



County of Butte

Finance	Approval Date: 3/26/13	Effective Date: 4/1/13
County Financial System	Review Date:	
Maintenance & Updates	Version: 1.0	Last Revision: 3/26/13
Related Policies/Forms: Financial System Module/Application Responsibility		

1. Purpose

The Butte County Financial System is relied upon in order to monitor the County Budget, provide accurate personnel and financial reports directed by the State and Federal governments, and process a large number of vendor, payroll, and benefit payments. It is imperative that the highest level of security be maintained over the Butte County Financial System, including safeguarding the accuracy of the underlying data through effective internal controls.

In order to protect the integrity of County financial data and reporting systems, prevent unauthorized modification of critical structural data and establish an effective audit trail of authorized changes, a policy is hereby established assigning the system authority necessary to update and maintain the County Financial System to the Director-Information Systems.

2. Policy Scope

This policy to assign and restrict the system authority necessary to update and maintain the County Financial System applies countywide.

3. Policy

The Director-Information Systems or designee shall have sole system authority necessary to update and maintain the County Financial System and the Database Reference Tables contained therein. All changes/additions must first be authorized by an approving authority as defined in the Register - Financial

Systems Approving Authorities (Register) maintained by the Chief Administrative Officer (CAO).

Exception-Vendor Reference Table: The County Auditor-Controller or designee shall have the limited system authority necessary to update and maintain the Vendor Reference Table as required for day to day operations.

#### 4. Responsibilities

The CAO or designee in accordance with this policy, shall establish and maintain the Register; a record of appointments assigning specific responsibility for each reference table to a single approving authority

The CAO or designee shall, in consultation with the Auditor-Controller, develop and periodically review procedures for updating and maintaining the County Financial System in order to maintain effective internal controls and ensure data and system integrity.

The Director-Information Systems or designee shall require a formal written or electronic approval from the authorized department head, or designee, prior to effecting data changes or additions to the County Financial System or the Database Reference Tables contained therein.

The Director-Information Systems or designee, upon approval, shall perform all necessary system and software upgrades in order to maintain optimum performance and security of the County Financial System. All changes to hardware or software systems affecting the County Financial System shall be recorded by the Information Systems Department staff or systems. Records shall include modification made, authorization, staff performing the operations, date the change was completed, and any pertinent details and shall be maintained for a minimum period of five years.

The Auditor-Controller may perform periodic audits of modifications, including changes to the Database Reference Tables. If requested, Information Systems

Department staff will provide detail of the changes to the Auditor-Controller. The information provided shall include, at a minimum, the modification made, the date of entry, Information Systems staff responsible for the entry, and applicable written authorization.

5. Definitions

*Butte County Financial System:* The County Financial System is that combination of necessary computer hardware and software to effectively support the financial operations and record-keeping requirements of the State and County. Since November 2007, the County has utilized SunGard PLUS Series software, and its required hardware, as the County Financial System. This policy is not intended to limit the County to the current vendor or software. In the future, the County may wish to pursue other Enterprise Resource Planning solutions and any successor system would become the County Financial System upon implementation.

*System Authority:* Access necessary to add or modify tables or structural data within the County Financial System. Users and Departments granted System Authority are provided with particular system access in order to modify Database Reference Tables, load vendor updates or system upgrades.

*Register - Financial Systems Approving Authorities (Register):* The Register is a record of the modules and tables comprising the Butte County Financial System and the approving authority for each. The Register shall be maintained by the CAO, or designee.

6. Procedure

The CAO or designee, in accordance with this policy, shall develop and review procedures for updating and maintaining the Register.

The CAO or designee, in accordance with this policy, shall develop and review procedures for updating and maintaining the County Financial System.

The Director-Information Systems, or designee, shall be responsible for recording any and all authorized changes or additions to the County Financial System. Personnel authorized to make such changes shall be designated in writing by the Director-Information Systems. Copies of the designations shall be maintained in the Information Systems Department and the Office of the Auditor-Controller.

7. Background

On November 27, 2007, the Butte County Board of Supervisors directed the CAO to implement changes to financial management duties. Four principles form the cornerstones of the Board's action:

- 1) clarification of responsibilities,
- 2) separation of duties,
- 3) transparency in government, and
- 4) individual accountability.

