

AFRS

Agency Financial Reporting System

SYSTEM SECURITY:

AFRS (AGENCY FINANCIAL REPORTING SYSTEM)

CAMS (CAPITAL ASSET MANAGEMENT SYSTEM)

TMS (TIME MANAGEMENT SYSTEM)

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Preface

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

- Control access to agency data.
- Control transaction/record additions, changes and deletes.
- Control system reporting requests.
- Support agency internal control policies.

This user documentation pertains to the following statewide financial systems:

Mainframe Systems	Requires Logon ID to access Mainframe
· Agency Financial Reporting System (AFRS) includes: Transaction Input, Table Maintenance, Master File Inquiry, Reference Appendix A for the DES Administrator Security request form.	Yes
· Capital Asset Management System (CAMS) Reference Appendix B for the DES Administrator Security request form.	Yes

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

Solutions Center Systems	Requires Logon ID for Mainframe
Accounts Receivable System (AR) · Contact your Agency AR Administrator	No
Client Services Contract Database (CSCD) · Contact your Agency CSCD Administrator	No
Cost Allocation System (CAS) · Contact your Agency CAS Administrator	Yes
Disclosure Form · Contact your Agency OFM Accounting Policy Consultant	No
Enterprise Contract Management System (ECMS) · Contact your Agency ECMS Administrator	No
Financial Toolbox (FTBx) · Contact your Agency FTBx Administrator	Yes
Personal Services Contract Database (PSCD) System · Contact your Agency PSCD Administrator	No
Time Management System (TMS) · Contact your Agency TMS Administrator	Yes
Travel & Expense Management System (TEMS) · Contact your Agency TEMS Administrator	No
Budget Systems · Contact the DES Solutions Center	No
Enterprise Reporting Services (ER) · Contact the DES Solutions Center	No

Other Statewide Systems
Treasury Management System (TMS) <ul style="list-style-type: none"> · Contact OST Security 360.902.8923
Electronic Output Services (EOS) <ul style="list-style-type: none"> · Contact CTS Service Desk at 360.753.2454
Disclosure Form <ul style="list-style-type: none"> · Contact your Agency OFM Accounting Policy Consultant

If you have questions on security for any of the Department of Enterprise Services (DES) systems or cannot reach your agency administrator please contact the Solutions Center at 360-407-9100 or through e-mail at SOLUTIONSCENTER@DES.WA.GOV.

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 reporting purposes. Each agency is responsible for determining the level of security granted to their staff for all financial systems 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

The agencies of Department of Enterprise Services (DES) and Consolidated Technology Services (CTS) control statewide security records. The following divisions maintain security and they are:

- DES Solutions Center
Maintains the security files specific to each financial system.
- CTS - Services Division (Production Services)
Maintains the statewide file of Logon ID's and Operator ID's for Systems which run on the statewide mainframe. (**DSHS employees** contact Information System Services Division (ISSD) at 360-902-7700 or 800-329-4773)

In AFRS and CAMS, the **System Analyst** maintains security for the agency security administrators only. In Enterprise Reporting, the **Enterprise Reporting Services** 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 or RACF Contact** who coordinates with the Services Division of CTS to obtain or delete Logon IDs and Operator IDs for systems which run on the IBM mainframe at CTS.

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 for **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 agency 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 Consolidated Technical Services (CTS), Services Division of this assignment. CTS will only establish Logon ID's requested by the RACF administrator of an agency. It is the agency's responsibility to notify CTS of any changes to their RACF administrator or RACF contact.
2. Your agency has also identified security administrators or RACF contact for each of the systems in use by your agency and notified DES, Solutions Center 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 DES informed of any changes in security administrators.

ESTABLISHING SECURITY FOR A NEW EMPLOYEE

1. The first step in establishing security for a new employee is to contact your agency RACF administrator or contact. 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 or RACF contact will either create the RACF ID or contact CTS, Services Division, who will establish the Logon ID for the individual.
2. The next step in this procedure depends on which systems the individual will need to access. For AFRS, CAMS, and TMS the **agency system security administrator** is responsible for establishing security records (see above for other systems).
3. The **DES System Analyst** is responsible for establishing the Agency Administrator security records. Contact the Solutions Center at 360-407-9100 or through e-mail at solutionscenter@des.wa.gov, 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.

- Login ID of user (obtained from CTS-Production Services)
- 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.3 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 DES.

Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens	Levels		
AFRS Security • Agency Transaction Edit Controls	ASEC	SS.1, SS.2, SS.3, TM.3, TM.3.2, TM.3.2.A, TM.3.2.B, TM.3.2.C, TM.3.2.D	0	1	

Note: Only AFRS System Analyst can assign level 1 security in this field

Financial Transaction Batch Flags & DES Recommendations for Separating Functions

DES recommends the use of AFRS security to separate the following functions:

- Creating Batch and Transaction Types
- Creating Batches (includes Error Correction)
- Batches Releasing Batches
- Editing the Agency Vendor Table

Managing security by batch type & transaction type have been added to AFRS to give agencies the ability to separate duties for internal control (see Internal Control Section).

Note: You no longer have to have a ** in the first position if you do not wish to, except for IN.1.5 use.

Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens:	Levels		
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Financial Transaction Batch Flags

<ul style="list-style-type: none"> Input (Error Correction) Batch Type Required Transaction Input <ul style="list-style-type: none"> Reprint Remittance Advices Inter-Agency Payments Payment Cancellation Group Error Correction-Online requires Level 2 for selected batch Batch Header Error Correction requires Level 1 or 2 for selected batch 	TI	IN.1, IN.1.1, IN.1.2, IN.1.V, IN.1.4, IN.1.6, IN.1.7, IN.2, IN.3.1, IN.4 IN.3 (Includes select functions: B, E, G, H, P) IN.1.5 (Batch Delete or Hold ONLY) Input screen select F5 takes you to IN.1.1 or VE.8 (Note: ** must be on 1 st occurrence to see the IN.1.S screen) (Note: IN.1.V requires security in VE of 1, 2 or V and in the SVE of 1 or V) MI.9 MI.A VE.7, VE.7.1, VE.7.D, VE.7.2, VE7.L	0	1	2	
<ul style="list-style-type: none"> Release 	BR	IN.1.5 (Batch Release ONLY)	0	1	2	3

Other Financial Flags

<ul style="list-style-type: none"> Pay Maint (Payment Maintenance) 	WW	IN.2	0	1	2
<ul style="list-style-type: none"> Project Purge (INACTIVE) 	PP	TM.3.3	0	1	2

(TM) Table Maintenance Flags

<ul style="list-style-type: none"> Descriptor Tables Descriptor Maintenance IAP Multi Fund Breakout AFRS to CAMS Interface Sub Object CFDA Table View IRS Type View D78 Cost Allocation System (CAS) (Agency 3000 & 1070 only) Payment Process Controls Agency Address by Batch Type Print option 	DT	TM.1.1 TM.3.4.A, TM.3.4.B TM.3.5 TM.4.2 (View ONLY) TM.5 (View ONLY) TM.6, TM.6.1, TM.6.2, TM.6.3, TM.6.4, TM.6.5, TM.6.A, TM.6.B, TM.6.C, TM.6.D, TM.6.E, TM.6.F, TM.6.G, TM.6.H, TM.6.I, TM.6.J, TM.6.R VE.6 VE.9 (AD.7) (View ONLY) TM.1 & AD.2 (Printing Function)	0	1	2	V
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Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens:	Levels			
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(TM) Table Maintenance Flags - Continued

• Organization Index Table	OI	TM.2.3	0	1	2	V
• Appropriation Index Table Appropriation Index Fed Grant award Table Maintenance	AI	TM.2.1 TM.4.1	0	1	2	V
• Program Index Table	PI	TM.2.2	0	1	2	V
• Project Control Table	PC	TM.2.4	0	1	2	V
• Vendor Table HRMS Agency Vendor Updates Agency Vendor Maintenance Combined Vendor Selection	VE	TM.3.6, TM.3.6.A VE.2, VE.2.1, VE.2.3, VE.2.5 IN.1.V	0	1	2	V
• Statewide Vendor Table Statewide Vendor Maintenance Statewide Vendor Selection Inter-Agency Vendor Selection Combined Vendor Selection Statewide Vendor Agency Link (Agencies adding interest must have a level = 1 for these screens)	SWVE (SVE)	VE.3 IN.1.S IN.1.I IN.1.V VE.3.L Note: For Agencies to use the IN.1.S & IN.1.I requires security of 1 or V Note: IN.1.V requires security in VE of 1, 2 or V <u>and</u> in the SVE of 1 or V	0	1		V
• Organization Control Table	OC	TM.3.1	0	1	2	
• Transaction Code Decision Table	TD	TM.1.2, TM.1.2.A, TM.1.2.B		1		V
• Master Index Table	MI	TM.2.5, TM.2.5.A	0	1	2	V
• Payment Card Table	CT	TM.1.3.A, TM.1.3.B, TM.1.3.C	0	1	2	

(MF) Master File Inquiry Flags

• Appropriation File Inquiry	AP	MI.1	0	1
• Allotment File Inquiry	AL	MI.2	0	1
• Grant Project	GP	DES ONLY	0	
• Operating File Inquiry	OF	DES ONLY	0	1
• Subsidiary File Inquiry	SF	MI.4	0	1
• General Ledger File/ Document File Inquiry	GL	MI.3, MI.5, MI.6	0	1

