MI: 1
MF FLAGS - APPN: 1 ALLOT: 1 GRANT PRJ: 0 OPERATING: 0 SUBSID: 1 GEN LGR/DOC : 1
RC FLAGS - MRS DESIGN: 0 MRS SUBMIT: 0 RPT REQ: 1 O-D DESIGN: 1 O-D SUBMIT: 1
DR FLAGS - DISB: 1 1099: 1 OMWBE: 1 PURGE: 1 TRAN SEL: 1 PROF: 1 JOBCARD: 0
SC FLAGS - BROADCAST: 0 ACTION MSG: 0 JOB CARD: 0 TRAN RESTRICT: 0 UPDATE SM: 0

PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT

RECORD FOUND
  
```

Security records which display with batch type \*\* indicate ALL batch types. These security records may be changed to restrict access to specific batch types or groups of batch types.

The **Transaction Input (TI)** flag controls access to the following screens and functions:

Screen Descriptions	Screen Numbers
Transaction Input and Review Screens	IN.1, IN.1.1, IN.1.2, IN.1.3, IN.1.4, IN.1.6, IN.1.7
<b>Batch Delete Function</b> on Batch Release Screen	IN.1.5
Combined Vendor Selection Screen	IN.1.V
Statewide Vendor Selection	C105P20V
Recall Batch for Correction Screen	IN.2
Batch Header Summary	IN.3 & all functions from Screen IN.3
Automated Warrant Cancellation	VE.7, VE.7.1, VE.7.1.1
Reprint Registers/Remittances	MI.A
Inter-Agency Billing Payment Display	MI.B

The **Batch Release (BR)** field controls access to the **Release Function** on the Batch Balancing screen (IN.1.5) which is the screen used to release batches for nightly processing, place batches on hold, and delete entered batches. As noted above, security access to the Delete Function on screen IN.1.5 is controlled by the Transaction Input field.

The **Error Correction (EC)** field controls access to the Error Correction screens (IN.4, IN.5 and IN.6). Any transactions that do not pass the batch edits during the nightly processing are displayed on the IN.4 screen and can be corrected on the IN.5 or IN.6 screen. This is an area that is often overlooked by agencies when evaluating their internal procedures and controls.

The **Vendor Edit (VE)** flag controls access to the following screens:

Screen Descriptions	Screen Numbers
Vendor Edit, View and Print	VE.2, VE.2.1, VE.2.2, VE.2.3, VE.2.5
Vendor Edit Delete	VE.2.1
Vendor Global Name/Number Change	VE.2.2
Add Vendor Number to DRS Records	DS.5
Combined Vendor Selection Screen	IN.1.V

The security levels available for these (and most AFRS) screens are:

- 0 = No Access
- 1 = View Records and Print Reports
- 2 = Update Authority
- 3 = Release batches from screen IN.1.5 with errors. Transactions with errors will go to overnight error file.
- V = View Only (for Vendor Edit and Table Maintenance screens)

An individual user with security level 2 for these four flags has the capability to add vendors, input transactions, change transactions that hit the error file and release batches. **OFM strongly recommends that agencies separate these duties to the extent possible!** OFM recommends assigning individuals a security level 2 for a **specified batch type** in only **one** of these areas. Thus, the person performing transaction input cannot also release the batch, and the person releasing the batch cannot change the batch in any way. When this separation of duties using AFRS security is not possible, there must be compensating controls in place to meet internal control requirements. Agencies should work with their auditors to ensure their practices conform to audit standards.

## Batch Type

- Batch Type is an alphanumeric field used in the AFRS Batch Header along with Batch Date and Batch Number to uniquely identify and segregate AFRS Batch information within an agency
- The Agency, Batch Date, Batch Type, and Batch Number of the Batch Header are applied to each transaction in a batch along with a sequence number to uniquely identify every transaction in a batch.
- Agencies often use batch type to group types of transactions or to identify the section and/or location where a batch originates.
- There are several batch types that agencies may not use when entering transactions because they are used by statewide systems such as payroll or accounts receivable or by the State Treasurer. While there are edits restricting the use of these batch types on the input screens and the AFRS Batch Interface process, there are no restrictions on these batch types on the security screens because error corrections may have to be done on them. For example, someone may need to be set up with security access to do error correction on payroll batches beginning with P and, occasionally, AFRS payment wrap batches beginning with W.
- On the System Security Maintenance Screen SS.1:
  - The Batch Type field is alphanumeric and required with a security level indicator for Input, Release, and Error Correction.
  - In the Batch Type Field, specific batch types may be entered or the wildcard ‘\*\*\*’ to indicate all batch types.
  - The screen allows up to 12 separate batch types or groups of batch types (using the wildcard) to be specified for a Logon ID.
  - You may also enter a character in the first position of the batch type with the wildcard ‘\*’ in the second position. For example, ‘B\*’ for all batch types beginning with ‘B’; or ‘2\*’ for all batch types ending with ‘2’.
