



Employee Security Audit

AUDITING YOUR EMPLOYEES' ACCESS TO
CU*BASE

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Find this booklet online: open.cuanswers.com/cubase-reference

Revised: March 12, 2021

This booklet represents a culmination of 20 plus years of experience performing security reviews for credit unions from 5 million to a billion dollars in assets. The process requires planning, preparation, communication, and documenting the work performed. The document is actually a brain dump of everything Jim Vilker, NCCO, CAMS, Vice President of AuditLink, knows about the system, credit union operations, and the proper application of tools to staff in various positions of the credit union.

Technically, a review of employee permissions to the core is to be completed on an annual basis based upon the requirements in your contract with CU*Answers (The Complementary User Access Controls section) and FFIEC guidance followed by state and federal regulators.

In reality, the audit of security access controls need only be completed once unless job descriptions change or if a merger occurs. Once this audit is complete your credit union should institute a formal process to complete access control changes on a continuous basis and then document the audit for the Supervisory Committee, regulators and third-party auditors.

The goal of the audit is to understand and implement the appropriate segregation of duties when possible, and, if that cannot be achieved, to understand the risks and create review procedures to mitigate those risks that were identified.

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Audit Access to CU*BASE Employee Security

Auditing who can assign tools via Tool #327

Your Employee Security Audit begins with a review of who has access to **Tool #327 CU*BASE Employee Security**. Employees having this tool access can create, archive, and delete templates, and assign tools and special security. All these tasks are covered in the Employee Security Audit.

A good rule of thumb is to grant Tool #327 to C-level employees and Information System Managers. Pick employees with a good command of the system and a good grasp of your operations.

Employee Security Dashboard (Tool #327)

Session 1 CU*BASE GOLD

File Edit Tools Help

Employee Security Maintenance

Employee IDs

Jump to ID Search for name containing Show only job classification

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AA			MG	V		04	
AB						04	
AD					LEFT CU ON 08/30/13	00	
AE			IT			04	
AH						02	
AI						01	
AJ					LEFT CU ON 06/30/14	04	
AK						04	
AM					LEFT CU ON 05/30/12	04	
AN						04	
AO				V	resigned 06/15/2018	04	Sep 01, 2017
AP					separated 2/28/2018	00	Nov 09, 2017
AR						02	Jun 26, 2018
AS						02	Aug 22, 2018
AT			IT			04	Oct 23, 2018
AU			IT			04	Sep 09, 2019
AV						04	

■ Empl Profile ■ Copy ■ Del/Archive/Lock ■ View Profile
■ Acct Security ■ Special Security ■ Assign Tools to this Empl ■ Reset PW

All Tool Assignments
Add Employee
CU Options
Data Center Employees
View Maintenance
Show Templates
View Archived IDs
Profile Analysis

Temporarily locked IDs, including templates, will show as highlighted in yellow.

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

← → ↑ ↓ ⏸ ⏹ ⏶ ⏷ ⓘ ? @ (6184) 2/26/21

- A view-only version is also available for employees who only need to view tools, but do not need to grant access.

*Tool #327 CU*BASE Employee Security should never be included in a template.*

Segregation of Duties with Employee Security

When assigning Tool #327, ask yourself these questions to ensure segregation of duties:

- Who has the authority to assign tools and security at your credit union?
- Do you have proper coverage and auditing controls in place?
- Does giving the ability to grant tools to employees pose a risk?

Designate Your Security Officers

Once you designate a person as a security officer with access to Tool #327, submit a Credit Union Security Authorization Request to the Client Services and Education team.

Find the Credit Union Security Authorization Request form in the CU*Answers Online store. <https://store.cuanswers.com/product/user-id-additions-and-deletions>

View-Only Version of Employee Security

The view-only version of Tool #327 is a better option for employees that do not need to assign tools to employees, but who still want to know what tools are assigned.

When you assign Tool #327, CU*BASE asks if you want to assign the maintenance version or **Tool #951 View Employee Security Settings/Maint**, the inquiry version.

Assigning Tool #951 – View-Only Version of Employee Security

The screenshot shows the 'Assign Tools to Employees' window in CU*BASE GOLD. The window has a blue header with the title 'Assign Tools to Employees' and 'All Available Tools' on the right. Below the header, there are search filters: 'For all employees', 'Search for' (with a text input), 'Categories' (with a 'Select' button), 'Exact' (checkbox), 'Description' (checkbox), 'Types' (with a 'Select' button), '# employees' (226), '# tools' (1), and 'Tool #' (327). A note states 'A highlighted row indicates a custom program'. The main area displays a table with columns: Tool #, Tool Title, Access Type, and Shortcut. The table has two rows: Tool # 327, CU*BASE Employee Security (Full access, SECURITY), and Tool # 951, View Employee Security Settings/Maint (View-only access). Below the table is a 'Select' button and a status bar with navigation icons and the number (6157). At the bottom, there are buttons for 'Assign to Employee', 'About This Tool', and 'Show Assigned Employees'. A usage analysis box at the bottom left contains a warning icon and text: 'After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.' The status bar at the very bottom shows (6166) 2/26/21.

Tool #	Tool Title	Access Type	Shortcut
327	CU*BASE Employee Security	Full access	SECURITY
951	View Employee Security Settings/Maint	View-only access	

Prepare for the Employee Security Audit

Evaluating separation of duties and special roles

This section of this document is important to review and absorb because it goes to the meat of the Employee Security Review, which is your architecture and design of your employee security.

As you prepare for your Employee Security Audit, ask yourself the following questions:

- How do you allocate tasks in a way that ensures there are segregation of duties?
- How do you audit employees who have grown to take on special responsibilities?

Segregation of Duties

At this point in the Employee Security Audit, ensure that there is segregation of duties at your credit union. Review duties such as monitoring dormant accounts and access to account adjustment to ensure that proper auditing measures are in place.

Review the following to evaluate your segregation of duties:

- **Full account adjustment and transaction override authority.** Only give trusted employees the ability to perform member account adjustments and override transactions. Ensure you have an audit process for employees with full account adjustment permissions. While evaluating this function remember that coded account adjustments limit the risks associated adjusting an account and reversing a transaction.
- **General ledger reconciliation and teller line authority.** As a rule, do not give employees responsible for reconciling general ledger accounts teller line authority (access to cash). If both are granted to an employee, make sure you have an auditing procedure in place to mitigate the risk. Why? Having the capability to manipulate physical cash and then adjusting generally ledgers poses a high level of risk.
- **Dormant accounts:** Pay special attention to employees who monitor activity on dormant accounts. Only grant a few individuals in the back office the ability to update a member's dormancy status. None of them should have cash handling or teller drawer authority.
- **Miscellaneous checks:** If staff members can print miscellaneous checks, this elevates the risk that checks could be cut from G/L accounts and fly under the radar. Restrict these permissions to employees in accounting.

Employees with Special Responsibilities

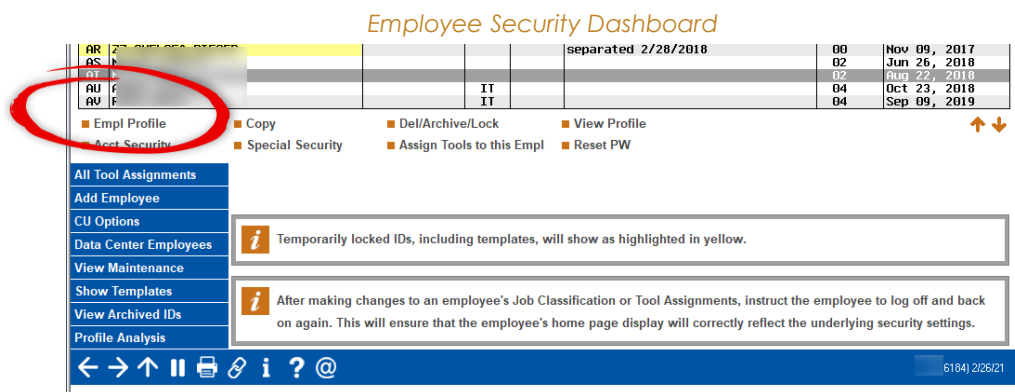
Set aside everyone in the role above Branch Manager (for example CEO, CFO, the head of the Accounting team, IT Manager). Additionally, take into account the "one-off" employees who, while they may fit neatly into one role, at times also perform a specialized task. For example, you

may have an accountant who handles a special project or a loan officer that works with mortgage processing. These employees' tools and security is reviewed at the end of the audit.

Organize for the Employee Security Audit

Preparing employee profiles, templates, team codes, and more

Now that you have ensured that there is separation of duties and good handling of employees with special responsibilities, it is time to organize the employee profiles on the Employee Security dashboard. Access the employee profile screen by selecting an ID in the list and choosing the *Empl Profile* option.



Below is the Employee Profile screen.

The screenshot shows the 'Employee Profile Screen' for 'Session 0 CU*BASE GOLD - Employee Profile'. The form includes fields for 'Employee ID' (AB), 'Name' (ANDREW EMPLOYEE), 'Vault #' (1), 'Job class (for recommended tools)' (TELLER), 'Branches to exclude' (Select), 'Corp IDs to exclude' (Select), 'Start date' (Dec 15, 2014), 'Email address' (andrewemp@abccreditunion.com), and 'Team code (CU-defined)' (TL). There are also checkboxes for 'This is a template' and 'Restrict auto-security for this employee'. A status bar at the bottom shows navigation icons and the user ID '6180'.

Session 0 CU*BASE GOLD - Employee Profile

Employee ID: AB
Name: ANDREW EMPLOYEE
Vault #: 1
Job class (for recommended tools): TELLER
Branches to exclude: Select
Corp IDs to exclude: Select
Start date: Dec 15, 2014
Email address: andrewemp@abccreditunion.com
Team code (CU-defined): TL
Other authorized vaults: Select 13 selected
Comments:
☐ This is a template
☐ Restrict auto-security for this employee
UPDATE

Evaluate the Risk of Shared Employee Profiles

At this point in the Employee Security Audit, it is time to evaluate the security where the employee profile is shared, and the password is generally known. During this review you will also uncover employee IDs used to track or report on a specific event. These IDs do not elevate risk as long as they are not granted access to any tools and the ID remains locked.

For example, your credit union may have an “roving teller” employee profile shared by tellers who work at multiple branches. This strategy was previously used to give tellers who changed branches access to the vaults at each branch.

Advances in CU*BASE mean that this strategy is no longer needed. Instead, you can assign all the vaults that the teller will interact with to their employee profile. Then the employee simply activates the appropriate vault when working at each branch.

To begin to move to this strategy, review the authorized vaults assigned to each employee profile with teller privileges to begin to move to the new strategy. Assign multiple vaults to one or two tellers and then adjust the vaults of all tellers. At end of this process, lock your roving teller templates and scramble the password to remove this risky strategy at your credit union.