Security Flag Name	Abbrev on SS.2	Controls Access to AFRS Screens:	Levels		
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(RC) Reporting Control Flags

· Management Reporting System	MR	N/A	0		
· Management Submission	MS	N/A	0		
· Report Request	RR	RR.1, RR.2, 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

(DR) Disbursement Reporting Flags

· Disbursement System	DR	N/A	0		
· IRS 1099 Reporting System	IR	IR.1 (see also PF), IR.1.1, IR.2, IR.3, IR.4, IR.7	0	1	2
· OMWBE Sub-Contractor Reporting	OM	OM.1 & OM.2	0	1	2
· Purge Disbursement Records	P	N/A	0		
· Transaction Selection	TS	N/A	0		
· Agency Profile Maintenance Update IRS 1099 Records	PF	DS.1 IR.1 (Record Lock & 1099 Forms Control)	0	1	2
· Agency Job Card	JC	DS.2	0	1	2

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

- AFRS Primary Menu & Sub Menus
 - TM – TABLES
 - Online Tables (TM.1)
 - Payment Card Menu (TM.1.3)
 - Payment Exception Code Table (TM.1.4, TM.1.4.A, TM.1.4.B, TM.1.4.C, & TM.1.4.D)
 - Coding Tables (TM.2)
 - Master Index Review (TM.2.5.A)
 - Batch Job Submission (TM.3.7)
 - Federal Tables (TM.4)
 - MI – MASTER FILE INQUIRY
 - Payment Write (WW) View (MI.7)
 - Payments Made Today (MI.8)
 - RD – ON-DEMAND REPORTING
 - BI – BATCH INTERFACE LOG
 - SS – System Security Maintenance Menu
 - SS.2 – VIEW SECURITY RECORDS
 - CL – HELP PHONE LIST
 - EX – EXCHANGE DATA SETS
 - IN – INPUT/CORRECTION
 - IN.3.1 – Online Batch Reports
 - VE – VENDOR/PAYMENT/CANCELLATION
 - VE.8 – Inter-Agency Vendor Selection
 - RR – REPORT REQUEST
 - OM – OMWBE SUB-CONTRACTOR REPORTING
 - IR – IRS 1099 Menu
 - AD – ADMINISTRATION
- AFRS Welcome and Message screens

ACCESSING THE AFRS SECURITY SCREENS

At the TPX MENU, either 'S'elect or type **CICP3**. Press \downarrow Enter.

Type your **USERID** 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 *TWICE* 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                    OM -- OMWBE SUB-CONTRACTOR REPORTING
  SS -- SYSTEM SECURITY                         IR -- IRS 1099 MENU
  CL -- HELP PHONE LIST
  EX -- EXCHANGE DATA SETS

                          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
                          3 -- VIEW AGENCY BATCH TYPE SECURITY

                          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* 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, and a security record is viewed, the following screen will appear:

```

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

      NAME: _____ PHONE: _____

      BATCH TRANS      BATCH TRANS
      TYPE  TYPE INPUT  RELEASE  TYPE  TYPE INPUT  RELEASE
FINANCIAL      - - - - -      - - - - -
TRANSACTIONS   - - - - -      - - - - -
BATCH          - - - - -      - - - - -
FLAGS          - - - - -      - - - - -
              - - - - -      - - - - -
              PAY MAINT: 0  PROJECT PURGE: 0

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

      F1 ON INPUT FIELD=HELP, F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT
  
```

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 (only Security Administrator can use).

These functions are explained in the sections below.

Viewing System Security Records in AFRS

If you have AFRS Security flag "1," and 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 have AFRS Security flag "1," and 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 “S” 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 DES)
 - 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
- Refer to Chart of AFRS Security Fields and Security Levels above.
- Press *↓* Enter. The message “RECORD ADDED” will appear at the bottom of the screen. There is a similar 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) 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.

