

**POLICY ON ACCESS TO THE FINANCIAL SYSTEMS**

**1. OVERVIEW AND PURPOSE**

**1.1 Introduction**

This policy supports the University Financial Regulations. It sets out the approach of the University in meeting the requirement of the Regulations with regards to Finance Systems Access and describes the means by which the principles of the Regulations should be applied in the day-to-day operations of the University.

**1.2** This document sets out University policy regarding access to use of the core Finance Systems. The Finance Systems are used to support buying activities, claiming expenses, bringing in income, budget management in addition to reporting. The University recognises the need for its employees to have access to the systems and information they need to carry out their work. This policy sets out the principles governing access, all areas of the University and all members of staff, as defined by the Financial Regulations section must comply with this policy.

**1.3 Purpose**

To ensure access to the Finance System is authorised and appropriate.

**2. SCOPE**

**2.1** The policy is aligned with wider governance context set out by:

- ISPO1 Information Security Policy
- The Financial Regulations
- Standards set by the internal and external audit process
- [Data Protection policy](#)

**3. RESPONSIBILITIES**

**3.1 Director of Finance**

**3.1.1** The Director of Finance is responsible for supervising and approving the use of the University’s financial systems including the form in which accounts and financial records are kept. In accordance with the Finance Regulations, the Director of Finance is responsible for approving the delegation of authority within the Finance system- this responsibility is delegated to the Business Partners and requested through the Finance Service Desk by the relevant Head of School and Director of Service.

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## 3.2 Heads of School and Directors of Professional Services

**3.2.1** Heads of School and Directors of Professional Services are responsible for overall financial management within their Schools and Divisions. Delegation of some day-to-day financial management responsibilities may be affected through the Finance Systems and will be permitted to named individuals within their School or Service in accordance with the Financial Delegations Policy, and with the prior written approval of the Director of Finance. Authority may only be delegated to staff who have a paid contract of employment with the University. Overall responsibility for the actions of the person to whom authority has been delegated remains with the delegator. Once approved any such delegation will be subject to annual review to ensure it continues to be appropriate. Delegation may be immediately suspended or withdrawn in the event of any suspicion or evidence of abuse. A Scheme of Delegated Financial Authorities is maintained by the Director of Finance.

**3.2.2** Heads of School and Directors of Professional Services are responsible for ensuring compliance with the Financial Regulations within their areas of responsibility. This includes ensuring that members of staff are made aware of:

- the existence and provisions of these Financial Regulations and the responsibilities the Regulations place upon them.
- the implications of non-compliance. Compliance with the Financial Regulations is compulsory for all members of staff and others connected with the University.

In relation to Finance Systems Heads of School and Directors of Professional Services are responsible for

- Delegating authority for their areas where appropriate
- Ensuring that line managers request systems access for staff when there is a clear business need, defining the type of access and delegation.
- Ensuring that training is completed as requested.

## 3.3 Staff

**3.5.1** Comply with the policy. Complete relevant training including GDPR and relevant Finance training. Report incidents involving actual or potential breaches of Information Security [Breach Reporting Process](#).

## 4 POLICY

**4.1** This section sets out who can access the Finance System, how the system is accessed and how access is granted and administered for users.

### 4.2 Authorised users

Access to Finance Systems is restricted to members of staff who have a business need to complete a financial process including reporting using the system. Unless otherwise stated, the terms 'members of staff' and 'staff' within the Finance Regulations refer to people who have a paid contract of employment with the University or some other form of contractual relationship including but not limited to visiting and honorary staff, temporary staff, contract staff and contractors' staff acting on

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behalf of the University. Access is authorised by line managers, and any systems based delegation of authority must be approved by the relevant Head of School or Director of Service and the Finance Business Partner.

By exception, where a valid justification exists access may be granted to Post Graduate Research students for the purpose of viewing reports, raising requisitions and claiming out of pocket expenses.

Users can only be created where there is an existing valid IT account.

### 4.3 Accessing the Applications

Authorised users will be granted access to some or all of the following Finance Systems

- **Unit 4 Business World** (Core Finance System, General Ledger, Purchasing, Expenses, Sales, Financial Planning and Analysis). This application can be accessed through a web browser and the back office application (Smart client).
- **Supplier Relationship Management (SRM)**: For proposing new suppliers.
- **Contract Management (CM)**: Contract repository and management tool.
- **Web Payments Management**: Online shop administration and Extranet Payments administration.

Users can access finance systems applications from:

- Networked computers on campus
- Web browser on and off campus
- VPN
- Mobile devices (web browser and Unit 4 Apps)
- Planning Analytics (IBM Finance and Analysis tools)

### 4.4 User Administration

#### 4.4.1 New users

New users must request access to the systems by completing a user request form which is signed by their line manager and sent to the Finance Service Desk for action.

Where the request requires the delegation of authority it must be approved by the relevant Head of School/Director of Service and the Finance Business Partner.

New users must complete relevant E learning to demonstrate proficiency with the systems and process within the first two months of use. Non-compliance with training is monitored and escalated within line management routes.

#### 4.4.2 Amendments

Where users change role line managers must notify the Finance Service Desk and request change to access levels.

Where changes require the delegation of authority this must be approved by the relevant Head of School/Director of Service and the Finance Business Partner.

#### 4.4.3 Leavers

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Monthly leavers reports are used to purge leavers from Finance Systems & E Learning.

#### 4.5 Access controls

4.5.1 Password resets are enforced every 6 months in line with audit recommendations.

4.5.2 Annual user audits are completed to ensure that the approval levels are understood and correct across the Schools and Divisions.

#### 5 Non Compliance

Failure to comply with this policy and any other requirement under the Financial Regulations may lead to disciplinary action against staff, removal of honorary and visiting status, termination of contract or any other appropriate action.

#### 6. LEGISLATION AND GOOD PRACTICE

Review / Contacts / References	
Policy title:	Finance Systems Access
Date Approved:	August 2020
Approving Body:	Director of Finance
Last review date:	August 2022
Revision History:	V2
Next review date:	August 2023
Related internal policies, procedures, guidance:	<a href="http://www.sussex.ac.uk/infosec/policies">http://www.sussex.ac.uk/infosec/policies</a> <a href="#">Finance Regulations</a> <a href="#">Data Protection</a>
Policy owner:	Finance Division
Lead Contact/Author:	<i>Keren Flack</i>

#### **NOTE: SUPPORTING DOCUMENTS**

[ISR01 – Regulations for the Use of Information Technology](#) – This is the effective Acceptable Use policy of the University.

[Data Protection](#) policy and guidance.

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