Assign Multiple Teller Vaults

To assign additional vaults to an employee, click the **Select** button next to *Other authorized vaults*.

Employee Profile Screen

Session 0 CU*BASE GOLD - Employee Profile

Employee ID **AB** UPDATE

Name **ANDREW EMPLOYEE** ☐ This is a template

Vault # **1**

☒ Teller posting

Job class (for recommended tools) **MSR**

Branches to exclude **Select**

Corp IDs to exclude **Select**

Start date **Jan 01, 2020** [MMDDYYYY] NMLSR # **123456**

Email address **andrew@somewhere.com**

Other authorized vaults **Select** **1 selected**

Team code (CU-defined) **TL**

Comments **12/19/2014**

☐ Restrict auto-security for this employee

Navigation bar:

Status bar: (6160)

Your vaults will appear. Hold down the CTRL key and select all appropriate vaults from the list. Then use **Select** to return to the Employee Profile screen.

The number of vaults you selected is shown.

Employee Profile Screen with Multiple Vaults Selected

Session 0 CU*BASE GOLD - Employee Profile

Employee ID **AB** UPDATE

Name **ANDREW EMPLOYEE** ☐ This is a template

Vault # **1**

☒ Teller posting

Job class (for recommended tools) **MSR**

Branches to exclude **Select**

Corp IDs to exclude **Select**

Start date **Jan 01, 2020** [MMDDYYYY] NMLSR # **123456**

Email address **andrew@somewhere.com**

Comments **12/15/2014**

☐ Restrict auto-security for this employee

Other authorized vaults **Select** **4 selected**

Team code (CU-defined) **TL**

[6180]

Templates

Templates are special employee profiles created to make it easier to assign tools and security to people who do similar tasks. The task at hand is to find commonalities between different people, be it by job title or job responsibility.

- When you converted to the system, several templates were created for your credit union. Now it is time to sunset the ones that are no longer used and create new templates that fit your needs.

Look for ways to group employees by what they do at your credit union. Identify employees that perform key roles, such as teller, member service representative, or loan officer. Additionally, evaluate the level in this role. For example, you may specify different teller levels, including new teller, seasoned teller, and head teller.

Frequently Used Templates

Responsibilities held by a department of employees at larger credit unions may be part of the job of a single employee at a smaller credit union. For that reason, larger credit unions may use more templates than smaller credit unions.

Here are some common templates:

- Accounting
- Card services
- Exception processing
- Investment processing
- Accounts payable/subsidiary
- Auditor

- Branch Manager
- IT
- Teller
 - ▷ Head Teller
 - ▷ Seasoned Teller
 - ▷ New Teller
- Loan
 - ▷ Loan Interviewer
 - ▷ Loan Processor
 - ▷ Loan Officer
- Credit
- Call Center
- Security officer
- Collections
- Marketing
- External Auditor/Examiner
- Internal Auditor

Tips on Templates

The following are helpful tips from AuditLink when considering what templates to use:

- Create templates for people who perform similar duties.
- Do not create a template for one employee.
- The higher the authority of the employee the less likely you will use a template. If you have a Management template or similar template created, lock it. (Locking a template is covered later in this document.)
- Plan on having at least three teller templates.
 - ▷ A New Teller template is for a teller in the first six months of employment. Do not assign override and file maintenance permissions to this template.
 - ▷ A Seasoned Teller template is assigned additional tools and permissions including Coded Account Adjustments.
 - ▷ A Head Teller template that would include tools and permissions appropriate to their position.

Marking Employee Profiles as Templates

At this step in the Employee Security review, mark your employee profiles that are templates. To make an employee profile a template, select the employee profile and check the *This is a template* box.

Marking an Employee Profile as a Template

Once you use Enter, the template will disappear from the Employee Security Dashboard and you will only see those that belong to employees in the listing.

To view the template you just created, click *Show Templates*.

Clicking "Show Templates" to View the Templates

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AP	A				07/22/2019	01	Jul 22, 2019
AR	A				06/05/2018	01	Jun 05, 2018
AS	A				07/01/2013	01	
					10/07/2019/removed 4/8/20	01	Sep 13, 2019

Then only the templates will show in the listing.

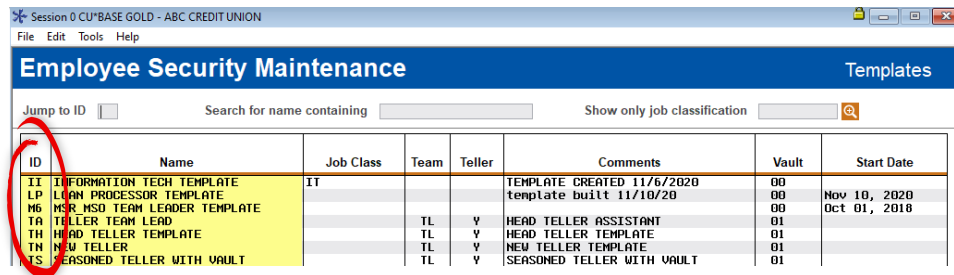
Templates Only Show

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
IT	INFORMATION TECH TEMPLATE	IT			TEMPLATE CREATED 11/6/2020	00	
LP	LOAN PROCESSOR TEMPLATE				template built 11/10/20	00	Nov 10, 2020
M6	MSR MSD TEAM LEADER TEMPLATE					00	Oct 01, 2018
TA	TELLER TEAM LEAD		TL	V	HEAD TELLER ASSISTANT	01	
TH	HEAD TELLER TEMPLATE		TL	V	HEAD TELLER TEMPLATE	01	
TN	NEW TELLER		TL	V	NEW TELLER TEMPLATE	01	
TS	SEASONED TELLER WITH VAULT		TL	V	SEASONED TELLER WITH VAULT	01	

Team Codes

Next you will assign your team codes, which are the templates that you designed to each employee's profile. (Look in the ID field.)

Finding the Team Code



Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Employee Security Maintenance Templates

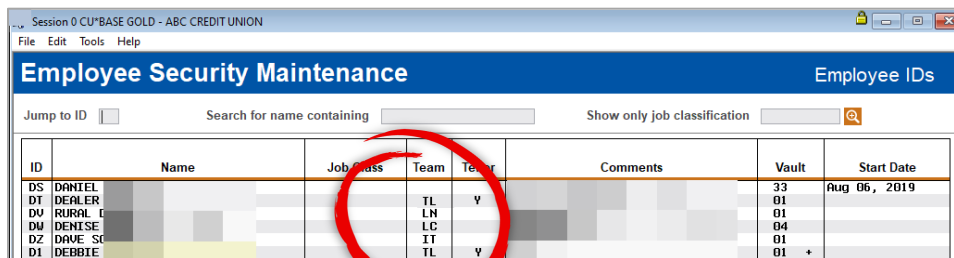
Jump to ID Search for name containing Show only job classification

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
IT	INFORMATION TECH TEMPLATE	IT			TEMPLATE CREATED 11/6/2020	00	
LP	LOAN PROCESSOR TEMPLATE				template built 11/10/20	00	Nov 10, 2020
M6	MSR MSD TEAM LEADER TEMPLATE					01	Oct 01, 2018
TA	TELLER TEAM LEAD		TL	V	HEAD TELLER ASSISTANT	01	
TH	HEAD TELLER TEMPLATE		TL	V	HEAD TELLER TEMPLATE	01	
TN	NEW TELLER		TL	V	NEW TELLER TEMPLATE	01	
TS	SEASONED TELLER WITH VAULT		TL	V	SEASONED TELLER WITH VAULT	01	

Assigning Team Codes to Employee Profiles

Return to the listing of employee profiles and sort by team code to review the assignments.

Team Code Column



Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Employee Security Maintenance Employee IDs

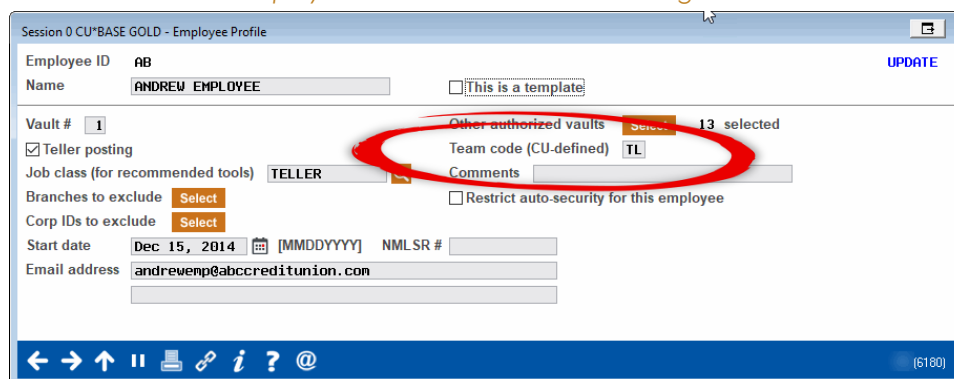
Jump to ID Search for name containing Show only job classification

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
DS	DANIEL DEALER		TL	V		33	Aug 06, 2019
DU	DURAN D		LN			01	
DV	DENISE		LC			04	
DZ	DAVE S		IT			01	
DI	DEBBIE		TL	V		01	

If you need to change the team code, select the employee profile, and assign the appropriate team code in the field provided.

- Employees are not assigned a team code if they do not belong to a template or if they no longer work at your credit union.

Employee Profile with Team Code Assigned



Session 0 CU*BASE GOLD - Employee Profile

Employee ID **AB** UPDATE

Name **ANDREW EMPLOYEE** ☐ This is a template

Vault # **1**

☒ Teller posting

Job class (for recommended tools) **TELLER**

Branches to exclude **Select**

Corp IDs to exclude **Select**

Start date **Dec 15, 2014** [MMDDYYYY] NMLSR #

Email address **andrewemp@abccreditunion.com**

Other authorized vaults **Select** 13 selected

Team code (CU-defined) **TL**

Comments

☐ Restrict auto-security for this employee

Navigation icons: back, forward, up, down, print, search, help, etc.

(6100)

When you complete the assignment of team codes to employee profiles, sort by the Team column to audit your work. This will ensure you assigned the correct team code to each employee.