AFRS Batch Type Security Feature

AFRS security records allow security access to be limited for batch types using the following functions:

- Transaction Input
- Batch Release
- Transaction Type

SCREEN SS.2

```

=== AFRS =(SS.2)===== VIEW SYSTEM SECURITY RECORDS ===== C105P411 ===
TR: _____
      FUNCTION: N (F=FIRST PAGE, N=NEXT PAGE, P=PRINT)
      AGENCY: 9990          A  TABLES  TRANS ACCESS  RPT    DRS    MTCE
                          S          S
                          E DOAPPVVOTM TB WP AAGOSG MMROO DIO TPJ  AJTS
S LOGONID          NAME          C TIIICEEDI IR WP PLPFFL DSRDS RRMPSTC BMCRM
_ ABCD105 TESTING_          0 22222212120 ___ 00 000000 00000 0000020 00000
_ AQAC105 ALETA_QUIMBY_      0 11111211110 ___ 12 110011 11111 1111110 00000
_ CHAC105 CHERYL_HAINJE_    1 2222221212_ ___ 22 110011 22222 2222220 00000
_ OBAC105 OWEN_BARBEAU_     0 11111211112 ___ 12 110011 11111 1111111 00000
_ RHAC105 RACHEL_HUGHES_    0 1111110111_ ___ 00 000000 00000 0000000 00000
_ TRAF105 TRAINING_         0 1111121111_ ___ 11 110011 11111 1111110 00000
_ WWAF105 USER_#1_         0 2222221212_ ___ 12 110011 00222 1111110 00000
_ XXAF105 USER_#2_         0 1111111111_ ___ 21 110011 00122 1111110 00000
_ YXAF105 TEST_            1 2222221212_ ___ 00 000000 00000 0000020 00000
_ YYAF105 USER_#3_         0 1111111111_ ___ 11 110011 00122 2221110 00000
_ ZZAF105 USER_#4_         0 1111111111_ ___ 11 110011 00122 1111110 00000
. ....
. ....
. ....
. ....
      PF3=RETURN, PF12=MESSAGE, CLEAR=EXIT
  
```

The security flags for Transaction Input and Batch Release will **not** be displayed on Screen SS.2.

To view individual records, use the Select function to transfer to Screen SS.1.

To see a complete listing (including the flags by batch type), use function P to print a report.

SCREEN SS.1

```

=== AFRS =(SS.1)===== SYSTEM SECURITY MAINTENANCE ===== C105P412 ===
TR: _____ FUNCTION: V (A=ADD, C=CHNG, D=DEL, V=VIEW, N=NEXT)
AGENCY: 9990 LOGONID: WWAFF105 AFRS SECURITY: 0 STOP USE DATE:
                                         LAST MOD DATE:

NAME: USER #1                                PHONE: 360 999 9992
      BATCH TRANS                                BATCH TRANS
      TYPE TYPE INPUT RELEASE                    TYPE TYPE INPUT RELEASE
      **      *      1      2
FINANCIAL
TRANSACTIONS
BATCH
FLAGS

PAY MAINT: 1 PROJECT PURGE: 2

TM FLAGS - DT: 2 OI: 2 AI: 2 PI: 2 PC: 2 VE: 2 SWVE: 1 OC: 2 TD: 1 MI: 2 CT :
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: 2 O-D DESIGN: 2 O-D SUBMIT: 2
DR FLAGS - DISB: 1 1099: 1 OMWBE: 1 PURGE: 1 TRAN SEL: 1 PROF: 1 JOB CARD: 0
SC FLAGS - BROADCAST: 0 ACTION MSG: 0 JOB CARD: 0 TRAN RESTRICT: 0 UPDATE SM: 0

F1 ON INPUT FIELD=HELP, F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT
RECORD FOUND
  
```

Security records that 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.

