

**RICE UNIVERSITY**

**Administrative and Enterprise Systems & Services Account Application and Security Agreement**

**Instructions:** By completing this form you are requesting access to Rice University's administrative information systems. These systems include the SCT Banner Financial, Human Resources, Payroll, Student, and Financial Aid systems and custom extensions.

Applicants must complete Part 1, Part 2 (the User Agreement) and the appropriate pages that describe the access requested; i.e. Financial, HR/Payroll, Student, Financial Aid, Rice Web Applications, Campus Card, Parking, and SEVIS.

**Return the completed and signed agreement to AESS USER SECURITY MS-97.** The applicant will receive an email with instructions when the account is ready for use.

**Part 1: Applicant Information (Print Clearly)**

Full Name \_\_\_\_\_ Rice ID# \_\_\_\_\_

Rice email address \_\_\_\_\_ Phone \_\_\_\_\_ Department \_\_\_\_\_

Posn Type: \_\_Faculty \_\_Staff \_\_Temporary \_\_Consultant \_\_Student Worker Job/Title: \_\_\_\_\_

New Account (NETID \_\_\_\_\_ )

**\*\*\* Please note your netid must be issued before applying for your Banner account. \*\***

Changes to Existing Account (USER ID: \_\_\_\_\_ )

**PART 2: Code of Responsibility for Security and Confidentiality of Records, Files and Databases**

Security and confidentiality are matters of concern to all Rice University employees and other people who have access to administrative data including financial, human resources, payroll, and/or student records either by hard copy documents or via electronic or micrographic media. The purpose of this code is to clarify responsibilities for maintaining the confidentiality of information.

1. No one shall make or permit unauthorized use of any information in files maintained, stored, or processed by any Rice University administrative systems including Finance, Human Resources, Payroll, Student, Financial Aid, Rice Web Applications systems or any other administrative system.
2. No one is permitted to seek personal benefit, allow others to benefit personally or to divulge, in any way, knowledge of any confidential information which has come to them by virtue of their work assignment.
3. No one is to exhibit or divulge the contents of any record or report to any person except in the conduct of their work assignment and in accordance with Rice University and the Human Resources policies and procedures.
4. No one shall knowingly include, or cause to be included, in any record or report, a false, inaccurate, or misleading entry.
5. No one shall knowingly change or delete or cause to be changed or deleted an entry in any record of report, unless in accordance with Rice University and the AESS information policies and procedures.
6. No official record or report, or copy thereof, shall be removed from the office where it is maintained or copied or printed via electronic means except in the performance of a person's duties, and in accordance with established procedures. Copies made in the performance of a person's duties shall not be released to third parties except as Number 3 above applies.
7. No one is to aid, abet, or act in conspiracy with another to violate any part of these terms and conditions.
8. Any knowledge of a violation of these terms and conditions must immediately be reported to the AESS Security Administrator and the employee's supervisor.
9. Passwords shall be kept confidential. All precautions shall be taken to prevent its discovery. (e.g. Do not tape password to terminal, desktop or store in another non-secure place.)
10. Terminals and workstations shall not remain logged on to the system when unattended.
11. Violation of these terms and conditions may lead to reprimand, suspension, or dismissal from the position consistent with the policies governing faculty, staff and students of Rice University. Violation can also lead to action under the policy for student conduct, contractually established disciplinary procedures, and/or State of Texas statutes pertaining to theft, alteration of public record, or other applicable sections.
12. No one may disclose or reveal the contents of a student information system record or report to anyone except in the conduct of his or her job duties and in accordance with university policies and procedures.
13. No one will acknowledge to anyone who is not a University official the existence of any student who has placed a confidentiality restriction on his/her information.
14. No one will reveal, except within their job duties, that a student has placed a confidentiality restriction on his/her records.