  - Through the use of wildcards, it is possible to overlap batch types and security access. For instance, an individual could have:
    - **Update** access (flag value of ‘2’) for **Input** for all batches that start with C (Batch Type ‘C\*’) **and**
    - **View** access (flag value of ‘1’) for **Input** for Batch Type ‘CE’.In this case, AFRS will use the more specific batch type security of ‘CE’ when a user attempts to enter or change a transaction and will **not** refer to the ‘C\*’ batch type security. Any other batch type that starts with the letter ‘C’ will use the more generic security access.

NAME: USER B			PHONE: 360 999 9993			
	BATCH	INPUT	RELEASE	BATCH	INPUT	RELEASE
	C*	2	1	---	-	-
FINANCIAL	CE	1	1	---	-	-
TRANSACTIONS	---	-	-	---	-	-
BATCH	---	-	-	---	-	-
FLAGS	---	-	-	---	-	-
	WARR	WRITE: 1	---	PROJECT	PURGE: 1	---
TM FLAGS - DT: 1 OI: 1 AI: 1 PI: 1 PC: 1 VE: 1 SWVE: 1 OC: 1 TD: 1 MI: 1						

## Examples

### Sample Agency - User #1 - Agency Vendor Table - Update Function

User #1 was assigned to Update (Level 2) the Agency Vendor Table.

User #1 has view access (Level 1) for the Input and Release functions for all batch types (designated by \*\*).

NAME: USER #1			PHONE: 360 999 9991			
	BATCH	INPUT	RELEASE	BATCH	INPUT	RELEASE
	**	1	1	---	-	-
FINANCIAL	---	-	-	---	-	-
TRANSACTIONS	---	-	-	---	-	-
BATCH	---	-	-	---	-	-
FLAGS	---	-	-	---	-	-
	WARR	WRITE: 1	---	PROJECT	PURGE: 1	---
TM FLAGS - DT: 1 OI: 1 AI: 1 PI: 1 PC: 1 VE: 2 SWVE: 1 OC: 1 TD: 1 MI: 1						

### Sample Agency - User #2 - Input Function - Batch Types A\* & B\* Release Function - Batch Types C\* & D\*

User #2 was given the **Input function** (Level 2) for batches beginning with A & B and the **Release function** (Level 2) for batches beginning with C & D.

User #2 has only view access (Level 1) for Agency Vendor Table.

NAME: USER #2			PHONE: 360 999 9992			
	BATCH	INPUT	RELEASE	BATCH	INPUT	RELEASE
	A*	2	1	---	-	-
FINANCIAL	B*	2	1	---	-	-
TRANSACTIONS	C*	1	2	---	-	-
BATCH	D*	1	2	---	-	-
FLAGS	---	-	-	---	-	-
	WARR	WRITE: 1	---	PROJECT	PURGE: 1	---
TM FLAGS - DT: 1 OI: 1 AI: 1 PI: 1 PC: 1 VE: 1 SWVE: 1 OC: 1 TD: 1 MI: 1						

### Sample Agency - User #3 - Release Function - Batch Types A\* & B\* Input Function - Batch Types C\* & D\*

User #3 was given the **release function** (Level 2) for batches beginning with A & B & the **Input function** (Level 2) for batches beginning with C & D.

User #3 has only view access (Level 1) for Agency Vendor Table.

NAME: USER #3			PHONE: 360 999 9993			
	BATCH	INPUT	RELEASE	BATCH	INPUT	RELEASE
	A*	1	2	—	—	—
FINANCIAL	B*	1	2	—	—	—
TRANSACTIONS	C*	2	1	—	—	—
BATCH	D*	2	1	—	—	—
FLAGS	—	—	—	—	—	—
	WARR	WRITE: 1	—	PROJECT	PURGE: 1	—
TM FLAGS - DT: 1 OI: 1 AI: 1 PI: 1 PC: 1 VE: 1 SWVE: 1 OC: 1 TD: 1 MI: 1						



## Legend for Security Report

Security Flag Name	Report Abbrev	Controls Access to AFRS Screens:	Levels		
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• AFRS Security <sup>9</sup> Agency Transaction Edit Controls	SEC	SS.1-SS.2 TM.A.1, TM.A.2, TM.A.3, TM.A.4	0	1	2
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### Financial Transaction Batch Flags (Are listed in columns after each batch type.)