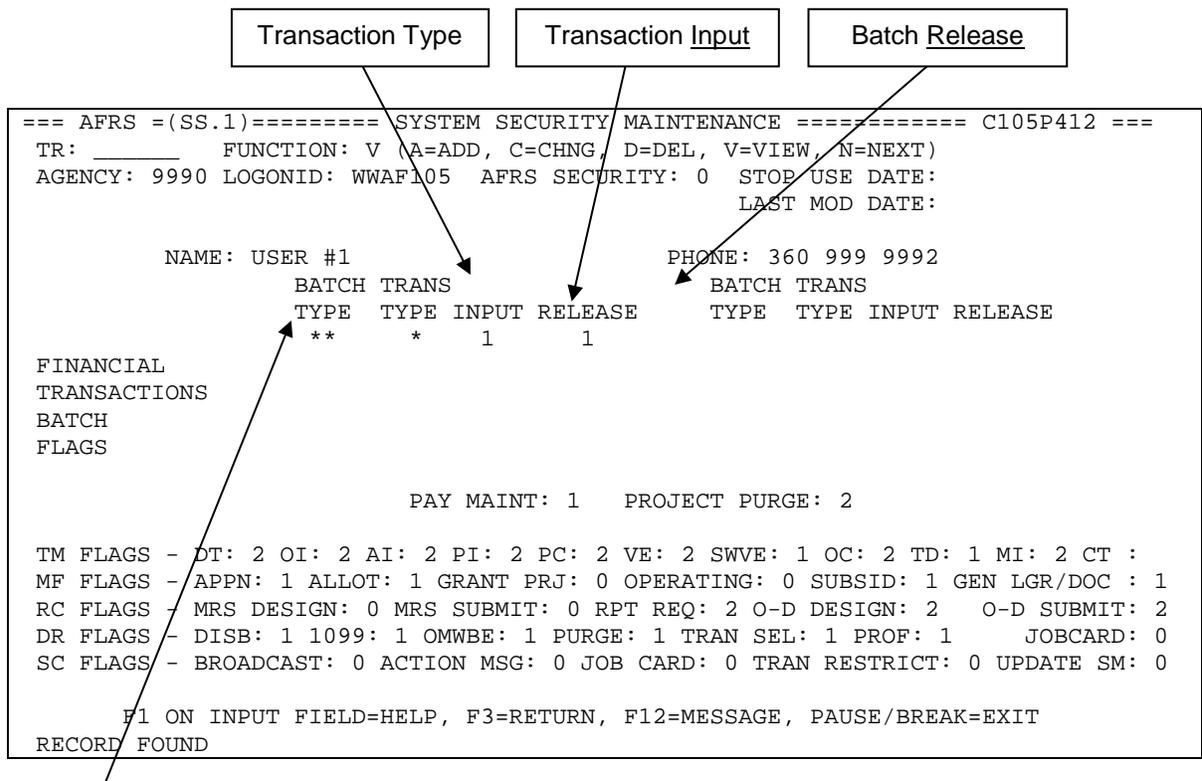
INTERNAL CONTROL

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. **DES recommends using AFRS system security to separate the duties of transaction input, and batch release at Transaction Type Level.**

To review your agency's security records, type:

- SS (System Security) at the AFRS Primary Menu
 - 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 your entire agency's AFRS Logon IDs and their security flags. (See sample report attached).

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



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.

Transaction Types have been added to identify the state that transactions are in during their life time (processes). The Transaction Types are identified by a single character (alpha/numeric). The current available Transaction Types are as follows:

- A = Account Entry (payments, adjusting entries, original entries of financial data)
- B = Account Wrap (Warrant Wrap) {System Generated}
- G = Payment Cancellation (Warrant Cancellation) {System Generated}
- H = Payment Cancellation by Statute of Limitation (SOL) or ACH Notice of Return (NOR) {System Generated}
- K = General Ledger Beginning Balance (Financial Reporting Only) **(DES/OFM ONLY)**
- L = Project Beginning Balances (Financial Reporting Only) **(DES/OFM ONLY)**

Agencies can use these Transaction Types to further refine their separation of duties.

The Batch Type & Transaction Type fields are alphanumeric and required with a security level indicator for Input, and Release. 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 C) In the Transaction Type Field, you may enter a specific transaction type or enter the wildcard '*' to indicate all transaction types.

The system will look at the security in the following logic when processing payments and will take the most exact match first no matter where it is within the security screen:

BATCH TYPE	TRANS TYPE	INPUT	RELEASE
BB	A		
BB	*		
B*	A		
B*	*		
**	A		
**	*		

Access to the Payment Processing Screens can be controlled by entering ** within the first occurrence. If you do not want an individual to process payments but do table entry only you can restrict them by entering the following:

BATCH TYPE	TRANS TYPE	INPUT	RELEASE
**	*	0	0

The individual cannot use the Vendor & Input Screens.

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
Batch Delete Function on Batch Release Screen	IN.1.5
Combined Vendor Selection Screen	IN.1.V
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.9
Inter-Agency Billing Payment Display	MI.A

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.

Any transaction that does not pass the batch edits during the nightly processing is placed on the IN.3 screen where the user can correct them.

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 flags has the capability to input transactions, change transactions that hit the error file and release batches. **DES strongly recommends that agencies separate these duties to the extent possible!**

DES 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. Agencies can use the Transaction Type to further separate duties to where only certain individuals can do cancellations or correct Warrant Wraps when needed. 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. There are edits restricting the use of these batch types on the input screens and the AFRS Batch Interface process.
 - Reserved letters – P, T, W, X, Y & Z
 - Batch Type reserved for DES Accounts Receivable System: QS
 - Batch Type reserved for DES The Allotment System (TALS): QT

There are no restrictions for entering these batch types on the security screens as you may need to correct some of them when they error.

Note: Batch Type QT corrections can only be done by the DES Solutions Center System Analysts. Normally errors are due to table changes and so agency will fix the table then let DES know who will do a Group change and once all the errors are corrected the agency can Release the Batch.

- On the System Security Maintenance Screen SS.1:
 - The Batch Type field is 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) for each 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 beginning 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*') with a **Transaction Type** of 'A' and
- **View** access (flag value of '1') for **Input** for Batch Type 'CE' with a **Transaction Type** of '*'.

