SECTION 3: AKPAY SECURITY
Determining User Security Needs

INTRODUCTION

Each AKPAY user must sign an AKPAY Certifying Officer and User Affidavit to inquire about and/or update information in AKPAY. However, since some of the data in AKPAY is confidential, the agency's Security Contact Person should use prudent judgement when authorizing specific functions to AKPAY users. The Security Contact Person must consider what authority is essential for users to properly perform both their job duties and the assigned back-up duties for other staff. Only the authority deemed necessary is granted on the AKPAY Security Worksheet, and the AKPAY Certifying Officer and User Affidavit (COA).

The procedures in this Section walk through the AKPAY Security Worksheet item by item and make recommendations for determining the necessary access for each user. Recommendations are made based on three levels of staff:

Mid-to-high level personnel/payroll staff working in the central office or a secondary office (i.e., larger agencies may have a smaller personnel/payroll office in Anchorage).

Low-to-mid level personnel/payroll staff working in the central office or a secondary office (i.e., larger agencies may have a smaller personnel/payroll office in Anchorage).

Division/section level staff working in a division or section in any location.

The same logic applied to determining security for each type of agency employee is also applied when determining security for special divisions within the Department of Administration. Security for employees in the Divisions of Retirement and Benefits, Personnel, and Finance should be based on the screen/information access necessary to perform their job duties.

PROCEDURES

I. Determine the INQUIRY access needs of users.

The inquiry screens in AKPAY are segregated into groups based on their functions. Separate groups were created to allow different levels of access to inquiry screens for varying levels of users.

A. Determine the **Sign-off & Help** inquiry access needs of users.

Screen group SIGNOFF. This access is necessary to sign on and sign off AKPAY. Allows access to the following screens:

991	Sign On/Off
OFF	Sign Off
993	Password Maintenance
99X	State of Alaska Menu

Recommendation - Always allow this access to everyone.

B. Determine the **Time & Attendance** inquiry access needs of users.

Screen group AINQTIME. Allows viewing access to the following screens:

G11	Time and Attendance Header
G5A	Time and Attendance Detail
G5C	Deduction Overrides
G5E	Tax Overrides
G5M	Time and Attendance AMHS
H11	Time and Attendance Detail Browse

Recommendation - Inquiry access is generally allowed for most AKPAY users.

Mid-to-high level personnel/payroll staff - If personnel staff never use this function, do not allow them access.

Low-to-mid level personnel/payroll staff - If personnel staff never use this function, do not allow them access.

Division/section level staff - Generally, these employees have inquiry access to these screens.

C. Determine the **A91 Online Warrant** inquiry access needs of users.

Screen group AWARRANT. Allows viewing of the payroll warrants issued to all employees including the records from the A9x screen archived to the CHEQ History application.

Recommendation - Inquiry access should be limited on a need-to-know basis.

Mid-to-high level personnel/payroll staff - If personnel staff never use this function, do not allow them access.

Low-to-mid level personnel/payroll staff - Limit access to payroll staff who need this function to perform their job duties. If personnel staff never use this function, do not allow them access.

Division/section level staff - No access should be granted.

D. Determine the **A21 Accrual Control/B21 Accrual Accumulators/A41 Labor Distribution** inquiry access needs of users.

Screen group AINQLVLD. This allows viewing of state employee accrual control information (A21), leave accrual accumulator balances information (B21), and the budget information to which employees' salaries are charged (A41).

Recommendation - Inquiry access is generally allowed for most staff.

Mid-to-high level personnel/payroll staff - Although allowed for most staff, do not allow access to personnel staff who never use these functions.

Low-to-mid level personnel/payroll staff - Although allowed for most staff, do not allow access to personnel staff who never use these functions.

Division/section level staff - Inquiry access for this group of screens is segregated from other inquiry screens so access could be granted at this level if needed. Again, only employees needing this access should be granted it.

E. Determine the **151 Phonetic Inquiry** inquiry access needs of users.

Screen group AINQPHON. This allows viewing of the state employee name screen to identify social security numbers.

Recommendation - Inquiry access should be limited on a need-to-know basis since this screen accesses information for all state employees.

Mid-to-high level personnel/payroll staff - Limit to staff whose job duties could not be performed without using this function.

Low-to-mid level personnel/payroll staff - Limit to staff whose job duties could not be performed without using this function.

Division/section level staff - Generally, these employees should not have this access.

F. Determine the inquiry access needs of users for **All Other Screens**.

Screen group AINQUIRY. This allows viewing access to most of the other inquiry screens.