• Transaction <u>I</u> nput  & Reprint Registers/Remittances & Inter-Agency Billing Pmt. Display & Warrant Cancellation Input	1st column after each batch type.	IN.1, IN.1.1, IN.1.2, IN.1.V, SW Vendor Selection - C105P20V, IN.1.4, IN.1.5 Batch Delete, IN.1.6, IN.1.7, IN.2, IN.3, (all select functions on IN.3), IN.3.1, MI.A, MI.B, VE.7, VE.7.1, VE.7.1.1	0	1	2
• Batch <u>R</u> elease	2nd column	IN.1.5 Batch Release	0	1	2 3
• Error <u>C</u> orrection	3rd column	IN.4, IN.5, IN.6	0	1	2

### Other Financial Flags

• Warrant Write	WARR	IN.7	0	1	2
• Project Purge	PPRG	TM.P	0	1	2

### (TM) Table Maintenance Flags

• Descriptor Tables <sup>10</sup> IAP Multi Fund Breakout Payment Process Controls DSHS Tables (Agency 3000 only) DSHS CAS Maintenance – Bien. 03 DSHS CAS Maintenance – Bien. 05	DT	TM.1 TM.B VE.6 TM.D, TM.D.1-.2, TM.D.4-.7 TM.D.M-.P TM.D.A-.I, TM.D.R, TM.D.X	0	1	2	V
• Organization Index Table	OI	TM.2	0	1	2	V
• Appropriation Index Table	AI	TM.3	0	1	2	V
• Program Index Table	PI	TM.4	0	1	2	V
• Project Control Table	PC	TM.5	0	1	2	V
• Vendor Table  Combined Vendor Selection Add Vendor No. to DRS Records	VE	VE.2, VE.2.1, VE.2.2, VE.2.3, VE.2.5 IN.1.V DS.5	0	1	2	V
• Organization Control Table	OC	TM.7	0	1	2	V
• Transaction Code Decision Table	TD	TM.8-TM.8.1	0	1	2	V
• Master Index Table	MI	TM.9	0	1	2	V

<sup>9</sup> Only the OFM system security administrator can assign level 1 security in this field;  
valid agency security levels: 0 = view/print ; 1 = update agency records

<sup>10</sup> Agency DT flag also controls access to the agency Payment Process Controls screen (VE.6) and allows agency to view or print the statewide descriptor tables from screens TM.1 and AD.2.

Security Flag Name	Report Abbrev	Controls Access to AFRS Screens:	Levels
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**(MF) Master File Inquiry Flags**

• Appropriation File Inquiry	APPR	MI.1	0	1
• Allotment File Inquiry	ALLT	MI.2	0	1
• Grant Project <sup>11</sup>	GPRJ	n/a	(	
• Operating File Inquiry <sup>12</sup>	OPER	n/a	(	1
• Subsidiary File Inquiry	SUBS	MI.4	0	1
• General Ledger File/ Document File Inquiry	GLDG	MI.3 MI.5, MI.6	0	1

**(RC) Reporting Control Flags**

• MRS Design	MDSG	MR.1	0	1	2
• MRS Submit	MSUB	MR.2	0	1	2
• Report Request	RREQ	RR.1-RR.3	0	1	2
• On-Demand Report Design	ODSG	RD.1-RD.2	0	1	2
• On-Demand Report Submit	OSUB	RD.3	0	1	2

**(DR) Disbursement Reporting Flags**

• Disbursement System	DISB	DM.1-DM.6, DM.1.1, DM.8, WR.1-WR.2, WR.3, DS.6, DS.7, C105V092 (OMWBE/IRS Detail Update) <sup>13</sup>	0	1	2
• IRS 1099 Reporting System <sup>14</sup>	1099	IR.1-IR.4, IR.7-IR.8	0	1	2
• OMWBE Reporting System	BANN	OM.1-OM.4, DM.9	0	1	2
• Purge Disbursement Records	DPRG	DM.1 (Delete Function) DS.4	0	1	2
• Transaction Selection	TSEL	DS.3	0	1	2
• Agency Profile Maintenance	PROF	DS.1 <sup>15</sup> , IR.5-IR.6	0	1	2
• Agency Job Card	JCRD	DS.2	(		

NOTE: There are other screens in AFRS which users are automatically given access to when they are assigned a Logon ID for AFRS:

- Message screens
- Primary menu and sub-menus
- Batch Interface Log (BI)
- Contact List (CL)
- Exchange Data Sets (EX)
- Inter-Agency Vendor Selection (IN.1.I) (Function 8 on VE Menu)
- The following Master File Inquiry screens

<sup>11</sup> Valid agency security level is 0 (no access) for this field

<sup>12</sup> Only the OFM system security administrator can assign level 1 security in this field

<sup>13</sup> DS.5 is controlled by the Vendor Table (VE) flag.

<sup>14</sup> The following fields on these screens are controlled by the Agency Profile Maintenance (PF) security:

IR.1 - 1099 FORMS CONTROL

IR.1 - RECORD LOCK

<sup>15</sup> DS.1: The YES for Nightly Extract is controlled by Agency. The NO for Nightly Extract is controlled by OFM.

- Recent History Detail (MI.7)
  - Payment Write File (MI.8)
  - Payments Made Today/This Month (MI.9)
- View System Security Records (SS.2)
- Master Index Review screen (TM.9.1)