

3.0 Appendix B – Project Aspire Enhancement Functional Design

ADML ID	054
ADML Description	Change to Chartfield Audit Trail
ADML Tech#	053

3.1 Background

3.1.1 Functional Requirement

“Provide an automated audit trail (e.g., log of approvals, denials, changes, additions, deletions, deactivations) of coding block (data classification structure elements) changes, including date, time and user name as well as a description of the change.”

The State of Florida needs to utilize the record based audit tracking within Aspire in order to track and monitor changes to data in the Chartfields. Documentation and training will be provided, in order for State of Florida employees, to track these changes (e.g., changes, additions, deletions, deactivations) including date, time and user name as well as a description of the change.

3.1.2 Delivered Functionality

Aspire delivered functionality for this particular process will be the use of the Peoplesoft Query Tool, to run the associated queries that will be created for the end-users. Queries will need to be created by the technical staff for the end-users to utilize for their auditing procedures. Audit tables with the AUDIT_ prefix will be created and defined in order for the specified end-user to retrieve the results.

3.1.3 Gap Description

No gaps. See Set – Up/Control Data

3.2 Description of New Functionality

There are seven records within Aspire that have been identified and need to be defined for audit purposes, (FUND_TBL, OPER_UNIT_TBL, ALTACCT_TBL, DEPT_TBL, PROGRAM_TBL, PRODUCT_TBL, GL_ACCOUNT_TBL). These records will be created with the AUDIT_ prefix attached in order to track modifications made to the base records by record-based auditing. The modifications will include any additions, changes, deactivations or deletions to the records. All fields associated with the aforementioned base records will be included in the AUDIT records. In addition to the delivered fields there will be three additional fields added to the new AUDIT records for data audit purposes: AUDIT_OPERID – this field captures the User ID who takes the action on a field in the record, AUDIT_STAMP – this field stamps the date and time of the change, and AUDIT_ACTN – this field records the type of action taken: Add, Change or Delete.

Queries will be created for specified State of Florida staff that will run these queries on an as needed basis. The query results will be sent to secure network folders which will only be accessible by authorized State of Florida employees for review.

3.3 Navigation path

Menu > Reporting Tools > Query > Query Manager

3.4 Set Up/Control Data

Aspire will provide delivered audit functionality. The delivered base Chartfield records will need to be copied and renamed to provide identified audit information to State employees.

1. The State of Florida will use ~~trigger~~ Record based audit functionality that Peoplesoft Application Designer provides. Two components that are involved with auditing are :

- A. Base Records – The Base Record is the record you want to audit, or monitor. The Base Record contains the fields that need to be monitored.
- B. Audit Records – The Audit Record is a newly created record utilizing Application Designer. It stores all the audit information on the fields from the base record that are identified for auditing.

- The following are the base records to be audited:

- i.Fund_Tbl (Fund CC)
- ii.Oper_Unit_Tbl (Budget Entity)
- iii.Altacct_Tbl (Alternate Account)
- iv.Dept_Tbl (Org)
- v.Program_Tbl (Appropriation Year)
- vi.Product_Tbl (Category)
- vii.GL_Account_Tbl (Account)

Create audit records by opening the record definition of the base record that you want to audit in Application Designer. Save it as a new record prefaced with AUDIT_._ Remove all key and edit fields from the newly created Audit record. There will be three special audit fields added to the top of the audit records. These fields should be required and key fields. They are:

1. AUDIT_OPRID – Identifies the user who either performed an add, change or delete to an audit field.
2. AUDIT_STAMP – Identifies the date and time that the add, change or delete was made.
3. AUDIT_ACTN – Indicates the type of action the user performed, possible actions would include:
 - a. A Add
 - b. C Change
 - c. O Change – Original Values
 - d. K Change – Old Values
 - e. N Change – New Values
 - f. D Delete

Below are the base records and fields identified to be audited for the State of Florida:

FUND_TBL (Fund)

SETID
FUND_CODE
EFFDT
EFF_STATUS
DESCR
DESCRSHORT
BUDGETARY_ONLY
SYNCID
SYNCDTTM

OPER_UNIT_TBL (Budget Entity)

SETID
OPERATING_UNIT
EFFDT
EFF_STATUS
DESCR
DESCRSHORT
BUDGETARY_ONLY
SYNCID
SYNCDTTM

ALTACCT_TBL (Alternate Account)