A11	Payroll Base
A31	State Unemployment
A51	Automatic Earnings
A61	Tax Control
A7A	Savings Bond Deduction
A71	Deduction Control
B41	Payroll Earnings
B51	Tax Accumulators
B61	Deduction Accumulators
B81	Gross/Net Accumulators
X15	Position/Incumbent Search
101	Employee Base I
121	Employee Base II
201	Employee Base I History
261	Personal History
27A	Savings Bond Deduction Address
271	Address History
281	Health Insurance History
611	Position Budget Control
621	Position Definition
631	Position Status
751	Tables
781	Explanation & Procedure

Recommendation - Inquiry access should be limited since these screens provide a variety of personnel/payroll information.

Mid-to-high level personnel/payroll staff - Generally, access is granted to most staff for this function.

Low-to-mid level personnel/payroll staff - Generally, access is granted to most staff for this function.

Division/section level staff - Limit to staff who require access to this information. Generally, employees at this level are only granted Time and Attendance and, possibly, leave accrual and labor

distribution inquiry access. However, if they need to look at pay rate changes within a pay period or other information, they may need this access.

II. Determine the segregation of duties for TIME AND ATTENDANCE and corresponding update authority needs of users.

The screens included in this group can be divided into two types:

- G13 batch header screen

  G13 Time and Attendance Header

- G5x detail screens

  G5B Time and Attendance Detail
  G5D Deduction Overrides
  G5F Tax Overrides
  G5N Time and Attendance Alaska Marine Highway

To update the G5x screens, you must first access the G13- Time and Attendance Header screen. On the G13 screen, actions are performed via batch action codes (OP - Open, BA - Balance, CT - Certify, DE - Delete). The employees for whom a user may create detail lines on the G5x screens are controlled by the RD codes the user is authorized to update.

RD codes are established by agency request to the Division of Finance, AKPAY Security Accountant. The RD code for each employee is entered on the 10x - Employee Base I screen. RD codes are set up for groups of people. These groups generally represent a segregation of a department's employees by some combination of division, section, and location. The time and attendance function is delegated to some of these combinations of division, section, and location.

For each RD code assigned to a group combination of division, section, and location, the action codes allowed must also be designated. These group combinations of RD codes are called Time and Attendance Groups. An RD code may be in multiple groups.

A. Determine segregation of time and attendance duties within the agency.

The certification and processing of time and attendance batches have a financial effect on AKSAS appropriations. Therefore, it is important that each agency maintains a segregation of duties within the time and attendance function. Segregation of duties for time and attendance may be accomplished by either of the following methods:

1. Method 1.

   a. Employee completes and signs time sheet.

   b. Supervisor reviews time sheet for correctness and signs.

   c. Designated division time and attendance person enters and certifies batch, or designated central payroll person A enters and certifies batch.

      NOTE: In each case the person entering the time and attendance data should be authorized for **all** batch action codes (BA, CT, DE, OP).

d. Central payroll person X (someone other than A) audits the time sheet and compares it to the online batch. Each time sheet should be initialed and dated to show it has been audited.

2. Method 2.

a. Employee completes and signs time sheet.

b. Supervisor reviews time sheet for correctness and signs.

c. Designated division time and attendance person enters, but **does not certify** the batch, or designated central payroll person A enters, but **does not certify** the batch.

NOTE: In each case the person entering the time and attendance data should be authorized for batch actions codes BA, DE, and OP. They should **not** be authorized for CT.

d. Central payroll person X (someone other than A) audits the time sheet and certifies the batch. Each time sheet should be initialed and dated to show it has been audited.

B. Determine the Time and Attendance screen update authority needs of users.

Screen group TIMEATTD. Allows update access to the following screens:

G13	Time and Attendance Header
G5B	Time and Attendance Detail
G5D	Deduction Overrides
G5F	Tax Overrides
G5N	Time and Attendance Alaska Marine Highway

Recommendation - Limit update access to individuals who need it to perform their job duties. If users are given authority to update this group of screens, they should also be given inquiry access to the Time and Attendance inquiry screens as a browse screen is only available under inquiry.

Mid-to-high level personnel/payroll staff - If personnel staff never use the Time and Attendance function, do not allow them access.

Low-to-mid level personnel/payroll staff - If personnel staff never use the Time and Attendance function, do not allow them access.

Division/section level staff - Generally, access is granted to most staff for this function.

C. Determine the AKPAY RD codes users need to access and the batch action codes to allow for processing time and attendance.

The batch action codes are separated to allow for further restriction of time and attendance authorization by an agency.