Example: if an individual tries to make updates to a Batch 'CE' and the Transaction Type is 'G', AFRS will first look to see if there is a specific batch type on the security record and then look at the Transaction Type. Since the CE matches and the Transaction Type is a wildcard they can only read this batch and it 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.

SECURITY REPORT (Printed from SCREEN SS.2)

RPT SECPRINT		AFRS SECURITY SYSTEM REPORT										10/12/11																													
AGENCY: 9990			STOP	S	S	WP	A	A	G	O	S	G	M	M	R	O	O	D	1	M	D	T	P	J	B	A	J	T	U												
LOGONID	NAME	PHONE	USE	C	D	O	A	P	P	V	V	O	T	M	R	R	P	L	R	E	B	D	S	U	E	S	U	S	9	B	R	E	O	R	D	T	B	S	S		
			DATE	T	I	I	C	E	E	C	D	I	R	G	R	T	J	R	S	G	G	B	Q	G	B	B	9	E	G	L	F	D	C	N	C	T	M				
AQAC105	ALETA QUIMBY	360-664-7721	0	1	1	1	1	1	2	1	1	1	1	0	1	2	1	1	0	0	1	1	1	1	1	1	1	1	1	1	1	1	0	0	0	0	0	0	0	0	
	BATCH TYPES	** : 2 1 *																																							
CHAC105	CHERYL HAINJE	360-664-7691	1	2	2	2	2	2	2	1	2	1	2	2	2	2	1	1	0	0	1	1	2	2	2	2	2	2	2	2	2	0	0	0	0	0	0	0	0	0	
	BATCH TYPES	** : 2 2 *																																							
OBAC105	OWEN BARBEAU	000-664-7766	0	1	1	1	1	1	2	1	1	1	1	2	1	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
RHAC105	RACHEL HUGHES	000-999-9999	0	1	1	1	1	1	0	1	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	BATCH TYPES	** : 0 0 *																																							
YXAF105	TEST	360-664-3366	1	2	2	2	2	2	2	1	2	1	2	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	BATCH TYPES	** : 0 1 * AA : 1 1 *																																							
ABCD105	TESTING	000-664-3366	0	2	2	2	2	2	2	1	2	1	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TRAF105	TRAINING	360-664-7694	0	1	1	1	1	2	1	1	1	1	1	1	1	1	1	1	0	0	1	1	1	1	1	1	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0
	BATCH TYPES	** : 2 2 *																																							
WWAF105	USER #1	360-999-9992	0	2	2	2	2	2	2	1	2	1	2	2	1	2	1	1	0	0	1	1	0	0	2	2	2	1	1	1	1	1	0	0	0	0	0	0	0	0	0
	BATCH TYPES	** : 1 1 *																																							
XXAF105	USER #2	360-999-9993	0	1	1	1	1	1	1	1	1	1	1	1	2	1	1	1	0	0	1	1	0	0	1	2	2	1	1	1	1	1	0	0	0	0	0	0	0	0	0
	BATCH TYPES	A* : 2 1 * B* : 2 1 * C* : 1 2 * D* : 1 2 *																																							
YYAF105	USER #3	360-999-9994	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	0	0	1	1	0	0	1	2	2	2	2	1	1	1	0	0	0	0	0	0	0	0	0
	BATCH TYPES	A* : 1 2 * B* : 1 2 * C* : 2 1 * D* : 2 1 *																																							
ZZAF105	USER #4	360-999-9995	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	0	0	1	1	0	0	1	2	2	1	1	1	1	0	0	0	0	0	0	0	0	0	0
	BATCH TYPES	** : 1 1 *																																							

The Security Report above displays the security flags for Transaction Input and Batch Release with the batch types they are valid for. A Batch Type of '**' is a wildcard code that indicates access to ALL batch types.

Levels for most security flags are:

- 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

BATCH DATA IS READ AS FOLLOWS: A*:2 1 * = Batch Type, A*; Input, 2; Release, 1; and Transaction Type; *

Capital Asset Management System (CAMS)

Security to CAMS is provided by RACF logon and the CAMS security logon registration procedures. A **CAMS Security Administrator** is designated for each agency. The agency **CAMS Security Administrator** is responsible for maintaining all security records in CAMS for users within the agency. Only the agency **CAMS Security Administrator** can add, change or delete an authorized user in CAMS (see *Appendix B, for "CAMS Logon Registration and Change Form."* This form is optional for agency to use).

Please refer to the Financial Systems Security User Documentation manual for more information about setting up system security for agencies.

- Logon ID of user (obtained from CTS).
- There are 56 security levels in CAMS. The agency **CAMS Security Administrator** is assigned the highest level (56). Security can be controlled by fund. When adding users to CAMS, the CAMS Security Administrator must designate the fund(s) they wish their authorized employees to have access to.