**Register - Financial Systems Approving Authorities**

Row	Application**	Module	Table	Approving Authority	Table Description
1	FAM	Fund Accounting	Account List	Auditor	
2	FAM	Fund Accounting	Account Approvals	Auditor	Account Approvals for Requisition, PO, Accounts Payable, Budget Transfer/Adjustment
3	FAM	Fund Accounting	Alternate Vendor Address	Auditor	
4	FAM	Fund Accounting	Approvals	Auditor	Cost Center Approvals for Requisition, PO, Accounts Payable, Budget Transfer/Adjustment
5	FAM	Fund Accounting	Bank Account Information	Auditor	Cost Center Bank Account Information
6	FAM	Fund Accounting	Bank Transmission File Format	Auditor	
7	FAM	Fund Accounting	Batch Vendors	Auditor	Adding New Vendors by batch
8	FAM	Fund Accounting	Check Reconciliation File	Auditor	
9	FAM	Fund Accounting EFT	Bank Codes	Auditor & HR	Information for Bank Routing
10	FAM	Fund Accounting EFT	EFT Destination Table	Auditor	
11	FAM	Fund Accounting	Organization Chart	Auditor	Defines reporting structures of funds and budget units (i.e. fund, function, activity).
12	FAM	Fund Accounting	Payer List	Not In Use	
13	FAM	Fund Accounting	Project List	Auditor	
14	FAM	Fund Accounting	User Defined Codes	Auditor	Define by IS for user defined fields in FAM
15	FAM	Fund Accounting	Vendor List	Auditor	
16	FAM	Fund Accounting	1099 Types	Auditor	
17	BUD	Budget Prep	Account List	Auditor	Stores Account titles and subtotal structures
18	BUD	Budget Prep	Budget Iterations	Not In Use	Allows you to set up budget templates to save multiple budget versions/scenarios
19	BUD	Budget Prep	New Year Fund Rollover	Auditor & Finance	Allows you to identify Funds whose numbers will be changing in the new year.
20	BUD	Budget Prep	Organization Chart	Finance	Defines reporting structures of funds and budget units (i.e. fund, function, activity). Initially extracted from Fund Accounting, the Budget Prep version then rolls to Fund Accounting and becomes the active chart in the new FY
21	BUD	Budget Prep	Phases	Not In Use	Assigns iteration data to Requested, Recommended, Approved and allows additional approval levels if desired
22	BUD	Budget Prep	Project List	Not In Use	
23	BUD	Budget Prep	Web BudgetEntry Types	Not In Use	
24	FIX	Fixed Assets	Activity Codes	Finance	Identify Activities to which Assets may be assigned - will mirror setup in Fund Accounting Profile?
25	FIX	Fixed Assets	Category Codes	finance	Allows creation of classification groups (i.e. Land, Building, Equipment)
26	FIX	Fixed Assets	Department Codes	finance	Used to create codes identifying departments where assets belong (dept using asset)
27	FIX	Fixed Assets	Function Codes	finance	use to create codes identifying Function (i.e. Gen Govt) for CAFR reporting. Should mirror Fund Accounting Profile?
28	FIX	Fixed Assets	Funding Source Codes	finance	Used to create codes identifying Purchase funds (state, federal, bond, etc.)
29	FIX	Fixed Assets	Location Codes	finance	Use to create codes identifying Location of assets
30	FIX	Fixed Assets	User Defined Codes	finance	Codes that have been determined necessary for reporting or process
31	HRM	Payroll	Additional Duty	HR	Out of Class Duty
32	HRM	Payroll	Bank Codes	Auditor & HR	Information for Bank Routing
33	HRM	Payroll	Calendars	HR	
34	HRM	Payroll	Check Reconciliation File	Not In Use	
35	HRM	Payroll	Deductions	HR	Payroll deduction table
36	HRM	Payroll	Departments	Not In Use	
37	HRM	Payroll	EIC Codes	Not In Use	Set up for EIC
38	HRM	Payroll	Federal Tax Codes	HR	Federal Tax Table
39	HRM	Payroll	FICA Tax Codes	HR	FICA Tax Table
40	HRM	Payroll	Group Life Insurance	Not In Use	Group Life Insurance Over 50,000
41	HRM	Payroll	Job Classes	HR	
42	HRM	Payroll	Leave Codes	HR	
43	HRM	Payroll	Local Tax Codes	HR	
44	HRM	Payroll	Pay Codes	HR	
45	HRM	Payroll	Salary Schedules	HR	
46	HRM	Payroll	State Tax Codes	HR	State Tax Table
47	HRM	Time Entry	Department	Not In Use	
48	HRM	Time Entry	Unapproval Code	Not In Use	