SETID
ALTACCT
EFFDT
EFF_STATUS
DESCR
DESCRSHORT
DESCR254
SYSTEM_MAINT_ACCT
PAYROLL_ACCOUNT
ACCOUNTING_OWNER
ACCOUNT_TYPE
UNIT_OF_MEASURE
OPEN_ITEM
OPEN_ITEM_DESCR
OPEN_ITEM_EDIT_REC
OPEN_ITEM_EDIT_FLD
STATISTICS_ACCOUNT
BALANCE_FWD_SW
CONTROL_FLAG
BAL_SHEET_IND
BOOK_CODE
SYNCID
SYNCDTTM

DEPT_TBL (ORG)

SETID
DEPTID
EFFDT
EFF_STATUS
DESCR
DESCRSHORT
COMPANY
SETID_LOCATION
LOCATION
TAX_LOCATION_CD
MANAGER_ID
MANAGER_POSN
BUDGET_YR_END_DT
BUDGET_LVL
GL_EXPENSE
DEPT_TBLUSA_SBR
DEPT_TBLCAN_SBR
DEPT_TBLGER_SBR
DEPT_TBLFRA_SBR
DEPT_TBLFED_SBR
DEPT_TBLNZL_SBR
DEPT_TBLAUS_SBR
DEPT_TBLBEL_SBR
FTE_EDIT_INDC
DEPT_TENURE_FLG
TL_DISTRIB_INFO
USE_BUDGETS
USE_ENCUMBRANCES
USE_DISTRIBUTION
BUDGET_DEPTID
DIST_PRORATE_OPTN
HP_STATS_DEPT_CD
HP_STATS_FACULTY
DEPT_TBLERP_SBR
BUDGETARY_ONLY
SYNCID
SYNCDTTM

PROGRAM_TBL (Appropriation Year)

SETID
PROGRAM_CODE
EFFDT
EFF_STATUS
MANAGER_NAME
DESCR
DESCRSHORT
BUDGETARY_ONLY
SYNCID
SYNCDTTM

PRODUCT_TBL (CATEGORY)

SETID
PRODUCT
EFFDT
EFF_STATUS
DESCR
DESCRSHORT
ACCOUNTING_OWNER
BUDGETARY_ONLY
SYNCID
SYNCDTTM

GL_ACCOUNT_TBL (ACCOUNT)

SETID
ACCOUNT
EFFDT
EFF_STATUS
DESCR
DESCRSHORT
BUDG_OVERRIDE_ACCT
ACCOUNTING_OWNER
AB_ACCOUNT_SW
GL_ACCOUNT_SW
PF_ACCOUNT_SW
ACCOUNT_TYPE
UNIT_OF_MEASURE
OPEN_ITEM
OPEN_ITEM_DESCR
OPEN_ITEM_EDIT_REC
OPEN_ITEM_EDIT_FLD
OPEN_ITEM_PROMPT
OPEN_ITEM_TOL_AMT
CURRENCY_CD
STATISTICS_ACCOUNT
BALANCE_FWD_SW
CONTROL_FLAG
BOOK_CODE
BOOK_CODE_OVERRIDE
BAL_SHEET_IND
VAT_ACCOUNT_FLG
PHYSICAL_NATURE
BUDGETARY_ONLY
SYNCID
SYNCDTTM

2. Audit Queries will be provided to the State of Florida staff to run on as-needed basis. The query results will be stored on a specified network location to be accessed by authorized staff.

The queries will

list all fields in each of the following records:

- PS_AUDIT_FUND_TBL – Fund
- PS_AUDIT_OP_UN_TBL – Budget Entity
- PS_AUDIT_ALTAC_TBL – Alternate Account
- PS_AUDIT_DEPT_TBL - Organization
- PS_AUDIT_PROGRAM_TBL – Appropriation Year
- PS_AUDIT_PROD_TBL – Category
- PS_AUDIT_GL_AC_TBL - Accounts

3.5 Application Changes (e.g., Pages, Components, Menus, Records, App Engines, SQRs, etc.)

N/A

3.6 Unit Test Considerations

Make changes on all the chartfields identified using different ID's and note the time of change. Verify if the audit record captured the changes made before and after. Note also if the audit record captured the time of change. Run queries against the audit records to determine results.

3.7 Miscellaneous

N/A

3.8 Assumptions

- Only specified users will have query access to the audit records.
- No storing of Audit records through EPM warehousing.
- Document Version Control