Employee Security Dashboard Sorted by Team Code

Session 0 CU*BASE GOLD - ABC CREDIT UNION

Employee Security Maintenance

Employee IDs

Jump to ID Search for name containing Show only job classification

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
KF			VL	V	01/2014	01 +	
ZJ			UW			01	
ZK			UW			01	
AB		MSR	TL	V	12/15/2014	01 +	Oct 16, 2020
AE			TL	V	06/02/2015	01 +	
AF			TL	V	06/02/2016	01 +	
AG			TL	V		01 +	
AH			TL	V	08/03/2013	01 +	
AD			TL	V	08/27/2012	01 +	
AR			TL	V	07/01/2013	01 +	
AW			TL	V	NEW HIRE 5-13-15	01	
BB			TL	V		05 +	
BD			TL	V	04/03/2017	01 +	
BS			TL	V		04 +	
BP			TL	V	FALL 2013	19	
BS			TL	V	03/2015	01 +	
CC			TL	V	BUSINESS DEPT	01 +	
CH			TL	V		02 +	

☐ Empl Profile ☐ Copy ☐ Del/Archive ☐ View Profile
☐ Acct Security ☐ Special Security ☐ Assign Tools to Empl ☐ Reset PW

[All Tool Assignments](#)
[Add Employee](#)
[CU Options](#)
[Data Center Employees](#)
[View Maintenance](#)
[Show Templates](#)
[View Archived IDs](#)
[Profile Analysis](#)

Temporarily locked IDs, including templates, will show as highlighted in yellow.
 After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6184) 2/26/21

Job Classes

Job classes are used to classify tools by certain job functions, such as teller, member service, analysis, call center, human resource, etc. Unlike Team Codes, most employees will be assigned a job class. At a later step in the Employee Security Review, job class is used as another way to recommend tools. These classifications represent those which AuditLink recommends.

Assigning Job Classes to Employee Profiles

Select the employee profile from the Employee Security dashboard and assign the job class using the lookup provided.

Employee Profile with Job Class Assigned

Session 0 CU*BASE GOLD - Employee Profile

Employee ID **AB** UPDATE

Name **ANDREW EMPLOYEE** ☐ This is a template

Vault # **1** Other authorized vaults **Select** 13 selected

☒ Teller posting Team code (CU-defined) **TL**

Job class (for recommended tools) **TELLER**

Branches to exclude **Select** Restrict auto-security for this employee

Corp IDs to exclude **Select**

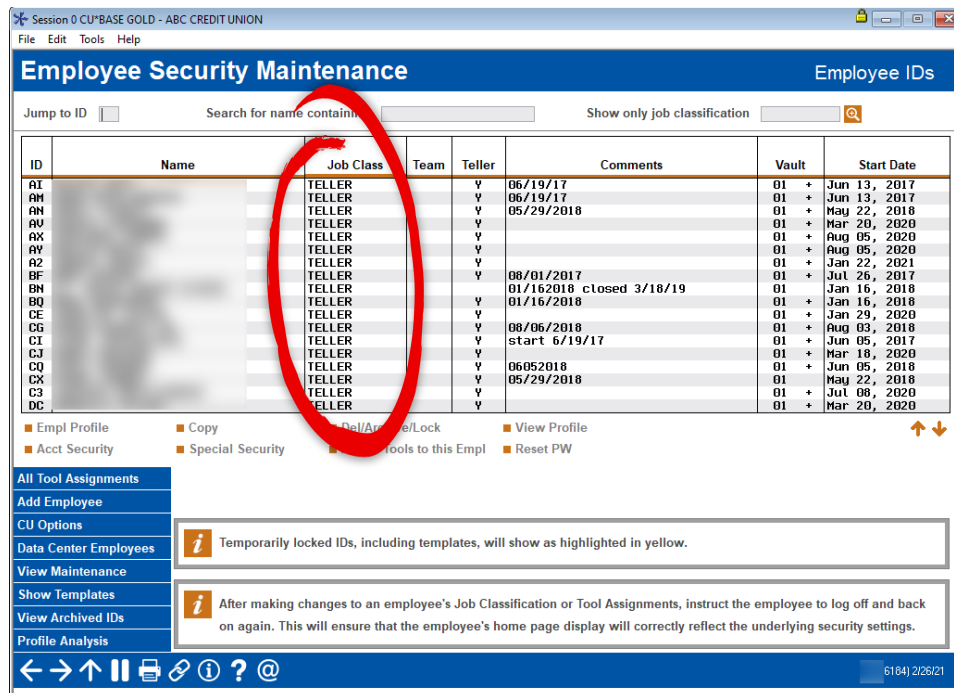
Start date **Dec 15, 2014** [MMDDYYYY] NMLSR #

Email address **andrewemp@abccreditunion.com**

(6180)

When you have assigned the appropriate job class to your employee profiles, sort the Employee Security dashboard by Job Class to proof your work.

Employee Security Dashboard Sorted by Job Class



Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Employee Security Maintenance

Employee IDs

Jump to ID Search for name containing Show only job classification

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AI		TELLER		V	06/19/17	01 +	Jun 13, 2017
AM		TELLER		V	06/19/17	01 +	Jun 13, 2017
AN		TELLER		V	05/29/2018	01 +	May 22, 2018
AV		TELLER		V		01 +	Mar 20, 2020
AX		TELLER		V		01 +	Aug 05, 2020
AY		TELLER		V		01 +	Aug 05, 2020
AZ		TELLER		V		01 +	Jan 22, 2021
BF		TELLER		V	08/01/2017	01 +	Jul 26, 2017
BN		TELLER		V	01/16/2018 closed 3/18/19	01	Jan 16, 2018
BO		TELLER		V	01/16/2018	01 +	Jan 16, 2018
CE		TELLER		V		01 +	Jan 29, 2020
CG		TELLER		V	08/06/2018	01 +	Aug 03, 2018
CI		TELLER		V	start 6/19/17	01 +	Jun 05, 2017
CJ		TELLER		V		01 +	Mar 18, 2020
CO		TELLER		V	06/05/2018	01 +	Jun 05, 2018
CX		TELLER		V	05/29/2018	01	May 22, 2018
C3		TELLER		V		01 +	Jul 08, 2020
DC		TELLER		V		01 +	Mar 20, 2020

☐ Empl Profile ☐ Copy ☐ Del/Archive/Lock ☐ View Profile
☐ Acct Security ☐ Special Security ☐ Tools to this Empl ☐ Reset PW

All Tool Assignments
 Add Employee
 CU Options
 Data Center Employees
 View Maintenance
 Show Templates
 View Archived IDs
 Profile Analysis

i Temporarily locked IDs, including templates, will show as highlighted in yellow.
 i After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

6164) 2/26/21

Handling Employees No Longer Employed

At this point you will still see employee profiles who belong to people who no longer are in your employ. This step locks these employee profiles and makes it easy to sort them out of view.

Lock Versus Archive

When an employee leaves, it is a good practice to lock that employee profile and not archive it until your policy recommends it. The higher the level of the employee, the longer they should remain in the locked status. Keep employees in the locked position for no less than one audit period (12-18 months).

- A good rule of thumb is to retain a Teller for 12-18 months, a Member Service Representative (depending on responsibility) for 18 months, and a loan officer for much longer.

Locking an employee profile allows you to continue to monitor it for future unauthorized use. Even employees on longer leave, such as a medical leave, should be locked to avoid the accidental use of their employee profile. Additionally, locking the employee profile ensures that the employee's name remains in the system to appear on maintenance logs and other reports.

- For example, when a loan officer leaves your employ, lock her profile for a scheduled period. That way, your Loan Manager can pull the Trial Balance report months after she left and still see her name will on the loans she serviced.

When you archive an employee profile, its settings move out of production to a different file. At that point, the employee's name and ID will not appear on any reports and other documentation,

and the ID can be used with a new employee profile. (The system retains the termination date to clarify these situations.)

- For example, when the employee profile is archived later (per your policy), the area of the report mentioned above is then either blank or used by the next employee assigned the same two-digit employee ID since it is now available. (Research into the date employment ended would clear up any reuse of an employee ID.)

Deleting an employee profile deletes the employee profile entirely from the system. This will be used after a scheduled length of time has passed.

As covered later in this document, it is important to amend your termination procedures to add a formal process for locking employee profiles. Your credit union should develop a policy to continue to monitor locked employee profiles until they are ready to be archived with their settings.

Locking an Employee Profile

Review your Employee Security dashboard and lock the appropriate employee profiles.

Do not remove tools or otherwise change the employee profile before you lock it. This ensures that you retain an audit record of the permissions that were assigned when this person was still in your employ.

Locking an Employee Profile on the Employee Security Dashboard

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AR			MG	V		04	
AD						04	
AD						00	
AE			IT		LEFT CU ON 08/30/13	04	
AH						02	
AI			RM			01	
AJ						04	
AK					LEFT CU ON 06/30/14	04	
AM					LEFT CU ON 05/30/12	04	
AN						00	
AO				V	resigned 06/15/2018	04	Sep 01, 2017
AP					separated 2/28/2018	00	Nov 09, 2017
AR						02	Jun 26, 2018
AS						02	Aug 22, 2018
AT			IT			04	Oct 23, 2018
AU			IT			04	Sep 09, 2019

Buttons: Empl Profile, Copy, Del/Archive/Lock, View Profile, Acct Security, Special Security, Assign Tools to this Empl, Reset PW

Left sidebar: All Tool Assignments, Add Employee, CU Options, Data Center Employees, View Maintenance, Show Templates, View Archived IDs, Profile Analysis

Bottom status bar: (6184) 11/20/20

From the Employee Security dashboard, select the employee profile and Del/Archive/Lock.

Locking an Employee Profile

Session 0 CU*BASE GOLD - Delete/Archive/Lock Employee Profile

Employee ID **GR GRACE**

Action ☐ Archive profile with all settings
☐ Permanently delete profile and all settings
☒ Lock ID temporarily

If archiving, specify employee end date **Mar 27, 2020** [MMDDYYYY]

WARNING - Except for start and end date, employee data CANNOT be changed after it is archived. Make sure comments and other profile info are correct before proceeding.

Process

← → ↑ || 🖨 🔗 ⓘ ? @

Choose *Lock ID temporarily* then click *Process* to complete the lock.

Then complete the following steps to the employee Profile on the dashboard:

1. Document the date that the employee left your employ in the *Comments* field.
2. Remove the Team Code. This ensures if the Team code's tools or security change, the employee profile's tools and security are not adjusted.
3. Type a few Zs in front of the employee name. Then when you sort by the Name column, these employee profiles are sorted to the bottom of the list.

Locked Employee Profile

Session 0 CU*BASE GOLD - TEST CREDIT UNION

File Edit Tools Help

Employee Security Maintenance Employee IDs

Jump to ID Search for name containing Show only job classification

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AG	ZZZJOSEPH SMITH	TELLER		Y	Left employment 01/20/2021	01	Jun 24, 2019

Run the Audit on Sample Employees

Adjusting sample employee tools and security

At this point you begin to alter the tools assigned to employees. It is important to have all members of Employee Security Audit team present. Make sure both the employee and their manager are easily accessible to answer any questions about tool assignments.