**Register - Financial Systems Approving Authorities**

Row	Application**	Module	Table	Approving Authority	Table Description
49	HRM	Time Entry	Shift Scheduling	Not In Use	
50	HRM	Personnel	Assignment Codes	Not In Use	
51	HRM	Personnel	Bargaining Units	HR	
52	HRM	Personnel	Certification Areas	HR	
53	HRM	Personnel	Certification Types	HR	
54	HRM	Personnel	Credential Codes	HR	
55	HRM	Personnel	Degree Levels	HR	
56	HRM	Personnel	Degree Schools	HR	
57	HRM	Personnel	Degree Subject Types	HR	
58	HRM	Personnel	Degree Subjects	HR	
59	HRM	Personnel	Degrees	HR	
60	HRM	Personnel	Employee Types	HR	Employee Type Codes
61	HRM	Personnel	Job Skills	HR	
62	HRM	Personnel	Locations	HR	Payroll Check Location
63	HRM	Personnel	Other Interests	HR	
64	HRM	Personnel	Qualification Codes	HR	
65	HRM	Personnel	Qualification Methods	HR	
66	HRM	Personnel	Qualification Statuses	HR	
67	HRM	Personnel	Requirement Codes	HR	
68	HRM	Personnel	Situation Types	HR	
69	HRM	Personnel	Status Codes	HR	Employee Status Code
70	HRM	Personnel	Termination Codes	HR	
71	HRM	Personnel	User Defined Codes	HR	Define by IS for user defined fields in HR
72	HRM	Personnel	Workers' Compensation Codes	HR	
73	HRM	Payroll-Future Changes	Deductions	HR	Changes may be entered with an effective date in the future
74	HRM	Payroll-Future Changes	Federal Tax Codes	HR	
75	HRM	Payroll-Future Changes	FICA Tax Codes	HR	
76	HRM	Payroll-Future Changes	Local Tax Codes	HR	
77	HRM	Payroll-Future Changes	Salary Schedules	HR	
78	HRM	Payroll-Future Changes	State Tax Codes	HR	
79	HRM	Applicant Tracking	Certification Areas	Not In Use	
80	HRM	Applicant Tracking	Certification Types	Not In Use	
81	HRM	Applicant Tracking	Degrees	Not In Use	
82	HRM	Applicant Tracking	Interviewers	Not In Use	
83	HRM	Applicant Tracking	Job Skills	Not In Use	
84	HRM	Applicant Tracking	Other Interests	Not In Use	
85	HRM	Applicant Tracking	Degree Schools	Not In Use	
86	HRM	Applicant Tracking	Status Codes	Not In Use	
87	HRM	Applicant Tracking	Degree Subjects	Not In Use	
88	HRM	Applicant Tracking	User Defined Codes	Not In Use	
89	HRM	Add Employee Process	Role Setup	HR	Set up by IS
90	HRM	Add Employee Process	User Setup	HR	Set up by IS
91	HRM	Employee Timesheets	Departmental Maint	Not In Use	
92	HRM	Employee Timesheets	Pay Period Maint	Not In Use	
93	HRM	Employee Timesheets	Shift Scheduling	Not In Use	
94	HRM	Employee Timesheets	FLSA Cycle Setup	Not In Use	
95	FAM	Purchasing	Account Approvals	General Services	Defines account-based approval requirements for requisitions and PO's. Includes user ID's of authorized approvers and range of accounts that require approval.
96	FAM	Purchasing	Approvals	General Services	Defines approval requirements for requisitions and PO's. Includes user ID's of approvers and dollar amount ranges that require approval.
97	FAM	Purchasing	Commodity Codes	General Services	Codes for products ordered on a regular basis; enables order and price tracking. Facilitates transactions between Purchasing, Vendor Bidding and Warehouse Inventory Systems.
98	FAM	Purchasing	Distribution Templates	General Services	Creates templates for pre-defined accounting distributions for recurring requisitions and PO's where the same budget unit/account combinations are frequently used. By selecting a template, repeated entry of account codes is eliminated.
99	FAM	Purchasing	Shipping Codes	General Services	Lists address information for County locations where PO commodities are delivered.