(continued on page 2)

## Procedure for Rice University Student Information System Access

UNIVERSITY PROCEDURES ARE CONSISTENT WITH APPLICABLE STATE AND FEDERAL LAWS AND REGULATIONS, INCLUDING THE FAMILY EDUCATIONAL RIGHTS PRIVACY ACT OF 1974. *VIOLATIONS OF THIS PROCEDURE MAY LEAD TO APPROPRIATE DISCIPLINARY ACTION.*

1. Data which is identifiable to particular individuals (e.g., names, social security numbers, addresses, telephone numbers), shall be used only within the scope of an individual's official responsibilities, e.g., instructors may access data for classes they teach, departments for their majors, etc.
2. Data analysis of units or groups within the institution, or within organizations external to the University, should be coordinated with the appropriate central administrative office (e.g., Office of the Registrar, Institutional Research).
3. Actual data is made available only via the information system to users with an authorized userid and password. Data that is saved locally must be adequately protected from outside access. Saved data must be updated frequently enough that the likelihood of incorrect data being used is minimized.
4. Anyone with information system access must ensure that such data is not available to individuals who have not signed a Student Information Systems Account Application and Security Agreement, or who do not have a legitimate "need to know". An individual with information system access is responsible for the security of his/her access and auditing that security on a regular basis, but not less frequently than on an annual basis.
5. Before publishing or releasing non-personally identifiable information derived from the student information system a person must coordinate such usage with the Director of Institutional Research.
6. Requests for data or the use thereof which are outside the user's responsibilities must be authorized in writing by the appropriate administrative office (e.g., Office of the Registrar, Institutional Research, Vice President for Enrollment).
7. Any use of information extending beyond a legitimate "need to know" basis must be authorized in advance by the Office of the Registrar.
8. Subpoenas for individual or aggregate student or employee information or any request from law enforcement authorities (including Campus Police, FBI, CIA, District Attorney) should be referred to the General Counsel's office.

### User Affidavit

I have read, do understand, and will comply with the Rice University's Code of Responsibility for Security and Confidentiality of Records, Files, and Databases and the procedure for Rice University AESS Access.

I am aware of my responsibilities to protect the confidentiality of the student information and agree to use information from this system for work related purposes only.

I accept the responsibility for maintaining the confidentiality and security of my password, and the data that I access.

**Applicant's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

### PART 3: APPROVALS

This request for access to the Rice University administrative system(s) identified below is approved.

**Department Head:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**PRINTED NAME:** \_\_\_\_\_ **Date:** \_\_\_\_\_

System/Data	Requested (√)	Signature Required	Signature/Date	Access detail
Financial		Controller		Parts 4 & 5
HR/Payroll		Associate VP HR		Part 6
Student		Registrar		Part 7A
Accounts Receivable		University Cashier		Part 7B
Financial Aid		Director of Financial Aid		Part 7C
Other Student [UGAdmit/ fsaATLAS]		Dean of UG Admission		Part 7D
BossCars		Parking		Part 8

# AESS Account Application and Security Agreement

## PART 4: FINANCIAL SYSTEM DATA ACCESS

TYPES OF DATA: Financial Queries and Downloads:

Add

Payment Solutions Transactions & Purchasing Card History  
Budget Information, Financial Transactions Queries and Downloads  
Memo Reservations Detail

UPDATE FUNDS/ORGS SECURITY PRIVILEGES					
FUNDS – See Note Below (FOMUSFN , FOMPROF)			ORGS (FOMUSOR, FOMPROF)		
<input type="checkbox"/> Q/B ALL FUNDS WITHIN ALL ORGS LISTED ON THE RIGHT			<input type="checkbox"/> Q/B ALL ORGS WITHIN ALL FUNDS LISTED ON THE LEFT		
Access*	Fund/Fund Type	Description/Title	Access*	Org Code/Range	Description/Org Name
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		
Q/B			Q/B		

**IMPORTANT NOTE:** Unless stated otherwise, FUNDS listed on the left will be accessible within ALL ORGS listed on the right. (exceptions FORUSFO)  
**AND ALL Research Grants, Awards, and Proposals for the Principal Investigators listed below:** (FWRUSPI)