1. The first authorization group includes the following codes:

a. BA (Balance a batch) - After all the detail lines are entered on a G5x screen, the user returns to the G13 screen and corrects batch totals for the detail lines. This allows the user to balance the batch back to the original paper time sheet source document.

b. DE (Delete a batch) - If a batch is determined unnecessary at any step in the process, the batch should be deleted.

c. OP (Open a batch) - This creates the batch and allows the user to proceed to a G5x screen to enter the necessary detail lines.

2. The second authorization group includes one code:

CT (Certify a batch) - Once a batch is balanced, it must be certified by the same user or a different user for segregation of duties. When a batch is certified, the certifier should review the batch and G5x detail lines to ensure they match the original paper time sheet source document.

Recommendation - Access depends on the method for segregation of time and attendance duties used in an agency. Refer to Step II.A.

Mid-to-high level personnel/payroll staff - If personnel staff never use this function, do not allow them access.

Low-to-mid level personnel/payroll staff - If personnel staff never use this function, do not allow them access.

Division/section level staff - Generally, these employees have access to perform this function and should be limited to Time and Attendance Groups for their division/section. Also, depending on the method of segregation of duties, the batch action codes may or may not include CT.

III. Determine the PAYROLL update authority needs of users.

All of the payroll screens in AKPAY have been segregated into separate screen groups. This allows update security to be tightly controlled for the various levels of users.

A. Determine the **A13 Payroll Base** update authority needs of users.

Screen group PAYRBASE. Allows update access to the A13 - Payroll Base screen. Action codes are used to perform updates to this screen. However, there is no security by action code on the A13 screen.

Recommendation - Access should be restricted to users who appoint employees to payroll and/or change payroll information.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Division/section level staff - This user level should not have access.

B. Determine the **A23 Accrual Control & B23 Accrual Accumulators** update authority needs of users.

Screen group LEAVACCR. Allows update access to the A23 - Accrual Control screen and inquiry access to the B23 - Accrual Accumulators screen.

Recommendation - Access should be restricted to users who appoint employees to payroll and/or change leave accrual control information.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Division/section level staff - This user level should not have access.

C. Determine the **A43 Labor Distribution** update authority needs of users.

Screen group LABRDIST. Allows update access to the A43 - Labor Distribution screen.

Recommendation - Access should be restricted to users who appoint employees to payroll and/or change labor distribution information.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Division/section level staff - Access may be granted to this user level or to other central accounting staff users.

D. Determine the **A53 Automatic Earnings** update authority needs of users.

Screen group AUTOEARN. Allows update access to the A53 - Automatic Earnings screen.

Recommendation - Access should be restricted to users in the Division of Finance or agency users who are allowed the authority to create online warrants via the A93 - Online Warrant screen. If errors result from an update to a record on this screen, the repercussions may be very serious and complex to resolve.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Generally, this user level should not have access.

Division/section level staff - This user level should not have access.

E. Determine the **A63 Tax Control** update authority needs of users.

Screen group TAXCNTRL. Allows update access to the A63 - Tax Control screen.

Recommendation - Access should be restricted to users in the Division of Finance or agency users who are allowed the authority to create online warrants via the A93 - Online Warrant screen. If errors

result from an update to a record on this screen, the repercussions may be very serious and complex to resolve.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Generally, this user level should not have access.

Division/section level staff - This user level should not have access.

F. Determine the **A73 Deduction Control** update authority needs of users.

Screen group DEDCNTRL. Allows update access to the A73 - Deduction Control screen.

Recommendation - Access should be restricted to users who appoint employees to payroll and/or change deduction control information.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Division/section level staff - Generally, this user level should not have access.

G. Determine the **A93 Online Warrant** update authority needs of users.

Screen group ONLINEWT. Allows update access to the A93 - Online Warrant screen so a user may create an online warrant.

Recommendation - Access should be restricted to users in the Division of Finance or agency users who have the authority to create online warrants. If errors result from an update to a record on this screen, the repercussions may be very serious and complex to resolve. Department update access to this screen requires authorization from the Department of Administration, Division of Finance, Director/Payroll Supervisor.

Mid-to-high level personnel/payroll staff - Access should be limited to users who require access to perform job duties.

Low-to-mid level personnel/payroll staff - Generally, this user level should not have access.

Division/section level staff - This user level should not have access.

IV. Determine the ETV codes update authority needs of users.

If a user is authorized for Time and Attendance, an ETV code must be assigned. Access to ETV codes is granted by grouping various ETV codes into ETV groups. An ETV code may be in more than one group. Some ETV codes are not in any group. Only one ETV group can be selected at any one time. Placement in ETV groups is determined as follows:

ACE - This is the most commonly used group. If the user is granted update authority to a screen that uses ETV codes, then this group is used. However, if other conditions as listed below apply, an alternate group is selected for the user.