ACCESSING THE CAMS SECURITY SCREENS

Log on to the mainframe system through CICIP3: If your logon is successful, you will the message "SIGN-ON COMPLETE." Enter 'FC00' and press Enter:

```
===== C105C000 ===
CCCCC  AAAAAA  MM  MM  SSSSSS  CAMS OPERATING HOURS
CC     AA   AA  MMM  MMM  SS  SS  MON-FRI 6:30AM TO 7:30PM
CC     AA   AA  MM  M  M  MM  SS  SAT    7:00AM TO 7:30PM
CC     AAAAAAA MM  M  MM  SSSSSS  SUN    7:00AM TO 1:00PM
CC     AA   AA  MM  MM  SS  SS  HELPLINE:(360) 407-9100
CC     AA   AA  MM  MM  SS  SS  MON-FRI 8:00AM TO 5:00PM
CCCCC  AA   AA  MM  MM  SSSSSS  EMAIL:SOLUTIONSCENTER@DES.WA.GOV

NEWS MESSAGE AS OF DATE: 08/09/11  TIME: 15:25
*****WELCOME TO THE NEW CAMS SYSTEM*****

FOR QUESTIONS ABOUT THIS ENHANCEMENTS, PLEASE CALL THE HELPLINE NUMBER
OR EMAIL AT THE ADDRESS ABOVE.

ENTER=AGENCY MENU OR BROADCAST MSG 2, F3=RETURN, PAUSE/BREAK=EXIT
===== C105C022 ==
TYPE IN YOUR AGENCY NUMBER AND PRESS ENTER

AGENCY: 9990

ENTER=CONTINUE, F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT

PRIVACY NOTICE:
THE CAMS SYSTEM DOES NOT COLLECT PERSONAL INFORMATION FROM USERS OF THE
SYSTEM. THE SYSTEM FILES DO NOT CONTAIN PERSONAL INFORMATION ABOUT CITIZENS.
```

To access the CAMS primary menu, type your agency number and press 'enter'.

```
=== CAMS ===== PRIMARY MENU ===== C105C001 ===  
AGENCY: 9990  
  
1. -- ASSETS (AA)  
2. -- REPORT REQUEST (RR)  
3. -- ACCESS PENDING ASSETS (AP)  
4. -- SECURITY (SS)  
5. -- ADMINISTRATIVE (AD)  
  
FUNCTION: 4  
  
F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT
```

To access the CAMS security menu, type '4' into the FUNCTION field and press 'enter'.

```
=== CAMS = (SS) ===== SYSTEM SECURITY MAINTENANCE MENU ===== C105C023 ===  
TR: _____  
AGENCY: 9990  
  
1. -- SYSTEM SECURITY  
2. -- VIEW SYSTEM SECURITY RECORDS  
3. -- VIEW SECURITY LEVELS  
  
FUNCTION: 1  
  
F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT
```

This takes you to the CAMS System Security Maintenance Menu. To add a security record in CAMS type "1" into the FUNCTION field and press Enter.

```

=== CAMS = (SS.1) ===== SECURITY RECORD UPDATE ===== C105C024 ===
TR: _____
AGENCY: 9990

FUNCTION: _ (A=ADD, C=CHANGE, D=DELETE, V=VIEW)
LOGON: _____

NAME: _____ LEVEL: __ PHONE: ____ ____ ____

AUTHORIZATIONS (TYPE SPECIFIC FUND OR "ALL" IN FUND 1 FOR ALL FUNDS)

____ ____ ____ ____ ____ ____ ____ ____ ____ ____
____ ____ ____ ____ ____ ____ ____ ____ ____ ____
____ ____ ____ ____ ____ ____ ____ ____ ____ ____
____ ____ ____ ____ ____ ____ ____ ____ ____ ____
____ ____ ____ ____ ____ ____ ____ ____ ____ ____

F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT

```

The Security Record Update screen allows you to perform the following functions:

- **A = Add** security record(s) to the system. Enter the following information:
 - Logon ID of user (obtained from CTS Service Desk or Agency Security).
 - Name of the user.
 - Security level code you want the user to have. Refer to CAMS Documentation for additional information on CAMS Security Level.
 - Phone number of the user.
 - The fund(s) for which the user needs to have access or type "ALL" to have access to all funds for the agency.
- **C = Change** security record(s). View the security record first, and then type "C" in the function. Tab to the field(s) that needed change, type in your changes and press Enter.
- **D = Delete** security record(s). View the security record first, and then type "D" in the function field and press Enter.
- **V = View** security record(s). Type a valid logon ID and press Enter to view a specific security record.