During this part of the Employee Security Audit, the tools and security of the sample employees are adjusted to meet their job description. When selecting the employee to use, choose a seasoned employee who does the tasks of the position such as "Seasoned Teller" or "Member Service 2" that do not have many other responsibilities. You are looking for an employee you can later use to build the associated template.

Setting a Positive Tone for Success

Setting the right tone with the sample employee is very important for the success of your Employee Security Audit. While the employee may ultimately lose access to some of their tools, they may also get new tools that they previously did not have.

Additionally, the timing of this step is critical. The best day to adjust a sample employee's tools is on a Tuesday. That way the employee has the whole week to try out tools and have the benefit of easy access to the Security Officer if adjustments are needed. It is not recommended that you perform this step on a Monday, Friday, or any day before a holiday.

Limit yourself to two or three sample employees at a time to ensure the most successful Employee Security Audit. This step requires time and attention and should not be rushed.

Reviewing the Sample Employee's Tools

Now evaluate the tools currently assigned to the sample employee. You are building the tools that are assigned to all employees having the same template.

- You begin to remove tools and assign new tools at this point in the Employee Security Audit.

Assigning Tools on the Employee Security Dashboard

The screenshot shows the 'Employee Security Maintenance' window. At the top, there's a search bar with 'Jump to ID' and 'Search for name containing'. Below this is a table with columns: ID, Name, Job Class, Team, Teller, Comments, Vault, and Start Date. The table lists several employees, with some highlighted in yellow. Below the table, there's a sidebar with navigation options: Empl Profile, Copy, Del/Archive/Lock, View Profile, Acct Security, Special Security, Assign Tools to this Empl, and Reset PW. The 'Assign Tools to this Empl' option is circled in red. At the bottom, there's a status bar with navigation icons and a timestamp '(6184) 11/20/20'.

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AA			MG	V		04	
AB						04	
AD			IT		LEFT CU ON 08/30/13	00	
AE						04	
AH						02	
AI			RM			01	
AJ					LEFT CU ON 06/30/14	04	
AK					LEFT CU ON 05/30/12	04	
AM						00	
AO				V	resigned 06/15/2018	04	
AP					separated 2/28/2018	00	Sep 01, 2017
AR						04	Nov 09, 2017
AS						02	Jun 26, 2018
AT			IT			02	Aug 22, 2018
AU			IT			04	Oct 23, 2018
AV						04	Sep 09, 2019

From the Employee Security dashboard, select the sample employee profile and *Assign Tools to this Empl.*

The Dashboard shows a listing of the tools in alphabetical order and whether each tool is assigned to the sample employee.

Tool Listing on the Employees Dashboard

Assign Tools to Employees

All Available Tools

Employee **AK AARON** # employees **520** # tools **803**

Search for ☐ Exact ☐ Description Tool #

Categories **Select** Types **Select**

A highlighted row indicates a custom program

Program Description	# Tools	View Only	Compare to Emp ID		Compare to Job Class	
Abnormal Activity Monitoring Config	1	None			9	None
Account Balance Analysis Report	1	None			45	None
Account Retention by Age Group	1	None			13	None
Account Retention by Year Opened	1	None			13	None
Account Suffix Configuration	1	None			7	None
Accounts Payable Dashboard	1	None			1	None
Accounts Payable Vendor Inquiry	1	Y			14	None
Accrue Interest for 360 Partic. Loans	1	None			27	None
Accrued Dividend Summary Rpt - CDs	1	None			19	None
Acct Negative Balance Limit Calculator	1	None			1	None
ACH Deposits Posted Early (ACHDLE)	1	None			1	None
ACH Fed Transmission Summary Inq (ACHSM)	1	None			65	None
ACH Member Inquiry	1	Full Access			289	Full Access
ACH Posting Controls Config	1	None			7	None
ADB Calculator (Savings & Loans)	1	None			12	None
Add-on Additional Funds to Student Loan	1	None			26	None
Adjust Teller Drawer/Audit Keys	1	None			101	None
Age Distribution Analysis Report	1	None			44	None
AIRES - Create Files	1	None			11	None

■ Assign to Employee ■ About This Tool ■ Show Assigned Employees ■ Remove Assignment

Remove All

Usage Analysis

Show Assigned

Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

Click *Show Assigned*.

The dashboard sorts to show the tools assigned to the sample employee. Some tools will have full access granted; others view-only access.

Dashboard Sorted to Show Tools Assigned to Sample Employee

Session 0 CUP*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

Assigned Tools

Employee

AK AARON

employees 520

tools 76

Search for

☐ Exact

☐ Description

Tool #

Categories

Select

Types

Select

A highlighted row indicates a custom program

Compare to Emp ID

Compare to Job Class

Program Description	# Tools	View Only	Compare to Job Class TELLER	# Employees	This Employee
ACH Member Inquiry	1		Full Access	289	Full Access
ATM/Debit Cards & Activity Inquiry	1	Y	Full Access	285	View Only
Batch ATM/Debit Card Inquiry (PLASTIC)	1		Full Access	304	Full Access
Branch Vault Control	1		None	243	Full Access
Calc # of Days Between Two Dates	1		Full Access	469	Full Access
Calculate Member Checking Check Digit	1		Full Access	465	Full Access
Change Employee ID Password	1		Full Access	364	Full Access
Change Printer OUTQ Assignment	1		None	467	Full Access
Change User Name/Login Password	1		Full Access	356	Full Access
Check Disbursements Inquiry	1		Full Access	305	Full Access
Clear Closed Member Accounts	1		None	215	Full Access
Close Memberships/Accounts	1		Full Access	293	Full Access
Collateral/OLM Lookup (GLML)	1		Full Access	299	Full Access
CUP/Spy Daily Reports	1		Full Access	466	Full Access
Direct/Mail Member Posting	1		Full Access	287	Full Access
Disburse Member Loan Funds	1		None	255	Full Access
Dividend/Interest Calculator	1		Full Access	466	Full Access
Enter General Member Comments/Messages	1		Full Access	295	Full Access
GL Journal History Inquiry	1		None	291	Full Access

Assign to Employee

About This Tool

Show Assigned Employees

Remove Assignment

Remove All

Usage Analysis

Show Message

Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

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(6168) 1/12/21

Review the tools assigned to the sample employee. If the employee has a tool assigned to them that in your evaluation you decide they do not need, select the tool and then *Remove Assignment*.

Be sure to use the arrows at the bottom of the tool list to scroll down to review all tools assigned.

Scroll Down to View All Assigned Tools

Assign to Employee About This Tool Show Assigned Employees Remove Assignment

Remove All
Usage Analysis
Show Unassigned
Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6166) 1/1/2021

What Does This Tool Do?

When you evaluate the tools assigned to the sample employee, you may come across tools with which you are not familiar. To see a quick summary of the tool, select the tool from the list and *About this Tool*.

Accessing "About This Tool" on the Employee Security Dashboard

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees All Available Tools

Employee **AL ANNIE** # employees **478** # tools **803**

Search for ☐ Exact ☐ Description Tool #

Categories **Select** Types **Select** A highlighted row indicates a custom program

☐ Compare to Emp ID ☐ Compare to Job Class

Program Description	# Tools	View Only	None Selected	# Employees	This Employee
Miscellaneous Loan Maintenance	1			232	Full Access
Update Overdraft Protection	1			290	Full Access
Work With Non-Member Database	1			269	Full Access
TCH Inquiry and Control	2	Y		224	Full Access
Print GL Trial Balance (monthly)	1			122	Full Access
Update Account Nicknames	1			287	Full Access
Change User Name/Login Password	1			356	Full Access
Member Payroll Inquiry	1			289	Full Access
Member Personal Banker	1			302	Full Access
Update Auto Transfer Information	1			296	Full Access
Print Loan Coupons	1			288	Full Access
Print Loan Forms	1			190	Full Access
ACH Member Inquiry	1			289	Full Access
Update Closed Account Information	1			152	Full Access
Look Up an Email Address	1			287	Full Access
Print Member Envelopes	1			293	Full Access
Loan App Statistics Inquiry	1			159	Full Access
Update IRA Balance Information	1			11	Full Access
Print Member Transaction History	1			295	Full Access

Assign to Employee About This Tool Show Assigned Employees Remove Assignment

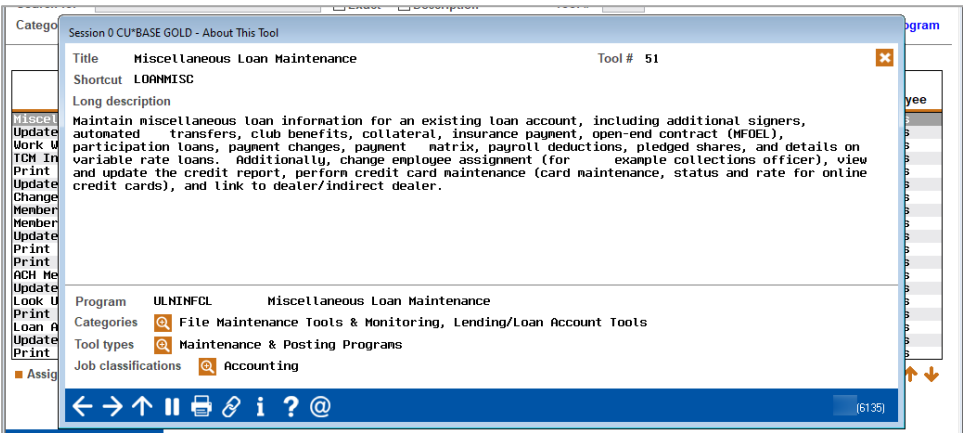
Remove All
Usage Analysis
Show Assigned
Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6166) 1/1/3/21

A window will appear giving you a brief description.