BIG - Use this group if **Normal ETV codes plus travel, moving, & per diem** is checked on the AKPAY Security Worksheet and AKPAY COA.

FIN - Reserved for Division of Finance and agency users who have update authority for the A93 - Online Check screen.

MHS - Reserved for Alaska Marine Highway System staff.

POS - Reserved for Department of Education, Division of Postsecondary Education staff.

TEM - Use this group if **Access to travel, moving, & per diem ETV codes only** is checked on the AKPAY Security Worksheet and AKPAY COA.

BEN/DCP/SBS - Reserved for Department of Administration, Division of Retirement and Benefits staff.

Blank - Leave this area blank if the user does not have update access to screens that use ETV codes, and does not have update access to Time and Attendance.

Recommendation - Access should be as restrictive as possible and still allow the user to perform job duties.

Mid-to-high level personnel/payroll staff - Generally, access should be to the ACE or BIG ETV group.

Low-to-mid level personnel/payroll staff - Generally, access should be to the ACE or BIG ETV group.

Division/section level staff - Users who update time and attendance screens should have ACE or BIG. Users who are limited to travel, moving, and per diem ETV codes should have TEM. This level of users should not have access to the FIN group.

V. Determine the HUMAN RESOURCE MAINTENANCE update authority needs of users.

Screen group EEBASEXX.

A. Determine the **Employee Base I and Employee Base II** update authority needs of users.

Allows update access to the 103 - Employee Base I screen, and the 123 – Employee Base II screen. The 103 screen may only be updated if screen action codes are also authorized.

Various combinations of action codes are entered on the 103 screen in the Status, Compensation, and Position Segment action fields. If users are authorized for an action code, they will be authorized for all combinations that include that action code as long as no other action code is included in the combination. The following example illustrates how the combinations work.

If the IC (Information Change) action code is checked, the user would be authorized for combinations which only include IC:

Action Field	Authorized Combinations						
Status				IC	IC	IC	IC
Compensation		IC	IC			IC	IC
Position	IC		IC		IC		IC

The user would **not** be authorized for combinations that include other action codes besides IC:

Action Field	Unauthorized Combinations				
Status	IC	IC	IC	IC	IC
Compensation		DM	MI	PR	TR
Position	TO	DM	MI	PR	TR

The various combinations of action codes for which a user is authorized are determined by the Human Resource (HR) action group. Action groups are added, changed and deleted by the AKPAY Security Accountant based on user security requests.

B. Determine the **Action codes** for which users should be authorized. Refer to the *APPENDIX, 10x Screen Valid Action Code Combinations***,** for a list of action code combinations.

Action codes for which a user may be authorized include:

AD (Administrative Change) - Authorization to this action code should be limited strictly to users who need it to perform their job duties. This is a powerful action code with far-ranging consequences. Only limited access to this code should be granted. The user should have full knowledge of the implications of using this action code.

AP (Appointment) - Allow access if necessary for users to perform duties.

SP & LF (Separation and Layoff Separation) - Allow access if necessary for users to perform duties.

TR & TO (Transfer and Transfer to another Department) - Allow access if necessary for users to perform duties.

PR & DM (Promotion and Demotion) - Allow access if necessary for users to perform duties.

MI (Merit Increase) - Allow access if necessary for users to perform duties.

IC (Information Change) - Allow access if necessary for users to perform duties.

LS (Start of Leave of Absence) - Allow access if necessary for users to perform duties.

LE (Extension of Leave of Absence Return Date) - Allow access if necessary for users to perform duties.

LR (Return From Leave of Absence) - Allow access if necessary for users to perform duties.

** (Reversal of a Record) - Allow access if necessary for users to perform duties.

RI (Reinstatement From Retirement) – Used only by the Division of Finance to reinstate a retired employee to an active position. Not listed on the AKPAY COA or AKPAY Security Worksheet.

VI. Determine the Employee Contact Information update authority needs of users.

Screen group EEWHITEP. Allows update access to the 75R screen, also called the Employee Whitepages, on which employee agency addresses are entered.

Recommendation: Access can be allowed for clerical staff or data entry staff to be able to update employee work addresses.

Mid-to-high level personnel/payroll staff - If personnel staff never update the Employee Contact Information function, do not allow them access.

Low-to-mid level personnel/payroll staff - If personnel staff never update the Employee Contact Information function, do not allow them access.

Division/section level staff - Generally, access is granted to most staff for this function.