**Register - Financial Systems Approving Authorities**

Row	Application**	Module	Table	Approving Authority	Table Description
					Set up and maintain tables for verifying fields in user defined windows created in the Fund Accounting Profile. Tracks vendor information not otherwise stored in the baseline eFinancePLUS software.
100	FAM	Purchasing	User Defined Codes	General Services	
101	FAM	Purchasing	Vendor List	Auditor	
102	VBS	Vendor Bidding	Bid Type Codes	General Services	
103	VBS	Vendor Bidding	Commodity Codes	General Services	
104	VBS	Vendor Bidding	Default Location Crosswalk	General Services	
105	BUD	Personnel Budgeting	Additional Duty Table	Not In Use	
106	BUD	Personnel Budgeting	Nbenefit Table	Not In Use	
107	BUD	Personnel Budgeting	FICA Table	Not In Use	
108	BUD	Personnel Budgeting	Job Class Table	Not In Use	
109	BUD	Personnel Budgeting	Pay Code Table	Not In Use	
110	BUD	Personnel Budgeting	Worker's Comp Table	Not In Use	
111	BEN	Benefits	Benefit Codes	Not In Use	
112	BEN	Benefits	Notification Types Table	Not In Use	
113	BEN	Benefits	Qualifying Events Table	Not In Use	
114	PCD	PCard	PCard Definition File	Auditor	
115	PCD	PCard	PCard Setup	Auditor	
116	PCD	PCard	Pcard Vendor Setup	Auditor	
117	TRE	Treasurer	Interest Distribution Table	Auditor	List of receiving funds for interest apportionment
118	SEC	Fund Accounting Profile	Funds/Accounts	Auditor	Defines control accounts, identifies disbursement and payroll funds, and account ranges.
119	SEC	Fund Accounting Profile	Titles	Auditor	Set number of levels to use for reporting structures.
120	SEC	Fund Accounting Profile	System Options	Auditor	Determines system modules installed, options for number journals, vendors, budget transfers and ledger account settings
121	SEC	Fund Accounting Profile	Accounts Payable	Auditor	Defines parameters for accounts payable entry, including approval processing, cash accounts, settings for vendor checks
122	SEC	Fund Accounting Profile	Requisitions/PO's	Auditor	Fields for setting Requisition and PO numbering, approval parameters, other PO settings
123	SEC	Fund Accounting Profile	Translation Button	Auditor	Settings for ledger codes when using full account mask
124	SEC	Fund Accounting Profile	State Window Button	Auditor	Lets you set up your system to print detail reports with sorting, totals, page breaks based on levels in your reporting structure
125	SEC	Fund Accounting Profile	Project Windows Button	Auditor	Lets you create user-defined windows for tracking project-related information beyond the fields available in the project list.
126	SEC	Fund Accounting Profile	Vendor Windows Button	Auditor	Lets you create windows for tracking vendor-related information beyond those available in Vendor List.
127	SEC	HR Profile	Local System Options	HR	Determines system modules installed (payroll, personnel, position control, benefits, applicant tracking, fund accounting), options for numbering employee records, titles for org and project fields, settings for payroll, timecard, and attendance processing
128	SEC	HR Profile	Payroll	HR	Setup information for additional salary entry, payroll deductions, direct deposit transactions
129	SEC	HR Profile	Federal/State Reporting	HR	Stores key information for federal and state reports such as org name, tax id numbers
130	SEC	HR Profile	Direct Deposit Voucher email	HR	Setup information for sending direct deposit vouchers in pdf format to employees via email. Requires Optio software for printing.
131	SEC	HR Profile	Miscellaneous	HR	Stores the code used by Sungard to identify custom programming in baseline applications
132	SEC	HR Profile	Defined Windows	HR	Enables you to add user-defined windows for employee information
133	SEC	HR Profile	Applicant Windows	HR	Create user-defined windows for applicant information.
134	SEC	HR Profile	State Window Button	HR	Stores information required by state for tracking HR data.