About This Tool Window

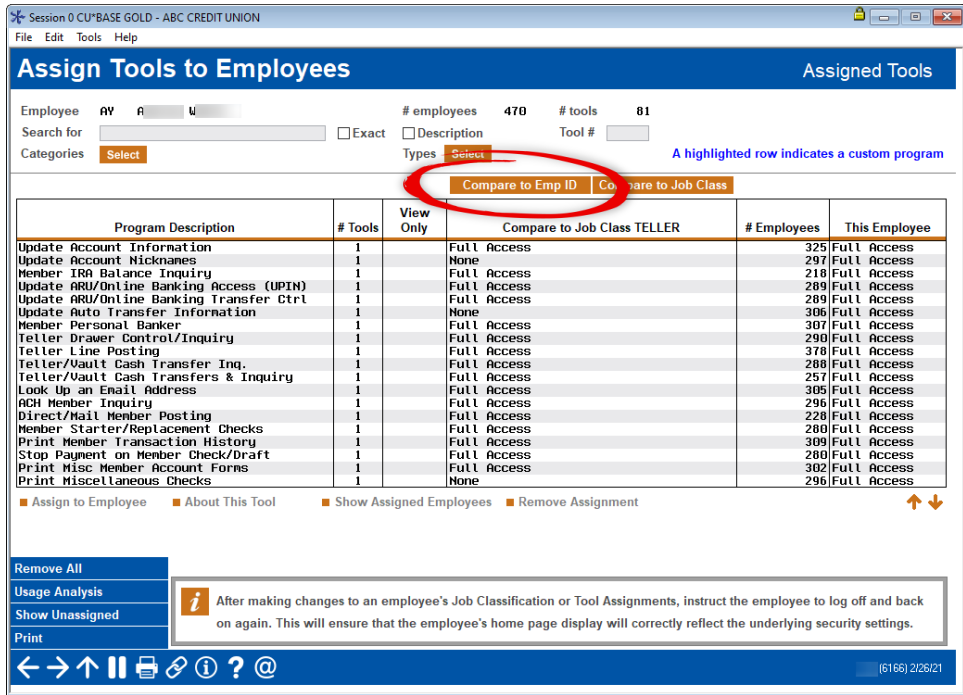


Comparing Sample Employee Tools to the Template

Now it is the time to compare the sample employee tools to the tools of the template to which they are assigned.

Select *Compare to Emp ID* at the top of the screen.

Selecting to Compare to the Template



A list of your employee profiles will appear. Search for the template assigned to the employee and select it from the list.

Search to Find Assigned Template

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

Employee **AN ANGIE** # employees **478** # tools **803**

Search for ☐ Exact ☐ Description Tool #

Categories **Session 0 CU*BASE GOLD - Employee Selection**

Jump to description starting with **TELLER** Only One Selection Allowed

Jump to code starting with

Search for description containing

Code	Description
TA	TELLER ASSISTANT
TU	TELLER TEAM LEADER TEMPLATE
TL	TELLER TEMPLATE
UU	TELLER/MSR TEMPLATE
T6	
JG	
TG	
TT	
TZ	TIM LOUZE
T2	TIFF
T3	TIFF
T1	TIFF
TI	TIM

■ Select

■ Assign

Remove All

Usage Analysis

Show Assigned

Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

The dashboard changes to show the template tools in the middle column. Sort the dashboard by that column so you can compare these tools with sample employee tools (in the final column). Based on that comparison assign additional tools. Be sure to scroll down to the bottom of the list using the down arrow.

Comparing to Template Tools

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

Employee **AN ANGIE** # employees **478** # tools **803**

Search for ☐ Exact ☐ Description Tool #

Categories **Select** Types **Select** A highlighted row indicates a custom program

Compare to Emp ID Compare to Other ID TL TELLER T Class

Program Description	# Tools	View Only	Compare to Other ID TL TELLER T	# Employees	This Employee
Member Connect Marketing Tools	1	None		40	Full Access
Learn-From-Peers: Tiered Svcs Peer Analys	1	Full Access		270	Full Access
ARU Loan App Request Inquiry (AUDILA)	1	None		64	Full Access
TCM Inquiry and Control	2	Full Access		224	Full Access
Print GL Trial Balance (monthly)	1	Full Access		122	Full Access
Update Account Nicknames	1	Full Access		287	Full Access
Print Laser Member Notices	1	None		44	Full Access
Create Tracker Notes/Leads from File	1	None		49	Full Access
Create/Post GL Journal Entries	1	Full Access		186	Full Access
Teller Activity Report	1	None		107	Full Access
Configure Memo Type Codes for Trackers	1	None		49	Full Access
Teller Drawer Control/Inquiry	1	Full Access		294	Full Access
ARU Member Inquiry	1	Full Access		299	Full Access
Teller/Vault Cash Transfer Inq.	1	Full Access		287	Full Access
Teller/Vault Cash Transfers & Inquiry	1	Full Access		243	Full Access
Print Member Envelopes	1	Full Access		293	Full Access
Update Email Addresses	1	Full Access		288	Full Access
Print Member Trackers	1	None		80	Full Access
Print Member Transaction History	1	Full Access		295	Full Access

■ Assign to Employee ■ About This Tool ■ Show Assigned Tools ■ Remove Assignment

Remove All

Usage Analysis

Show Assigned

Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

Comparing Sample Employee Tools to Job Class Tools

Now it is time to compare the employee tools to the tools assigned to the appropriate job class. Click *Compare to Job Class* at the top of the screen.

Selecting to Compare to Job Class

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

Employee AN ANGIE # employees 478 # tools 803

Search for ☐ Exact ☐ Description Tool #

Categories Types

A highlighted row indicates a custom program

Program Description	# Tools	View Only	Compare to Other ID TL TELLER T	# Employees	This Employee
Member Connect Marketing Tools	1		None	40	Full Access
Learn-Fron-Peer: Tiered Svcs Peer Analys	1		Full Access	270	Full Access
ARU Loan App Request Inquiry (AUDILA)	1		None	64	Full Access
TCH Inquiry and Control	2	Y	Full Access	224	Full Access

Search for the job class that best matches the role of the employee.

Search for Appropriate Job Class

Search for ☐ Exact ☐ Description Tool #

Categories

Session 0 CU*BASE GOLD - Tool Category Code Selection

Jump to description starting with

Jump to code starting with

Search for description containing

Code	Description
NEWTOLS	New tools added in most recent release
ACCTADJ	Member Account Adjustment Tools
ACH	ACH Processing Tools
ACTIVEBETA	Active Beta Development
AIRES	AIRES Processing Tools and Inquiries
ALM	ALM Processing Tools
ANALYSIS	Mngmnt Analysis Dashboards & Inquiries
AP	Accounts Payable Tools
ARU	Audio Response Tools & Analyses
AUDITING	Auditing Tools & Inquiries
BATCH	Offline (Batch) ATM/Debit Card Tools
BILLPAY	Bill Pay and P2P Tools
BONUS/PATR	Bonus/Patronage Dividend Posting Tools

Select All

Unselect All

FR (6136)

Remove All

WARNING! Remember that if any items are already selected and you wish to keep those original selections, you must hold Ctrl before clicking to select additional items!

The dashboard changes to show the job class tools in the middle column. Sort the dashboard by that column so you can compare these tools with sample employee tools (in the final column). Based on that comparison, assign additional tools. Again, be sure to scroll down to the bottom of the list using the down arrow.

Compare to Job Class Tools

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

Employee **AN ANGIE** # employees **478** # tools **803**

Search for ☐ Exact ☐ Description

Categories **Select** Types **Select** A highlighted row indicates a custom program

Compare to Emp ID **Compare to Job Class**

Program Description	# Tools	View Only	Compare to Job Class TELLER Tel	Employees	This Employee
Member Connect Marketing Tools	1	None		40	Full Access
Learn-Fron-Peer: Tiered Svcs Peer Analys	1	None		270	Full Access
ARU Loan App Request Inquiry (AUDILA)	1	None		64	Full Access
TCM Inquiry and Control	2	Full Access		224	Full Access
Print GL Trial Balance (monthly)	1	None		122	Full Access
Update Account Nicknames	1	None		287	Full Access
Print Laser Member Notices	1	None		44	Full Access
Create Tracker Notes/Leads from File	1	None		49	Full Access
Create/Post GL Journal Entries	1	None		86	Full Access
Teller Activity Report	1	None		87	Full Access
Configure Memo Type Codes for Trackers	1	None		49	Full Access
Teller Drawer Control/Inquiry	1	Full Access		14	Full Access
ACH Member Inquiry	1	Full Access		39	Full Access
Teller/Vault Cash Transfer Inq.	1	Full Access		87	Full Access
Teller/Vault Cash Transfers & Inquiry	1	Full Access		43	Full Access
Print Member Envelopes	1	Full Access		93	Full Access
Update Email Addresses	1	Full Access		288	Full Access
Print Member Trackers	1	None		80	Full Access
Print Member Transaction History	1	Full Access		295	Full Access

☐ Assign to Employee
 ☐ About This Tool
 ☐ Show Assigned Employees
 ☐ Remove Assignment

Remove All
 Usage Analysis
 Show Assigned
 Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6168) 1/13/21

Who Has the Tool?

Next evaluate whether to grant a tool to the Sample Employee based on who already has the tool. To view how many people have the tool, review the *# Employees* column.

Evaluating How Many People are Assigned Tool

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

Assigned Tools

Employee **AK** **AARON** # employees 520 # tools 76

Search for ☐ Exact ☐ Description Tool #

Categories **Select** Types **Select** A highlighted row indicates a custom program

Compare to Emp ID **Compare to Job Class**

Program Description	# Tools	View Only	Compare to Job Class TELLER	# Employees	Tool Employee
ACH Member Inquiry	1		Full Access	380	Full Access
ATM/Debit Cards & Activity Inquiry	1	Y	Full Access	285	View Only
Batch ATM/Debit Card Inquiry (PLASTIC)	1		Full Access	304	Full Access
Branch Vault Control	1		None	243	Full Access
Calc # of Days Between Two Dates	1		Full Access	469	Full Access
Calculate Member Checking Check Digit	1		Full Access	465	Full Access
Change Employee ID Password	1		Full Access	364	Full Access
Change Printer OUTQ Assignment	1		None	467	Full Access
Change User Name/Login Password	1		Full Access	356	Full Access
Check Disbursements Inquiry	1		Full Access	305	Full Access
Clear Closed Member Accounts	1		None	215	Full Access
Close Memberships/Accounts	1		Full Access	293	Full Access
Collateral/VIN# Lookup (CLML)	1		Full Access	299	Full Access
CU*Spy Daily Reports	1		Full Access	466	Full Access
Direct/Mail Member Posting	1		Full Access	287	Full Access
Disburse Member Loan Funds	1		None	255	Full Access
Dividend/Interest Calculator	1		Full Access	466	Full Access
Enter General Member Comments/Messages	1		Full Access	295	Full Access
GL Journal History Inquiry	1		None	291	Full Access

Assign to Employee About This Tool Show Assigned Employees Remove Assignment

Remove All Usage Analysis Show Unassigned Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6166) 1/1/21

Select the tool and *Show Assigned Employees* to view the specific employees who are already assigned the tool.