1. Q / B	5. Q / B	9. Q / B
2. Q / B	6. Q / B	10. Q / B
3. Q / B	7. Q / B	11. Q / B
4. Q / B	8. Q / B	12. Q / B

\*Access Type Legend: **Q=Query Only B=Both Query and Data Entry**

## PART 5: FINANCIAL SYSTEM DATA ENTRY

This part grants Financial Data Entry Privileges to the applicant, i.e., the ability to create or change financial transactions. Circle B in the Part 4 access column above to indicate the funds and orgs for which the applicant is to have data entry privileges.

### DATA ENTRY FORM

ALL DATA ENTRY PRIVILEGES

Check Requests<sup>1</sup>  
Memo Reservations  
Credit Card Deposit Voucher<sup>2</sup>  
Inter-Department Transfer  
Expense/Revenue Correction


FWEPCKRQ  
RWEMEMO  
FWECCDV  
FWEPIDT  
FWEERCORR

<sup>1</sup> Forms will not be added until a Training Course has been completed. Contact Payment Solutions at [payment@rice.edu](mailto:payment@rice.edu)

<sup>2</sup> Forms will not be added until a training course has been completed. Contact the Cashier's Office at [cashier@rice.edu](mailto:cashier@rice.edu)

Note: For any Concur (travel / non-travel) related questions please contact [concur@rice.edu](mailto:concur@rice.edu)

Finance Security Comments related to Parts 4 and 5:


## AESS Account Application and Security Agreement

### PART 6: HUMAN RESOURCES AND PAYROLL DATA ACCESS:

**OPTION A** (PWI, PWD)

Applicant can **query and download** payroll related information for **the FUNDS/ORGS listed in Part 4** (Financial Funds/Orgs)

Add
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Fund/Org Payroll Queries and Downloads (includes Payroll by FOAPAL, Job Labor Distribution, Salary Encumbrance detail with Budget Info and Financial Transactions)

**OPTION B** (PWR, PWD)

Applicant can **query and download** HR/Payroll info by home org and/or employee class for the employee classes, salary ranges, and home orgs indicated below. **Must indicate Employee Class, Salary Range and Home Org Range.**

Add
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Payroll History by Individual and Employee HR Information Queries

Employee Class (es) (PSAECLS)	Salary Range (PTRUSER)	Home Org Range (PSAORGN.)												
ALL _____	ALL _____	ALL (entire University) _____												
Faculty _____	Max Salary _____ (specify amount)	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">From Home Org(s)</th> <th style="text-align: left;">Through Home Org(s)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	From Home Org(s)	Through Home Org(s)										
From Home Org(s)	Through Home Org(s)													
Staff _____														
Students _____														

**OPTION C – Web Time Entry Approvals ONLY (No other HR access)**

Employee Class(es)

ALL \_\_\_\_\_  
 Faculty \_\_\_\_\_  
 Staff \_\_\_\_\_  
 Students \_\_\_\_\_

From Timesheet Org(s)

To Timesheet Org(s)


**HUMAN RESOURCES/PAYROLL COMMENTS RELATED TO PART 6 options A or B:**


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## PART 7: STUDENT INFORMATION SYSTEM MODULES DATA ACCESS

### 7A. STUDENT SYSTEM DATA ACCESS (this section to be completed by Registrar's Office):

\_\_\_ General Student Web Apps (Restricted to: \_\_\_ Department/Major \_\_\_ Residential College \_\_\_ Student Level(s) )  
\_\_\_ Special Student Web Apps \_\_\_ Emergency Contact Info \_\_\_ Other (Specify Apps needed: \_\_\_\_\_)  
\_\_\_ Student GUI Access:

\_\_\_ Registrar's Office users:  
\_\_\_ Administrator \_\_\_ Staff \_\_\_ Student Worker  
\_\_\_ Non-Registrar users:  
\_\_\_ Student Advising \_\_\_ Athletics Office \_\_\_ MLS Program Office  
\_\_\_ Jones School \_\_\_ Judicial Affairs \_\_\_ Office of Int'l Students & Scholars  
\_\_\_ Research & Graduate Studies \_\_\_ Other (Specify \_\_\_\_\_)  
\_\_\_ Additional Privileges (if not included in above):  
\_\_\_ ban\_pinreset\_c – to reset login PINs for Esther  
\_\_\_ ban\_popsel\_c – population selections  
\_\_\_ ban\_reg\_cat\_sched\_c – catalog and schedule modification  
\_\_\_ ban\_reg\_transcript\_c – transcripts  
\_\_\_ Other (Specify \_\_\_\_\_)  
\_\_\_ One-Time Privileges (ban\_stud\_temp1/2\_c) - attach list of objects to include

\_\_\_ Student Database Access (Specify objects or role needed: \_\_\_\_\_)

### 7B. ACCOUNTS RECEIVABLE SYSTEM DATA ACCESS (this section to be completed by Cashier's Office):

\_\_\_ Accounts Receivable Web Apps \_\_\_ Cashier's Office \_\_\_ Other Department (Specify Apps needed: \_\_\_\_\_)  
\_\_\_ Accounts Receivable GUI Access:

\_\_\_ Cashier's Office users:  
\_\_\_ Administrator \_\_\_ Staff  
\_\_\_ Non-Cashier users:  
\_\_\_ Faculty Club \_\_\_ Loan Collections \_\_\_ Other (Specify \_\_\_\_\_)  
\_\_\_ One-Time Privileges (ban\_stud\_temp1/2\_c) - attach list of objects to include

\_\_\_ Accounts Receivable Database Access (Specify objects or role needed: \_\_\_\_\_)

### 7C. FINANCIAL AID SYSTEM DATA ACCESS (this section to be completed by Student Financial Services (SFS)):

\_\_\_ Financial Aid Web Apps: \_\_\_ SFS Office \_\_\_ Other Department (Specify Apps needed \_\_\_\_\_)  
\_\_\_ Financial Aid GUI Access:

\_\_\_ SFS Department users:  
\_\_\_ Administrator \_\_\_ Director \_\_\_ Staff \_\_\_ Loans \_\_\_ Front Desk \_\_\_ Student Worker  
\_\_\_ Non-SFS users  
\_\_\_ One-Time Privileges (ban\_stud\_temp1/2\_c) – attach list of objects to include

\_\_\_ Financial Aid Database Access (Specify objects or role needed: \_\_\_\_\_)

### 7D. UG ADMISSION DATA ACCESS (this section to be completed by UG Admission):

\_\_\_ UG Admission (\_\_\_ Uploads \_\_\_ Views \_\_\_ Other \_\_\_\_\_)

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## PART 8: BossCars / Parking GUI Access

**BOSSCARS** (this section to be completed by Parking/Police Dept):

Add

Query Access

Add

Maintenance Access

## PART 9: Other/Special Security Requests

PLEASE LIST ANY OTHER/SPECIAL SECURITY REQUESTS HERE :


## AESS Account Application and Security Agreement

### PART 10: FOR AESS USE ONLY

<b>USER ACCOUNT CREATION OPTIONS:</b>				
1. Account Type:	Banner 2000 (includes Web Apps)	WEB APPS only (default)		
2. Databases Requested – accounts will be created for ALL existing databases.				
Please indicate which accounts need complete security				
Security will be created in:	ALL	PROD	TEST	(default PROD only)
Will users need development database?	YES	NO		
Network Account Needed	YES	NO		

	COMPLETED BY	DATE
<b>DATABASE ADMINISTRATOR</b> (user –id establishment, vax/vms and database connect)	_____	_____
<b>SECURITY ADMINISTRATOR</b> (for application level security – grants, forms, values)	_____	_____