**Register - Financial Systems Approving Authorities**

Row	Application**	Module	Table	Approving Authority	Table Description
135	SEC	HR Profile	Employee Add Setup	HR	Lets you determine the order and type (required/optional) of data entry windows in the add employee process.
136	SEC	Budget Prep Profile	Funds/Accounts	Finance & Auditor	Stores expenditure and revenue account ranges and method for entering ledger records
137	SEC	Budget Prep Profile	Titles	Finance & Auditor	Establishes field labels for each level in financial reporting
138	SEC	Budget Prep Profile	Web Budgeting	Not In Use	Setup information for FinancePlus budget request center
139	SEC	Budget Prep Profile	Translation Button	Not In Use	Settings for ledger codes when using full account mask
140	SEC	Fixed Assets Profile	Profile Window	Finance & Auditor	Set up numbering options, fiscal year information, labels for user-defined fields, etc.
141	SEC	Fixed Assets Profile	Defined Windows Button	Not in Use	Lets you create data entry windows for asset records based on your needs
142	SEC	Vendor Bidding Profile	Vendor Bidding Profile	Not in Use	Settings for award recomm, conversion of requisition to bid, numbering of bids, formatting of commodity codes, etc.
143	SEC	Time Entry Profile	Locked	Not In Use	When using HR System Time Entry module
144	SEC	Pcard Profile	Pcard Profile	Auditor & Gen Svc	enter settings related to receipt entry, encumbrance, reconciliation
145	SYS	Backups	System Backups	IS	Runs system backup
146	SYS	Backups	Automated Payroll Restore	IS	Will restore Payroll tables when necessary to correct and recalculate a pay run.
147	SYS	Backups	Lock/Unlock Options	IS	Allows you to lock users out of the system to prevent data updates when certain processes are run.
148	SYS	Backups	Event Log Viewer	IS	View specific details on any system error that occurs in FinancePlus
149	SEC	Reference Tables	Configuration Table	IS	Organization name in the title bar of FinancePlus windows
150	SEC	Reference Tables	Menu Items Table	IS	Location, path, program, and security information for each menu selection available
151	SEC	Reference Tables	Printers Table	IS	Printer setups for assigning
152	SEC	Reference Tables	Spreadsheet templates table	IS	Format for importing Excel spreadsheets (batch journals and budget worksheets)
153	SEC	System Messages	Setting up Messages	IS	Setup login and/or broadcast messages for current users.
154	SEC	System Messages	Scheduling Messages	IS	Schedule delivery of messages to current users.
155	SEC WKF	Workflow	Address Type	Not In Use	
156	SEC WKF	Workflow	Event Group	Not In Use	
157	SEC WKF	Workflow	Event Type	Not In Use	
158	SEC WKF	Workflow	Triggers	Not In Use	
159	EAC	Administrative Tasks	Profile-Benefits Set Up	HR	
160	EAC	Administrative Tasks	Profile-Email Addresses SetUp	HR	
161	EAC	Administrative Tasks	Profile-Employee Information SetUp	HR	
162	EAC	Administrative Tasks	Profile-Leave SetUp	HR	
163	EAC	Administrative Tasks	Profile-Login SetUp	HR	
164	EAC	Administrative Tasks	Profile-Menu SetUp	HR	
165	EAC	Administrative Tasks	Profile-Paychecks SetUp	HR	
166	EAC	Administrative Tasks	Profile-Salary and Benefits Setup	HR	
167	EAC	Administrative Tasks	Profile-Tax SetUp	HR	
168	EAC	Administrative Tasks	Profile-Titles SetUp	HR	
169	EAC	Administrative Tasks	Profile-Other SetUp	HR	
170	EAC	Administrative Tasks	Disclaimer Maintenance- varous pag	HR	
171	EAC	Administrative Tasks	User-Maintenance	HR	
172	EAC	Administrative Tasks	Tax Filing Type Maintenance	HR	
173	EAC	Administrative Tasks	Deduction Frequency Maintenance	HR	
174	EAC	Administrative Tasks	Benefits Type Maintenance	HR	
175	EAC	Administrative Tasks	Extended Deduction Information	HR	
176	EAC	Administrative Tasks	Enrollment Question Group Mainten	HR	
177	EAC	Administrative Tasks	Support Center	HR	
178	EAC	Administrative Tasks	Annual Enrollment Submission	HR	
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