View Employees Assigned Tool

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

Employee **AL** **ANNIE** # employees 520 # tools 803

Search for ☐ Exact ☐ Description Tool #

Categories **Select** Types **Select** A highlighted row indicates a custom program

Compare to Emp ID **Compare to Job Class**

Session 0 CU*BASE GOLD - Employees Assigned to Tool

Miscellaneous Loan Maintenance

ID	Name	Job Class	Team	Teller
AB ANDRE		MSR	TL	v
AL ANNIE				
AN ANGIE		TELLER		v
AO ANDY			TL	v
AR ARMY			TL	v
AW AARON			TL	v
BB BRAN			TL	v
BD BRAN			TL	v
BE BECK				
BO BONN		TELLER	IV	v
BQ BREE			TL	v
BS BAILE				

Assign to Employee About This Tool Show Assigned Employees Remove Assignment

Remove All Usage Analysis Show Assigned Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6166) 1/1/21

Evaluating Special Security

During the Employee Security Review, the special security settings for the sample employee are evaluated. Special security controls access to certain CU*BASE features when these features are accessed from within another CU*BASE feature, such as opening and closing accounts, un-posting journal entries, and more. This also includes access to account maintenance level authority used by lending and collections staff, as well as staff who monitor dormant accounts.

Accessing Special Security from the Employee Security Dashboard

The screenshot shows the 'Employee Security Maintenance' window. At the top, there's a search bar and a 'Show only job classification' filter. Below this is a table with columns: ID, Name, Job Class, Team, Teller, Comments, Vault, and Start Date. The table lists several employees, with some highlighted in yellow. Below the table, there's a row of action links: 'Empl Profile', 'Copy', 'Del/Archive/Lock', 'View Profile', 'Acct Sec', 'Special Security', 'Ass Tools to this Empl', and 'Reset PW'. The 'Special Security' link is circled in red. On the left side, there's a vertical menu with options like 'All Tool Assignments', 'Add Employee', 'CU Options', 'Data Center Employees', 'View Maintenance', 'Show Templates', 'View Archived IDs', and 'Profile Analysis'. At the bottom, there's a status bar with navigation icons and the text '(6184) 11/20/20'.

To review the sample employee's special security, select their employee profile on the Employee Security dashboard and then *Special Security*.

The special security settings screen will appear showing which apply to the employee.

Special Security Listing

The screenshot shows the 'Update Employee Special Security' window for employee ID 'AB ANDREW'. It displays a list of security settings with checkboxes indicating which are active. The settings are organized into two columns. The first column includes: 'Open accounts', 'Close accounts', 'File maintenance', 'Teller override', 'Maintenance tier 2', 'Loan underwriting', 'Loan interviewer/processor', and 'Use App check'. The second column includes: 'Time cards', 'Open loans', 'Unpost J/E', 'Phone Operator', 'Require wrap-up codes', 'View credit reports', and 'Instant card issue'. All checkboxes are checked. At the bottom, there's a status bar with navigation icons and the text '(6182)'.

Special security settings include:

- Open accounts

- Close accounts
- File maintenance
- Maintenance tier 2
- Loan underwriting
- Loan interviewer/processor
- Timecards
- Open loans
- Unpost J/E
- Phone Inquiry
- View C/R
- Instant card issue

Each special security is well documented in the CU*BASE Online help.

AuditLink has recommended you think about the following when assigning special security:

- “File Maintenance” authority allows the employee to change member demographic information.
- “Maintenance tier 2” allows the employee to change data that the system needs to process data, such as the interest rate or due date. Where appropriate, remove Maintenance tier 2 from the sample employee’s profiles, which in turn removes their ability to adjust next-payment-due dates and other critical processing parameters.
- A user can proceed to the “Open Memberships/Accounts” feature while working in teller posting.
- The Teller Override feature can be performed from a tool or a shortcut, but it can also be performed with a button accessed within the teller posting screens.
- Closing accounts, un-posting journal entries, can be accessed from within other features.

Run a Beta Period and Review

Evaluating a sample employee's experience

The sample employees try out their tools and security for a beta period, for example a week. During that time, encourage them to try to complete almost all their job responsibilities to ensure they have not lost any vital permissions and tools.

- First, ask the sample employee to check their Favorite Tools list to ensure that they have been granted access to all these tools. This can be done by the employee selecting *My Favorites* on the Home Page. If a tool is greyed out, permission to this tool has been removed.

After the sample period, schedule a meeting with your Employee Security Audit team and the employee to review their experience. Discuss the following during this meeting:

- Was the employee unable to do a task assigned to them due to a tool or permission being removed?
- Are certain activities not done during this time of year? Were they evaluated?
- Does the employee have special tasks assigned to her that should not be included in the sample employee toolset and security?

Copy the Sample Employee to the Template

Building a template from a sample employee

Now that the sample employee's tools and security is set, copy them to the template assigned to that employee. Then the template will have the same tools and special security as the sample employee.

First, from the Employee Security dashboard, select the sample employee profile and Copy.

Copying Tools and Security to the Template

The screenshot shows the 'Employee Security Maintenance' window for 'Session 0 CU*BASE GOLD - ABC CREDIT UNION'. The window has a menu bar (File, Edit, Tools, Help) and a title bar. Below the title bar is a search area with 'Jump to ID' set to 'TL', a search box, and a 'Show only job classification' filter. The main area contains a table of employees with columns: ID, Name, Job Class, Team, Teller, Comments, Vault, and Start Date. The table lists various employees, including those with job classes 'MSR', 'TELLER', and 'TL'. A red circle highlights the 'Copy' button in the action menu for a selected employee. Below the table are several buttons: 'Empl Profile', 'Copy', 'Del/Archive/Lock', 'View Profile', 'Acct Security', 'Special Security', 'Assign Tools to this Empl', and 'Reset PW'. On the left side, there is a sidebar with links: 'All Tool Assignments', 'Add Employee', 'CU Options', 'Data Center Employees', 'View Maintenance', 'Show Employees', 'View Archived IDs', and 'Profile Analysis'. At the bottom, there is a status bar with navigation icons and a timestamp '(6184) 2/24/21'.

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AA			AU			01	
AB		MSR	TL	Y	12/15/2014	01 +	
AC			LN			01	
AD			TL	Y	06/02/2015	01 +	
AE			TL	Y	06/02/2016	01 +	
AF			TL	Y		01 +	
AG			TL	Y	08/03/2013	01 +	
AH		TELLER		Y	06/19/17	01 +	Jun 13, 2017
AI				Y	CD-OP PT TELLER	01 +	Mar 21, 2019
AJ				Y		01 +	Dec 04, 2018
AK		TELLER		Y	06/19/17	01 +	Jun 13, 2017
AL		TELLER		Y	05/29/2018	01 +	May 22, 2018
AM			TL	Y	08/21/2012	01 +	
AN				Y	07/22/2019	01 +	Jul 22, 2019
AO				Y	06052018	01 +	Jun 05, 2018
AP			TL	Y	07/01/2013	01 +	
AQ				Y	10/07/2019/removed 4/8/20	01	Sep 13, 2019
AR							
AS							

The following screen will appear.

Copy Employee Security Screen

Session 0 CU*BASE GOLD - Copy Employee Security

From employee ID **A1** **SMITH**

To employee ID **Select**

To CU-defined team code

☐ Copy special security settings

☐ Copy tool assignments

Copy method ☒ Replace all existing assignments/settings with copied ones
☐ Merge in new assignments/settings only, leave existing as is

Navigation icons: back, forward, up, down, print, search, help, status (6181)

Perform the following actions:

- Select the appropriate template from the *To employee ID* look up.
- Check *Copy special security settings*.
- Check *Copy tool assignments*.
- Do not change *Replace all existing assignments/settings with copied ones* (the default).

Copying Tools and Special Security to the Template

Session 0 CU*BASE GOLD - Copy Employee Security

From employee ID **AB** **ANDREW**

To employee ID **Select** **1 selected**

To CU-defined team code

☒ Copy special security settings

☒ Copy tool assignments

Copy method ☒ Replace all existing assignments/settings with copied ones
☐ Merge in new assignments/settings only, leave existing as is

Navigation icons: back, forward, up, down, print, search, help, status (6181)

Use Enter. A confirmation window will appear.

Confirmation of the Copy

Session 0 - Confirm

Copied settings will REPLACE all existing settings on selected employee IDs

Add/Update

Navigation icons: back, forward, up, down, print, search, help, status (32)

Click *Add/Update* to complete the update.

Copy the Sample Employee to the Team Code

Flooding a team code to match a sample employee

Next copy the tools and security of the sample employee to the team code. When this step is completed, other employees with that team code will have the same tools and security of the sample employee.

For example, if your sample employee is a Seasoned Teller, all your Seasoned Tellers will have the same toolset and special security.

From the Employee Security dashboard, select the sample employee profile and Copy.

Copying Tools and Security to the Team Code

The screenshot shows the 'Employee Security Maintenance' window for 'Session 0 CU*BASE GOLD - ABC CREDIT UNION'. The window has a menu bar (File, Edit, Tools, Help) and a toolbar with search and filter options. A table lists employees with columns: ID, Name, Job Class, Team, Teller, Comments, Vault, and Start Date. The 'Copy' button in the bottom toolbar is circled in red. Below the table, there are several informational messages and a status bar.

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AR		MSR	TL	V	12/15/2014	01 +	
AB			TL	V		01 +	
AC			LN	V		01 +	
AD			TL	V	06/02/2015	01 +	
AE			TL	V	06/02/2016	01 +	
AF			TL	V		01 +	
AG			TL	V		01 +	
AH			TL	V	09/03/2013	01 +	
AI		TELLER		V	06/19/17	01 +	Jun 13, 2017
AJ				V	00-0P PT TELLER	01 +	Mar 21, 2019
AK				V		01 +	Dec 04, 2018
AL		TELLER		V	06/19/17	01 +	Jun 13, 2017
AM		TELLER		V	05/29/2018	01 +	May 22, 2018
AN			TL	V	08/27/2012	01 +	
AO				V	07/22/2019	01 +	Jul 22, 2019
AP				V	06052018	01 +	Jun 05, 2018
AQ			TL	V	10/07/2013	01 +	
AS				V	removed 4/8/20	01 +	Sep 13, 2019

Buttons: Empl Profile, Copy, Del/Archive/Lock, View Profile, Acct Security, Special Security, Assign Tools to this Empl, Reset PW

Left sidebar: All Tool Assignments, Add Employee, CU Options, Data Center Employees, View Maintenance, Show Employees, View Archived IDs, Profile Analysis

Messages: Temporarily locked IDs, including templates, will show as highlighted in yellow. After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

Status bar: (6184) 2/24/21

The following screen will appear.

Copy Employee Security Screen

Session 0 CU*BASE GOLD - Copy Employee Security

From employee ID **A1** **SMITH**

To employee ID **Select**

To CU-defined team code

☐ Copy special security settings

☐ Copy tool assignments

Copy method ☒ Replace all existing assignments/settings with copied ones
☐ Merge in new assignments/settings only, leave existing as is

Navigation icons: back, forward, up, down, print, search, help, status (6181)

Perform the following actions:

- Enter the team code in the *To CU-defined team code* field.
- Check *Copy special security settings*.
- Check *Copy tool assignments*.
- Do not change *Replace all existing assignments/settings with copied ones* (the default).

