Data Access and Usage Guideline – EDW HR/Payroll Data Access for the Office of Research (OR) in order to fulfill Federal Reporting Requirements

Purpose

The purpose of this document is to formalize an agreement between UW Office of Research (OR) and Data Custodians of Human Resources (HR) and Payroll data in the Enterprise Data Warehouse (EDW) on the access and usage of HR/Payroll data. This agreement is to document the data access permissions and roles assigned to the technical implementation, for access by OR applications, when accessing HR/Payroll data in the EDW and to the appropriate staging, processing and loading of these data sets into any OR-related system (most notably the ARRA Mart).

Overview / Problem Statement

UW Human Resources is in the process of moving the ARRA reporting application from Human Resources Information Systems (HRIS) to the Office of Research (OR). The ARRA reporting application is used by the University to perform required reporting on federal stimulus grants and contracts related to the American Recovery and Reinvestment Act (ARRA) and may form a component of ongoing federal reporting in the years to come. One of the conveniences of having this application hosted in HR has been that questions of access to the payroll information used for reporting have been non-existent. As OR does not have HR’s warehouse data available, we need to change the system to reference the ‘sec.views’ of the EDW Human Resources database of pay cycle bound information. The data will be accessed through a SQL query, validated by the Enterprise Data & Analytics team and built into a Microsoft SQL Server Integration Services (SSIS) package. The package is executed under the application netid account a_ORIS_EDW_extract created for this purpose.

For the ARRA mart to function properly after its move, OR mostly requires HR baseline access, however, additional privileges are required for personnel actions. Specifically, the personnel actions for hire and rehire information from the personnel action security view is required. This level of access is available to the HR High privilege level, of the Payroll Analyst role. OR requests that their application NET_ID, ‘a_ORIS_EDW_extract’, be allowed access with the Payroll Analyst role, with an agreement that OR will only use it to access HR Baseline data plus the additional personnel action codes 1 and 35 (hire and rehire) from personnel action table. If, in the course of the ever changing world of federal reporting they require more information, they would be required to come to the custodians to seek approval of wider use.

Observations, Recommendations and Agreements

Access to the following data elements for specific OR business needs being granted, either as native or aggregated fields:

- Personnel Action Query: First and Last Names of those employees hired or rehired (where Personnel Action Code is 01 (Hire) or 35 (Rehire)) on ARRA-funded projects - budgets starting with the ‘20’ prefix, e.g. 20-
xxxxxx. All of the following fields not in red will be exposed according to the extract query criteria in the where clauses:

```
SELECT  PersonKey, OPUSTransId, Name, IdNbr, DateCreated, PersonnelActionCode, PersonnelActionDesc, JobClassCode, JobClassTitle, 
        BudgetNbr, BudgetName, ApptDeptBudgetNbr, ApptDeptPDC, ApptDeptOrgCode, ApptDeptOrgName, ApptDeptCollegeOrgCode, 
        ApptDeptCollegeOrgName, CollegeDivision, PAFGenerationNbr, StageLoadTimestamp, StageUpdateTimestamp, WhseLoadTimestamp, 
        WhseUpdateTimestamp, 'PAF History' AS Source
FROM    sec.PersonnelActionHistory
WHERE   (BudgetNbr LIKE '20%' OR (BudgetNbr LIKE '21%' AND StageLoadTimestamp >= CONVERT(DATETIME, '2009-06-15 00:00:00', 102))) and 
         PersonnelActionCode in (1,35)
```

- **Actual Distribution**: query collects the salaries records related to ARRA budgets and available w/o elevated HR access:
  ```
  SELECT  sec.ActualDistribution.*
  FROM    sec.ActualDistribution
  WHERE   BudgetNbr LIKE '20%' OR (BudgetNbr LIKE '21%' and PayCycleEndDate<='01/31/2012')
  ```

- **Person and Contact**: Related existing HR queries include fields that by virtue of elevated access will be available where as they would have been null with other access levels:
  ```
  SELECT  distinct ctd.PrimaryWorkPhone, ctd.PersonalCampusMailbox, ctd.PrimaryUWEmailAddr, pl.Name, pl.NameFirst, 
          pl.NameLast, pl.IdNbr, ctd.PersonKey, pl.UWNetid
  FROM    (SELECT  PersonKey, PrimaryWorkPhone, 
            PersonalCampusMailbox, PrimaryUWEmailAddr, RecordEffBeginDate, RecordEffEndDate
  FROM      sec.Contact
  WHERE     (RecordEffEndDate = 
  (SELECT  MAX(RecordEffEndDate) AS Expr1
  FROM    sec.Contact AS p
  WHERE   (sec.Contact.PersonKey = PersonKey))
  )}
  ctd INNER JOIN
  (SELECT  PersonKey, Name, NameFirst, NameLast, IdNbr, UWNetid, RecordEffBeginDate, RecordEffEndDate
  FROM    sec.Person
  WHERE     (RecordEffEndDate = 
  (SELECT  MAX(RecordEffEndDate) AS Expr1
  FROM    sec.Person AS p
  WHERE   (sec.Person.PersonKey = PersonKey))))
  )}
  pl ON
          ctd.PersonKey = pl.PersonKey
  ```

**Data Administration:**

- Once ARRA reporting is processed for any given quarter the tables related to HR data will be purged.
- **Data Extract Information**: The following applies to all three connections
  - a. Primary contact (team): UW ARRA <uwarra@u.washington.edu>
  - b. Primary contact (team): ORIS DSS <granttrpt@u.washington.edu>
  - c. Target (e.g.: server & database name; file location): dbarra\arramart
  - d. Schedule:
    - Desired frequency: quarterly
- Start time: process is triggered by a manual request from the business on the first day of the month of any given quarter. The process can be triggered many times until the 15th of the month
- Other schedule notes – Manually triggered by Team ARRA and run in ORIS DSS.
  - Triggered by (e.g.: manual; clock; other process): request from Team ARRA

Access to the following data elements are available but limited in use by ORIS:

- The usage of any sensitive data element not listed above is prohibited and no such data elements will be selected.

**Concurrence / Responsibility**

**Note:** Concurrence is provided with the understanding that EDW access roles may be reviewed to further refine the access to sensitive data. The EDW access role this service account is assigned to may be adjusted as appropriate.

The undersigned concur with observations, recommendations and Agreement in this data access guideline document.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
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<tbody>
<tr>
<td>Assoc. VP HR Admin and Info. Systems – Liz Coveney (Data Custodian)</td>
<td>5/27/14</td>
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<td>Rhil Fi -</td>
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Date

5/7/14