

### Audit Access Overview

Audit Inquiry Access is designated for Audit Staff responsible for conducting agency audits. This role has access to comprehensive Read-Only inquiry including sensitive data.

To maintain segregation of duties between Auditor access versus Core User/Employee Self-Service access, there is a requirement for an employee needing auditor access to have two separate User IDs with a separate business email address not associated to their Employee Self-Service email address or Employee ID.

Cardinal Audit Access must be requested on the Cardinal Security Audit Access Form (Cardinal SE-AUDIT-001) and submitted by the Cardinal Security Officer (CSO) for that agency to the **Cardinal.Security @doa.virginia.gov** mailbox.

- Cardinal User ID created will be in the format of AUDIT\_FIRSTNAME.LASTNAME
- Forms will be returned to the Cardinal Security Officer if information required is not complete or correct.
- Email notifications regarding the creation of new Cardinal Audit user accounts, and/or updates to those accounts, will be sent directly to the user and the CSO.

### Requesting Audit Access

1. In order to establish a Cardinal Audit account, a new business email address (provided by your agency) is required that is not used or tied to a user's Core/Employee Self-Service account or Employee ID number.
2. The agency Cardinal Security Officer (CSO) submits the Cardinal Security Audit Access Form (Cardinal Form SE-AUDIT-001) to the Cardinal Security Team at the following email address ([cardinal.security@doa.virginia.gov](mailto:cardinal.security@doa.virginia.gov)) to have the account created. (Form is located on the Cardinal Project website: [www.cardinalproject.virginia.gov/security](http://www.cardinalproject.virginia.gov/security)).
3. **Finance (FIN)** Audit access is defined by only three roles, Audit Inquiry, APA all pages – read only FIN role (APA Only) and APA Special FIN (APA Only).
4. **Human Capital Management (HCM)** Audit access is defined by read-only (Benefits, HR, Payroll and Time and Attendance) roles for each module section and Audit Inquiry HR Sensitive, APA all pages – read only HCM role (APA Only) and APA Special HCM (APA Only).
5. Audit Access requires you to select the Primary Permission List needed by Business Unit for FIN and HCM.

### 6. Overview of each section of the Cardinal Security Audit Access Form

#### a. Security Action Requested (Required)

Security Action Requested		
<input type="checkbox"/> <b>New User Setup</b> (complete all applicable fields and roles)	<input type="checkbox"/> <b>Update Existing User</b> (Complete all applicable fields and roles)	<input type="checkbox"/> <b>Lock Out Existing User</b> (Complete User Information Section Only)

- i. **New User Setup** – Check this box to create a new user account or if account was previously locked.
- ii. **Update Existing User** – Check this box if access to Cardinal needs to be updated.
- iii. **Lock Out Existing User** – Check this box if user account needs to be locked.

#### b. User Information (Required)

User Information	
Name - Last, First, Middle Initial	Name Change
Email Address (must be different from Employee Self-Service email)	
Business Unit:	Department ID:
User's Job Title:	Cardinal User ID:
Supervisor Name:	Supervisor Employee ID:

- i. **Name** – Last, First, Middle Initial (ex: Doe, John B.)
- ii. **Name Change** – Check box if this is an existing user with a name change.
- iii. **Email Address** – Must be a business email address that is different from the Core User/Employee Self-Service email address.
- iv. **Business Unit** – Enter your agency's 5-digit Business Unit ID (e.g., 50100-VDOT, 15100-DOA, etc.)
- v. **Department ID** – Enter your agency Department ID (e.g., 10015-VDOT, 95400-DOA, etc.)
- vi. **User's Job Title** – User's current job title. (e.g., Financial Services Specialist)
- vii. **Cardinal User ID** – Needed for Existing Users.
  - Leave this field BLANK for New Users Only.
  - If you are unaware of the ID please run the V\_PT\_SEC\_ROLE\_USERS query (in HCM and/or FIN as applicable). This query will show User ID, Dept. ID, Account Lock (yes or no), Business Unit, Oprid Description and security roles for the selected application (HCM or FIN).
- viii. **Supervisor Name and Supervisor Employee ID Number**
  - Supervisor's Name (ex: Doe, John B.)
  - Supervisor's Employee ID Number - Employee ID Number is the 11-digit number assigned by Cardinal (e.g., 00123456700). You must enter the full 11-digit number on this form.