VII. Determine the POSITION CONTROL update authority needs of users.

Screen group POSCNTRL. Allows update access to the following screens:

613 PCN Budget Control
623 Position Definition
633 Position Status

The types of positions are combined into groups for purposes of limiting update authority to position types. Position types are identified on AKPAY Table 00118. A position type may be in more than one group. Some position types are not in any group. Refer to the *APPENDIX, Table 00118, Position Types*, for a list of position groups and their types. Placement in position type groups is determined as follows:

AGY (Agency) - The most commonly used group. If the user is granted update authority to the 6x3 screens, then this group is used. It includes position types agencies may update, unless other conditions as listed below apply.

PNL (Division of Personnel) - Used by Division of Personnel staff and authorized agency employees who update the 6x3 screens. It includes all position types.

MVA (Military and Veterans Affairs) - Similar to the agency group except National Guard positions are also included. Used only by the Department of Military and Veterans Affairs.

Blank - Leave blank if the user has no update access to 6x3 screens.

Recommendation - Access should be as restrictive as possible and allow the user to perform job duties.

Mid-to-high level personnel/payroll staff - Generally, access should be to the AGY or PNL group.

Low-to-mid level personnel/payroll staff - Generally, access should be to the AGY group.

Division/section level staff - This user level should not have access.

VIII. Determine the ADDRESS HISTORY update authority needs of users.

Screen group ADDRHIST. Allows update access to addresses on the 273 - Address History screen, other than an employee's home address (the home address is updated on 123 - Employee Base II screen).

Recommendation - Access should be limited to users who require access to perform job duties.

Mid-to-high level personnel/payroll staff - Grant to users authorized access to the 123 screen and who need to update other addresses.

Low-to-mid level personnel/payroll staff - Grant to users authorized access to the 123 screen and who need to update other addresses.

Division/section level staff - No access should be granted.

IX. Determine access needs of users to the MISCELLANEOUS screens.

This section identifies other special types of access that may be granted.

A. Determine the **CHEQ History - CICS Sign on _____** view access needs of users.

Allows viewing access to AKPAY archived warrant information.

NOTE: The employee must have authorization to access the A91 - Online Check screen in order to have access to CHEQ History.

Recommendation - Access should be limited to the subset of users authorized for access to the A91 screen.

Mid-to-high level personnel/payroll staff - Grant to users authorized access to the A91 screen who need to view archived warrant information.

Low-to-mid level personnel/payroll staff - Grant to users authorized access to the A91 screen who need to view archived warrant information.

Division/section level staff - No access should be granted.

B. Determine the **View Garnishments & Levies** access needs of users.

Allows viewing of the child support, garnishment, and levy deduction codes. The default is no viewing of these deduction codes.

Recommendation - Access should be limited on a need-to-know basis as this is highly confidential and sensitive data.

Mid-to-high level personnel/payroll staff - Limit access to staff who must have access to this information to perform job duties.

Low-to-mid level personnel/payroll staff - If it is necessary to grant access, limit access to staff who must have access to this information to perform job duties.

Division/section level staff - Access should not be permitted.

X. Determine the Reporting authority needs of users.

Currently, this selection is only listed on the form in the event an edit is placed in AKPAY to limit entry from employees. Now, all employees have access to this function.

XI. Determine the Tables authority needs of users. Marine Highways only.

This selection allows access for Marine Highways users to tables 10030, AMHS Vessel Number Table, and 10038, Marine Highways Business Bank Leave Program.

XII. Other Security Features.

A. **Operator Group** - To give a user access to a specific screen group (as listed in Steps I through XI above), the screen groups the user needs to access are gathered into an operator group.

The operator group lists the screen groups necessary to give users their unique combination of inquiry and/or update access to screen groups. Remember that each screen group includes one or more screens.

B. **Operator Social Security Number** - The operator's social security number is a field on the operator's security record. This field is used to prohibit users from updating their own records on all screens except the G5x screens. However, users should be aware that they are not procedurally authorized to update any of their own G5x records.

C. **Center Number** - Identifies a group of users in an agency. Generally, one center number is established for the central payroll section and another for all division users. If an agency has both a Juneau central payroll section and an Anchorage central payroll section, then each would be assigned a separate center number.

Division of Finance users, some Division of Retirement and Benefits users, and agency users with A93 - Online Check screen access are assigned center number 255, which allows special access. However, users with center number 255 should be aware that they are only procedurally authorized to update appropriate records as required by their job duties.

The center number appears on some screens that display a document number. It is appended to the front of the document number.

D. **View Number** - Identifies which view of data the user is authorized to inquire/update on various screens. This is the field that allows users to update on all functions, or only inquire on all functions (except Time and Attendance), and to view/not view child support, garnishments and tax levies.