To access the CAMS Security Codes screen, type '3' into the FUNCTION field and press 'enter'.

```

=== CAMS = (SS.3) ===== SECURITY CODES ===== C105C009 ===
TR: _____
(1-VIEW, 2-ADD, 3-CHANGE, 4-ACQUISITION DATE, 5-DISPOSE, 6-SECURITY, 7-ADMIN)
  1 2 3 4 5 6 7    1 2 3 4 5 6 7    1 2 3 4 5 6 7    1 2 3 4 5 6 7
01 X                17 X  X      X    33 X X  X      X 49 X X X X  X X
02 X X              18 X X X      X    34 X  X X      X 50 X X X  X X X
03 X  X             19 X X  X      X    35 X X X X      X 51 X      X X X
04 X X X            20 X  X X X      X    36 X      X      X 52 X X  X X X
05 X X  X           21 X X X X      X    37 X X      X 53 X  X  X X X
06 X  X X           22 X X X  X X    38 X  X  X      X 54 X  X X X X X
07 X X X X          23 X      X X    39 X X X  X      X 55 X X  X X X X
08 X                24 X X      X X    40 X X  X X      X 56 X X X X X X
09 X X      X       25 X  X  X X    41 X  X X X      X  1 2 3 4 5 6 7
10 X  X  X          26 X  X X X X    42 X X X X X      X
11 X X X X          27 X X  X X X    43 X                X X ENTER 'X' FOR EACH
12 X X  X X         28 X X X X X X    44 X X                X X LEVEL OF SECURITY
13 X  X X X         29 X                X 45 X  X      X X OF USER.
14 X X X X X        30 X X                X 46 X X X      X X  OR
15 X                31 X  X                X 47 X X  X      X X ENTER 'I' TO SEE
16 X X      X       32 X X X          X 48 X  X X      X X VARIOUS LEVELS OF
  1 2 3 4 5 6 7    1 2 3 4 5 6 7    1 2 3 4 5 6 7 SECURITY
_ VIEW, _ ADD, _ CHANGE, _ ACQUISITION DATE, _ DISPOSE, _ SECURITY, _ ADMIN
F3=RETURN, F12=MESSAGE, PAUSE/BREAK=EXIT

```

Examples:

- Person A only needs reports and view access, use level 01.
- Person B needs to view, add assests, and dispose assessts, use level 38.

Type an "X" in one or more security access and the security code with the access combination selected will be highlighted.

Type an "I" in one or more security access and all security codes with the access combination selected will be highlighted.

Appendix A

Agency Security Administrator Forms

**Form 1–Agency Security Administrator and Alternate(s) Form for DES products
AFRS, CAMS, & TMS**

**AGENCY SECURITY ADMINISTRATOR AND ALTERNATE(S)
FOR DES PRODUCTS: AFRS, CAMS AND Time Management System (TMS)**

AGENCY #: _____ NAME: _____

1 **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:

AFRS ___ Add ___ Delete	Name: _____ Logon ID: _____
CAMS ___ Add ___ Delete	Phone: () _____ _ _ _ _ _ _ _ _
TMS ___ Add ___ Delete	
AFRS ___ Add ___ Delete	Name: _____ Logon ID: _____
CAMS ___ Add ___ Delete	Phone: () _____ _ _ _ _ _ _ _ _
TMS ___ Add ___ Delete	

ALTERNATES:

AFRS ___ Add ___ Delete	Name: _____ Logon ID: _____
CAMS ___ Add ___ Delete	Phone: () _____ _ _ _ _ _ _ _ _
TMS ___ Add ___ Delete	
AFRS ___ Add ___ Delete	Name: _____ Logon ID: _____
CAMS ___ Add ___ Delete	Phone: () _____ _ _ _ _ _ _ _ _
TMS ___ Add ___ Delete	
AFRS ___ Add ___ Delete	Name: _____ Logon ID: _____
CAMS ___ Add ___ Delete	Phone: () _____ _ _ _ _ _ _ _ _
TMS ___ Add ___ Delete	

APPROVAL OF AGENCY DIRECTOR OR DESIGNEE:

Signature _____ Date _____
 Printed Name _____ Phone Number () _____
 Title _____ Mail Stop _____

Send **original** form to:

Solutions Center *Email to: Solutionscenter@DES.WA.GOV*
DES-Enterprise Technology Solutions OR
PO Box 41433
Olympia, WA 98504-1433

(DES USE ONLY)	System security changes made:
AFRS: by _____ date _____	TMS: by _____ date _____
CAMS: by _____ date _____	

DES financial systems do not collect personal information from system users. The systems' files/products may contain personal information about citizens. The 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.

Appendix B

System Security Maintenance Forms

CAMS

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