Copying Tools and Special Security to the Team Code

Session 0 CU*BASE GOLD - Copy Employee Security

From employee ID **AB** **ANDREW**

To employee ID **Select**

To CU-defined team code **TL**

☒ Copy special security settings

☒ Copy tool assignments

Copy method ☒ Replace all existing assignments/settings with copied ones
☐ Merge in new assignments/settings only, leave existing as is

Navigation icons: back, forward, up, down, print, search, help, status (6181)

Use Enter. A confirmation window will appear.

Confirmation of the Copy

Session 0 - Confirm

Copied settings will REPLACE all existing settings on selected employee IDs

Add/Update

Navigation icons: back, forward, up, down, print, search, help, status (32)

Click Add/Update to complete the process.

Create Merged Templates

Building templates for employees with multiple roles

Merged templates are created for employees who perform more than one role. In this situation the tools and security of the second template are merged into the first template so they do not override the existing tools and security.

The first template is copied the same way as the sample employee. To merge the second template, use the Copy feature to access the same screen used to copy tools and security. This time select **Merge to new assignments/settings only, leave existing as is**.

Merging Tools and Security

Session 0 CU*BASE GOLD - Copy Employee Security

From employee ID **XY** **MSR_MSD TEMPLATE**

To employee ID **Select**

To CU-defined team code **TH**

☒ Copy special security settings

☒ Copy tool assignments

Copy method ☐ Replace all existing assignments/settings with copied ones

☒ Merge in new assignments/settings only, leave existing as is

Navigation icons: back, forward, up, down, print, help, status (6161)

For example, some of your Seasoned Tellers may also perform the job functions of your Member Service Representatives. To create the merged template, first copy the Seasoned Teller tools and security into your new teller/member service template. Then merge the Member Service template's tool and special security into that template in the manner shown above. Then, the member service tools and security are *added* to the template but do not override the original teller tools and security.

Audit Specialized Employees

Auditing employees without a team code

The next step is to evaluate the tools and special security granted to employees without a team code (who were not assigned a template). Many that remain are employees at a higher level in your organization. Additionally, this includes employees that perform tasks outside of their general job role, for example a member service representative that also handles accounting tasks.

Review all tools and security assigned to these employees.

- On a case-by-case basis, review all additional tools and special security against each person's responsibilities at the credit union.
- Evaluate each employee for segregation of duties. If that cannot be achieved, specialized audit functions should be put in place.

Evaluate the employee's tools when they are present in the room.

Following are some helpful tips for assigning tools to higher level employees:

- Assign higher level employees more view-only and analysis tools, and fewer maintenance tools (or no maintenance tools at all).
- For higher levels of authority, generally "do" capabilities are taken away and "view" options are assigned.
- Use job categories to determine tools not yet assigned. Use the following job categories when evaluating tools: Dashboards, Analytics, and Know Your Member.

Review Tools Not Assigned

Assessing remaining tools for assignment

At this point in the Employee Security Audit, review the tools that are not assigned to any employee to determine if you need to assign them.

Follow this procedure to find the tools not assigned:

Employee Security Dashboard

The screenshot shows the 'Employee Security Maintenance' window. The left sidebar contains a list of links: 'All Tool Assignments' (circled in red), 'Add Employee', 'CU Options', 'Data Center Employees', 'View Maintenance', 'Show Employees', 'View Archived IDs', and 'Profile Analysis'. The main area displays a table of employee data with columns: ID, Name, Job Class, Team, Teller, Comments, Vault, and Start Date. The table lists several employees, including those with job classes 'MSR' and 'TELLER'. Below the table, there are buttons for 'Empl Profile', 'Copy', 'Del/Archive/Lock', 'View Profile', 'Reset Security', 'Special Security', 'Assign Tools to this Empl', and 'Reset PW'. A red circle highlights the 'All Tool Assignments' link in the sidebar.

ID	Name	Job Class	Team	Teller	Comments	Vault	Start Date
AR			TL	Y	12/15/2014	01	
AB		MSR	TL	Y		01	
AC			LN			01	
AD			TL	Y	06/02/2015	01	
AE			TL	Y	06/02/2016	01	
AF			TL	Y		01	
AG			TL	Y	09/03/2013	01	
AH		TELLER		Y	06/19/17	01	Jun 13, 2017
AI				Y	CO-OP PT TELLER	01	Mar 21, 2019
AJ				Y		01	Dec 04, 2018
AK		TELLER		Y	06/19/17	01	Jun 13, 2017
AL		TELLER		Y	05/29/2018	01	May 22, 2018
AM			TL	Y	08/21/2012	01	
AN				Y	07/22/2019	01	Jul 22, 2019
AO				Y	06052018	01	Jun 05, 2018
AP			TL	Y	07/01/2013	01	
AR					10/07/2019/removed 4/8/20	01	Sep 13, 2019
AS						01	

Click *All Tool Assignments* on the entry dashboard.

This will show you a list of available tools on the system.

Tool Assignments Available

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

For all employees # employees 469 # tools 805

Search for ☐ Exact ☐ Description Tool #

Categories Types A highlighted row indicates a custom program

Program Description	# Tools	View Only	Categories	# Employees
Abnormal Activity Monitoring Config	1		CONFIGS	11
Account Balance Analysis Report	1		REPORTS, MARKETING, CASH	48
Account Retention by Age Group	1		KNOWMR, ANALYSIS	16
Account Retention by Year Opened	1		KNOWMR, ANALYSIS	16
Account Suffix Configuration	1		CONFIGS	9
Accounts Payable Dashboard	1		ANALYSIS, AP	3
Accounts Payable Vendor Inquiry	1	Y	AP, REVIEW	16
Accrue Interest for 360 Partic. Loans	1		PART	34
Accrued Dividend Summary Rpt - CDs	1		REPORTS, GL, TAX	21
Acct Negative Balance Limit Calculator	1		CASH, MBRSRV	2
ACH Deposits Posted Early (ACHDTE)	1		CANNEDQRY	6
ACH Fed Transmission Summary Inq (ACHSM)	1		ACH, CANNEDQRY	48
ACH Member Inquiry	1		ACH, MBRINQ	295
ACH Posting Controls Config	1		ACH, CONFIGS	9
ADB Calculator (Savings & Loans)	1		ANALYSIS, BUDGETING	15
Add-on Additional Funds to Student Loan	1		STUDENTLNS	23
Adjust Teller Drawer/Audit Keys	1		ACCTADJ	150
Age Distribution Analysis Report	1		REPORTS, MARKETING, MBRINQ	32
AIRES - Create Files	1		AIRES	12

■ Assign to Employee ■ About This Tool ■ Show Assigned Employees

Usage Analysis
Show Assigned

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

← → ↑ ↓ ⏏ ⌂ ? @ (6166) 2/24/21

Next select *Show Assigned* to prepare the screen to show the unassigned tools.

Assigned Tools

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

Assigned Tools

For all employees # employees 469 # tools 788

Search for ☐ Exact ☐ Description Tool #

Categories Types A highlighted row indicates a custom program

Program Description	# Tools	View Only	Categories	# Employees
Abnormal Activity Monitoring Config	1		CONFIGS	11
Account Balance Analysis Report	1		REPORTS, MARKETING, CASH	48
Account Retention by Age Group	1		KNOWMR, ANALYSIS	16
Account Retention by Year Opened	1		KNOWMR, ANALYSIS	16
Account Suffix Configuration	1		CONFIGS	9
Accounts Payable Dashboard	1		ANALYSIS, AP	3
Accounts Payable Vendor Inquiry	1	Y	AP, REVIEW	16
Accrue Interest for 360 Partic. Loans	1		PART	34
Accrued Dividend Summary Rpt - CDs	1		REPORTS, GL, TAX	21
Acct Negative Balance Limit Calculator	1		CASH, MBRSRV	2
ACH Deposits Posted Early (ACHDTE)	1		CANNEDQRY	6
ACH Fed Transmission Summary Inq (ACHSM)	1		ACH, CANNEDQRY	48
ACH Member Inquiry	1		ACH, MBRINQ	295
ACH Posting Controls Config	1		ACH, CONFIGS	9
ADB Calculator (Savings & Loans)	1		ANALYSIS, BUDGETING	15
Add-on Additional Funds to Student Loan	1		STUDENTLNS	23
Adjust Teller Drawer/Audit Keys	1		ACCTADJ	150
Age Distribution Analysis Report	1		REPORTS, MARKETING, MBRINQ	32
AIRES - Create Files	1		AIRES	12

■ Assign to Employee ■ About This Tool ■ Show Assigned Employees

Usage Analysis
Show Unassigned

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

← → ↑ ↓ ⏏ ⌂ ? @ (6166) 2/24/21

This will show you the tools assigned to your employees. Finally, click *Show Unassigned* to view only tools that are unassigned.

Review the unassigned tools to ensure that you have not missed assigning a tool to an employee.

Unassigned Tools

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

Unassigned Tools

For all employees

employees 469 # tools 17

Search for ☐ Exact ☐ Description Tool #

Categories Types A highlighted row indicates a custom program

Program Description	# Tools	View Only	Categories	# Employees
Archived Employee Security Inquiry	1	<input checked="" type="checkbox"/>	CONFIGS	
ATM/Dbt/Crdt: View Vendor Status Codes	1	<input checked="" type="checkbox"/>	REVIEW	
DC: Color-Theme Code Configuration	2	<input checked="" type="checkbox"/>		
DC: Edition Code Configuration	2	<input checked="" type="checkbox"/>		
DC: Job Classification Configuration	2	<input checked="" type="checkbox"/>		
DC: Tool Category Codes Configuration	2	<input checked="" type="checkbox"/>		
DC: Tool Type Code Configuration	2	<input checked="" type="checkbox"/>		
DC: Tool User Type Configuration	2	<input checked="" type="checkbox"/>		
View Abnormal Activity Monitoring Config	1	<input checked="" type="checkbox"/>	REVIEW	
View Bill Pay Marketing Message and Fees	2	<input checked="" type="checkbox"/>	CONFIGS, BILLPAY	
View Bill Pay Vendor Config	1	<input checked="" type="checkbox"/>	CONFIGS, BILLPAY	
View Blocked Accounts In-House Check/ACH	1	<input checked="" type="checkbox"/>	ACH	
View BP/P2P Vendor Product Config	2	<input checked="" type="checkbox"/>	CONFIGS, BILLPAY	
View Business Unit Configuration	1	<input checked="" type="checkbox"/>	REVIEW	
View CU Bill Pay Product Configs	2	<input checked="" type="checkbox"/>	CONFIGS, BILLPAY	
View DEX Download Configuration	1	<input checked="" type="checkbox"/>	CONFIGS	
View Sales Tax Configuration	1	<input checked="" type="checkbox"/>	REVIEW	

Usage Analysis

Show Available

Print

After making changes to an employee's Job Classification or Tool Assignments, instruct the employee to log off and back on again. This will ensure that the employee's home page display will correctly reflect the underlying security settings.