## Cardinal Form SE-AUDIT-001 Instructions

- c. **FIN Section** (Fill out if Audit access is needed in FIN, if not skip this section)

FIN SECTION	
FINANCE PRIMARY PERMISSION LISTS	
Business Units: (10000 to 59999) <select one>	Business Units: (60000 to 99999) <select one>
FIN Audit Roles:	
<input type="checkbox"/> AUDIT Inquiry	<input type="checkbox"/> APA all pages - read only FIN (APA Only)
<input type="checkbox"/> APA Special FIN (APA Only)	

- Primary Permission List** - Select the required FIN Primary Permission List to which access is required by using the drop down box. Primary Permission List selection should coincide with the users' agency Business Unit (e.g., users in 13300 should only select Primary Permission Lists for Business Unit 13300):
  - 13300 – V\_R\_13300\_APA\_OVERSIGHT
  - 13300 – V\_R\_13300\_USERS
- A detailed list of Primary Permission Lists by Business Unit can be found on the Cardinal Project website. **Choose only one FIN Primary Permission List per user.**
- FIN Audit Roles** (Description of Roles can be found in the Cardinal Security Handbooks)

- d. **HCM Section** (Fill out if Audit access is needed in HCM, if not skip this section)

HCM SECTION	
HCM PRIMARY PERMISSION LISTS	
Business Units: (09000 to 59999) <select one>	Business Units: (60000 to 99999) <select one>
HCM Audit Roles:	
<input type="checkbox"/> AUDIT Inquiry HR Sensitive	<input type="checkbox"/> Benefits Read Only
<input type="checkbox"/> Payroll Read Only	<input type="checkbox"/> TA Read Only
<input type="checkbox"/> APA all pages - read only HCM (APA Only)	
<input type="checkbox"/> APA Special HCM (APA Only)	

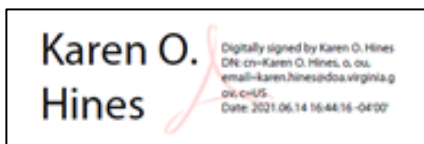
- Primary Permission List** – Select the required HCM Primary Permission List to which access is required by using the drop down box. Primary Permission List selection should coincide with the users' agency Business Unit (e.g., users in 15100 should only select Primary Permission Lists for Business Unit 15100). **Exceptions to this rule are allowed for Auditor access for the Auditor of Public Accounts and for the Office of Inspector General, who will need targeted agency access to conduct specific audits/review.**
  - 15100 – V\_PRIM\_DOA\_FISCAL
  - 15100 – V\_PRIM\_DOA\_OVERSIGHT
  - 15100 – V\_PRIM\_15100\_USERS
  - 15100 – V\_PRIM\_15100\_PSB\_OVERSIGHT
- A detailed list of Primary Permission Lists by Business Unit can be found on the Cardinal Project website. **Choose only one HCM Primary Permission List per user.**
- HCM Audit Roles** (Description of Roles can be found in the Cardinal Security Handbooks)

e. **Approval (Required)**

Approvals		
<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>User Printed Name</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>User Signature (sign above)</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Date</small>
<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Supervisor Printed Name</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Supervisor Signature (sign above)</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Date</small>
<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Cardinal Security Officer Printed Name</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Cardinal Security Officer Signature (sign above)</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Date</small>

- i. User printed name, user signature, and date
- ii. Supervisor printed name, supervisor signature, and date
- iii. Cardinal Security Officer printed name, signature, and date
- iv. Digital Signatures are allowed only if they include a system generated date stamp as show in example below:

**Example:**



- v. We will accept email approvals from a user's business email account in the event they cannot physically sign the form. The form must be attached with the email approval showing evidence that the form was transmitted from the user, supervisor and/or the CSO. The approver should state the following:
  - **User** – "Please accept this email as my approval of the attached form as the user."
  - **Cardinal Security Officer** – "Please accept this email as by approval of the attached form as the Cardinal Security Officer."
  - **Supervisor** – "Please accept this email as my approval of the attached form as the supervisor."

f. **Department of Accounts Approval**

Department of Accounts Approval		
<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>DOA Approver Printed Name</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>DOA Approver Signature (sign above)</small>	<div style="border: 1px solid black; height: 30px; margin-bottom: 5px;"></div> <small>Date</small>

- i. DOA Approval
  - APA Special FIN role requires DOA Approval.
  - Primary Permission Listing found on the Cardinal Project website ([www.cardinalproject.virginia.gov/security](http://www.cardinalproject.virginia.gov/security)) for those marked "Statewide Access Group" – as these will require DOA Approval.