(6168) 2/24/21

Create Reporting and Auditing Procedures

Reporting and auditing employee security

At the end of your Employee Security Audit, review the procedures you have in place for auditing employee security.

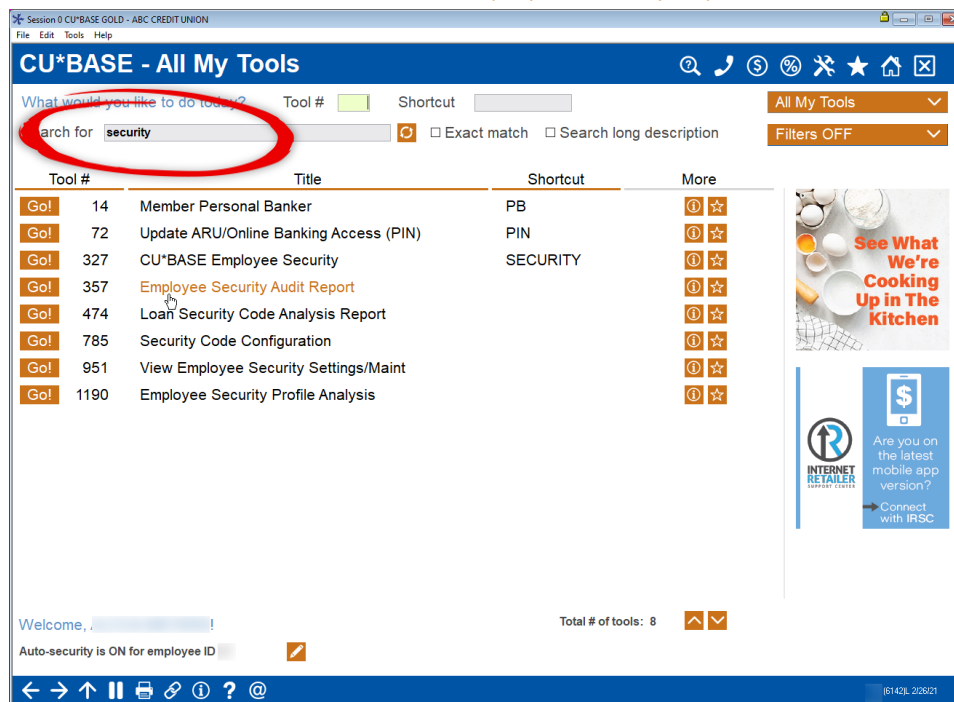
Documenting Tools Assigned During the Audit

At the end of your Employee Audit, use the security report to save a record of the tools assigned to each employee. As covered in the next section, this report is also used to perform a bi-annual review of tools assigned.

Do not print this report, as it may be over 1,000 pages. Instead print it to the DAILY OUTQ to be archived.

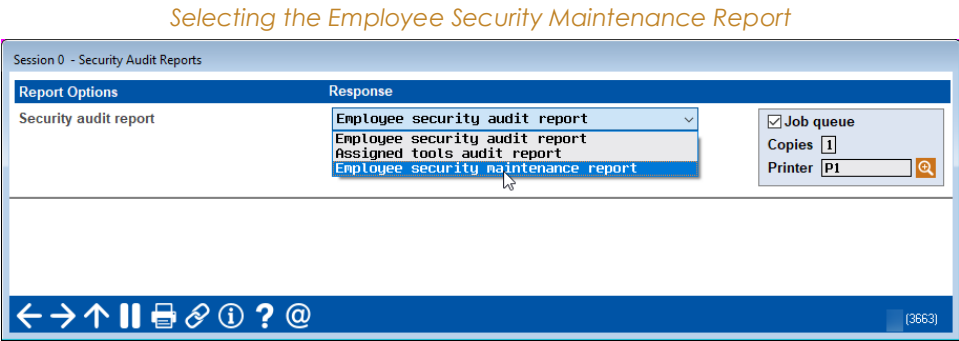
Find the employee security report by searching keyword: Security.

Quick Search for the Employee Security Reports

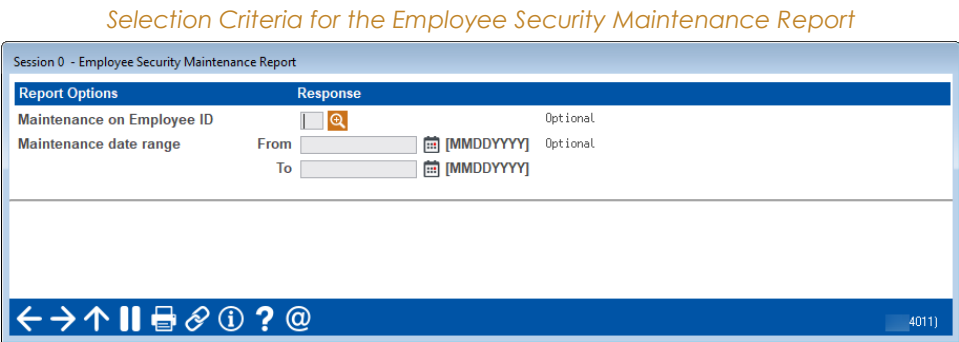


Select **Tool #327 Employee Security Audit Report**.

Select the third report, the Employee security maintenance report.



The selection screen will appear.



In the *Maintenance date range* enter the date range of your Employee Security Audit. (Employee ID is optional, so you can leave this field blank.) Use Enter to print the report shown below.

Report Sample

1/15/21 12:50:05	ABC CREDIT UNION	LSECMNT	PAGE
RUN ON 1/15/21	SECURITY MAINTENANCE REPORT	USER	
FILE DATE: 1/15/21			
EMPLOYEE ID:			
DATE RANGE: 1/15/2021 - 1/15/2021			
EMPLOYEE ID - NAME /			
MAINTENANCE ID - NAME			
AB - ANDREW BL	1/15/2021	12:49:12	TOOL
			ACCOUNT
			FIELD
			----- PREVIOUS/CHANGED DATA -----
			00106 Access Granted
;Y - ME			
AB - ANDREW BL	1/15/2021	12:49:19	TOOL
			00112 Access Removed
;Y - ME			
AB - ANDREW BL	1/15/2021	12:49:31	TOOL
			00106 Access Removed
;Y - ME			
AB - ANDREW BL	1/15/2021	12:49:40	TOOL
			00051 Access Removed

This report documents the tool and security access changed during the date range provided.

Scheduling a Bi-Annual Audit of Employee Tools

Plan to perform a bi-annual review of tool assignments at your credit union. Use the report above and enter the six-month date range since your prior audit.

Compare the report to your tool assignment authorization forms. Again, it is recommended that you do not print the report, but rather archive it, where a PDF can also be created.

Reviewing Process to Assign New Tools

Take the time to develop a formal process for assigning new tools. Do employees send an email requesting the assignment of new tools? Consider using the AuditLink tool request form that includes a place to document the reason that the tool assignment is needed. Whatever method you choose, develop a process for documenting these requests to assist with your bi-annual review.

If access to a new tool is granted, have a process in place to keep your tool assignments easy to audit. If the tool assigned is for an individual working a special project, document this special access. If the tool assignment is permanent, add the new tool to the appropriate template, and copy that template to the team code assigned to the template so that everyone with the team code receives the new tool.

Evaluating New Tools with Releases

Review new tools with each release to see if they need to be assigned to your templates or individual employees. Use the **_NEWTOOLS** job category to research the new tools included in the recent release. If you add a new tool to a template, copy that template to the team code assigned to the template so that everyone with the team code receives the new tool. It is recommended that you use your form for assigning new tools to keep a record of each employee who receives the new tool.

- Additionally, review the release summary for assistance understanding new tools.

Accessing the _NEWTOOLS Category

Session 0 CU*BASE GOLD - ABC CREDIT UNION

File Edit Tools Help

Assign Tools to Employees

All Available Tools

For all employees # employees 470 # tools 805

Search for ☐ Exact ☐ Description Tool #

Category

Session 0 CU*BASE GOLD - Tool Category Code Selection

Jump to description starting with

Jump to code starting with

Search for description containing

Code	Description
NEWTOOLS	New tools added in most recent release
MEMADJ	Member Account Adjustment Tools
ACH	ACH Processing Tools
ACTIVEBETA	Active Beta Development
AIRIS	AIRIS Processing Tools and Inquiries
ALN	ALN Processing Tools
ANALYSIS	Management Analysis Dashboards & Inquiries
AP	Accounts Payable Tools
ARU	Audio Response Tools & Analyses
AUDITING	Auditing Tools & Inquiries
BATCH	Offline (Batch) ATM/Debit Card Tools
BILLPAY	Bill Pay and P2P Tools
BONUS/PATR	Bonus/Patronage Dividend Posting Tools

■ Select

■ Assign

Select All Unselect All

← → ↑ ↓ || ⏻ ⏹ ⓘ ? @

(6136)

Usage Analysis

Show Assigned

Print

← → ↑ ↓ || ⏻ ⏹ ⓘ ? @

(6168) 2/26/21

WARNING! Remember that if any items are already selected and you wish to keep those original selections, you must hold Ctrl before clicking to select additional items!

Updating Your Policy to Lock/Archive Employee Profiles

Create a formal process for auditing employees who are no longer in your employ. As mentioned earlier in this document, the IDs should remain on the system with access to the appropriate tool options for 18 months, to allow for both the credit union's external audit and state examine cycle to be completed. It is imperative you do not remove employee tools before you lock the employee profile to retain the assignment in case later forensic investigation is needed.

Archived employees are removed from day-to-day production. The system, however, still retains their tool assignments and the date of the end of employment in case you later find questionable activity.

*AuditLink has created a toolkit for employee termination. You can request a free copy by using the CU*Answer Store link:*
<https://store.cuanswers.com/product/employee-termination-checklist/>

Learn from a practitioner's point of view

Following is an additional resource for more information about employee security and performing an employee security audit.

Webinar on Employee Security

Join Jim Vilker, NCCO, CAMS, Vice President of AuditLink, for an informative and educational training about CU*BASE Employee Security. This hour-long webinar covers the topics in the booklet and additional information about using **Tool #327 Employee Security**.

Access the webinar using this link:

<https://ondemand.cuanswers.com/employee-security-from-a-practitioners-standpoint/>

Webinar Available in AuditLink Website

[illegible]